# Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

# Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).

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

OMB Nos. 1210-0110
1210-0089

**2021**

**This Form is Open to Public Inspection**

## Part I Annual Report Identification Information

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

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

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

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

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

**E** If this is a retroactively adopted plan permitted by SECURE Act section 201, check here. . . . . ▶ [ ]

## Part II Basic Plan Information—enter all requested information

**1a** Name of plan
UNITEDHEALTH GROUP 401(K) SAVINGS PLAN

**1b** Three-digit plan number (PN) ▶ 001

**1c** Effective date of plan 07/01/1985

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

9900 BREN ROAD EAST
MN008-R120
MINNETONKA, MN 55343

**2b** Employer Identification Number (EIN) 41-1321939

**2c** Plan Sponsor's telephone number 952-936-1300

**2d** Business code (see instructions) 541990

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

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

| | | | |
|---|---|---|---|
| **SIGN HERE** | Filed with authorized/valid electronic signature. | 06/28/2022 | DAVID E. STRAUSS |
| | **Signature of plan administrator** | Date | Enter name of individual signing as plan administrator |
| **SIGN HERE** | | | |
| | **Signature of employer/plan sponsor** | Date | Enter name of individual signing as employer or plan sponsor |
| **SIGN HERE** | | | |
| | **Signature of DFE** | Date | Enter name of individual signing as DFE |

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

UNITEDHEALTH GROUP EMPLOYEE BENEFITS PLANS ADMINISTRATIVE COMMITTEE
UNITEDHEALTH GROUP INCORPORATED
9900 BREN ROAD EAST
MN008-R120
MINNETONKA, MN 55343

**3b** Administrator's EIN: 41-1321939

**3c** Administrator's telephone number: 952-936-1300

**4** If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report:
**a** Sponsor's name
**c** Plan Name

**4b** EIN

**4d** PN

| | | |
|---|---|---|
| **5** Total number of participants at the beginning of the plan year | **5** | 207447 |
| **6** Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines **6a(1), 6a(2), 6b, 6c,** and **6d**). | | |
| **a(1)** Total number of active participants at the beginning of the plan year | **6a(1)** | 157242 |
| **a(2)** Total number of active participants at the end of the plan year | **6a(2)** | 176886 |
| **b** Retired or separated participants receiving benefits | **6b** | 627 |
| **c** Other retired or separated participants entitled to future benefits | **6c** | 57999 |
| **d** Subtotal. Add lines **6a(2)**, **6b**, and **6c** | **6d** | 235512 |
| **e** Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. | **6e** | 376 |
| **f** Total. Add lines **6d** and **6e** | **6f** | 235888 |
| **g** Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) | **6g** | 223968 |
| **h** Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested | **6h** | 3073 |
| **7** Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item) | **7** | |

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

2E 2F 2G 2J 2K 2R 2S 2T 3H

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

**9a** Plan funding arrangement (check all that apply)

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

**9b** Plan benefit arrangement (check all that apply)

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

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

**a Pension Schedules**

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

**b General Schedules**

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

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

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

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

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

**11c** Enter the Receipt Confirmation Code for the 2021 Form M-1 annual report. If the plan was not required to file the 2021 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code_____

| SCHEDULE C (Form 5500) | Service Provider Information | OMB No. 1210-0110 |
|---|---|---|
| Department of the Treasury<br>Internal Revenue Service<br>Department of Labor<br>Employee Benefits Security Administration<br>Pension Benefit Guaranty Corporation | This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br>▶ **File as an attachment to Form 5500.** | **2021**<br>**This Form is Open to Public Inspection.** |

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

| **A** Name of plan | **B** Three-digit plan number (PN) ▶ |
|---|---|
| UNITEDHEALTH GROUP 401(K) SAVINGS PLAN | 001 |
| **C** Plan sponsor's name as shown on line 2a of Form 5500 | **D** Employer Identification Number (EIN) |
| UNITEDHEALTH GROUP INCORPORATED | 41-1321939 |

## Part I Service Provider Information (see instructions)

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

### 1 Information on Persons Receiving Only Eligible Indirect Compensation

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

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

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

FIDELITY INVST INSTNL OPRTN CO, INC

04-2647786

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

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

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

FIDELITY INVST INSTNL OPRTN CO, INC

04-2647786

| (b) Service Code(s) | (c) Relationship to employer, employee organization, or person known to be a party-in-interest | (d) Enter direct compensation paid by the plan. If none, enter -0-. | (e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | (h) Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| 64 37 65 71 50 | RECORDKEEPER | 5999781 | Yes [X] No [ ] | Yes [X] No [ ] | 0 | Yes [X] 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 [ ] |

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

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

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

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

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

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

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

## Part I Service Provider Information (continued)

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

| **(a)** Enter service provider name as it appears on line 2 | **(b)** Service Codes (see instructions) | **(c)** Enter amount of indirect compensation |
|---|---|---|
| FIDELITY INVST INSTNL OPRTN CO, INC | 60 | 0 |

| **(d)** Enter name and EIN (address) of source of indirect compensation | **(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation. |
|---|---|
| BROKERAGE LINK<br><br>04-2647786 | SEE SCHEDULE C ATTACHMENT LABELED - BROKERAGE LINK INDIRECT FEES |

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

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

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

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

## Part II Service Providers Who Fail or Refuse to Provide Information

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

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

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

| **(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)**<br>(complete as many entries as needed) |
|---|---|

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

# SCHEDULE D (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

# DFE/Participating Plan Information

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

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

OMB No. 1210-0110

**2021**

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

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

**A** Name of plan
UNITEDHEALTH GROUP 401(K) SAVINGS PLAN

**B** Three-digit plan number (PN) ▶ 001

**C** Plan or DFE sponsor's name as shown on line 2a of Form 5500
UNITEDHEALTH GROUP INCORPORATED

**D** Employer Identification Number (EIN)
41-1321939

## Part I Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs)

(Complete as many entries as needed to report all interests in DFEs)

**a** Name of MTIA, CCT, PSA, or 103-12 IE: UHG 401K SAVINGS PLAN MASTER TR

**b** Name of sponsor of entity listed in (a): UNITED HEALTHCARE SERVICES, INC.

| **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) |
|---|---|---|
| 30-0993007-001 | M | 19427145650 |

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Part II** **Information on Participating Plans (to be completed by DFEs)**
(Complete as many entries as needed to report all participating plans)

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

# SCHEDULE H (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

## Financial Information

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

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

OMB No. 1210-0110

**2021**

**This Form is Open to Public Inspection**

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

**A** Name of plan
UNITEDHEALTH GROUP 401(K) SAVINGS PLAN

**B** Three-digit plan number (PN) ▶ 001

**C** Plan sponsor's name as shown on line 2a of Form 5500
UNITEDHEALTH GROUP INCORPORATED

**D** Employer Identification Number (EIN)
41-1321939

## Part I Asset and Liability Statement

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

| Assets | | (a) Beginning of Year | (b) End of Year |
|---|---|---|---|
| **a** Total noninterest-bearing cash | 1a | | |
| **b** Receivables (less allowance for doubtful accounts): | | | |
| **(1)** Employer contributions | 1b(1) | | |
| **(2)** Participant contributions | 1b(2) | | |
| **(3)** Other | 1b(3) | | |
| **c** General investments: | | | |
| **(1)** Interest-bearing cash (include money market accounts & certificates of deposit) | 1c(1) | 5196912 | 6023968 |
| **(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) | 358754798 | 376445394 |
| **(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) | 15881571227 | 19427145650 |
| **(12)** Value of interest in 103-12 investment entities | 1c(12) | | |
| **(13)** Value of interest in registered investment companies (e.g., mutual funds) | 1c(13) | | |
| **(14)** Value of funds held in insurance company general account (unallocated contracts) | 1c(14) | | |
| **(15)** Other | 1c(15) | 511451812 | 645626462 |

| | | | **(a)** Beginning of Year | **(b)** End of Year |
|---|---|---|---|---|
| **1d** | Employer-related investments: | | | |
| | **(1)** Employer securities | 1d(1) | 437018118 | 576927727 |
| | **(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 | 17193992867 | 21032169201 |
| | **Liabilities** | | | |
| **g** | Benefit claims payable | 1g | | |
| **h** | Operating payables | 1h | | |
| **i** | Acquisition indebtedness | 1i | | |
| **j** | Other liabilities | 1j | | |
| **k** | Total liabilities (add all amounts in lines 1g through1j) | 1k | 0 | 0 |
| | **Net Assets** | | | |
| **l** | Net assets (subtract line 1k from line 1f) | 1l | 17193992867 | 21032169201 |

## 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 |
|---|---|---|---|---|
| | **Income** | | | |
| **a** | **Contributions:** | | | |
| | **(1)** Received or receivable in cash from: **(A)** Employers | 2a(1)(A) | 470416014 | |
| | **(B)** Participants | 2a(1)(B) | 1053957365 | |
| | **(C)** Others (including rollovers) | 2a(1)(C) | 154289377 | |
| | **(2)** Noncash contributions | 2a(2) | | |
| | **(3)** Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)** | 2a(3) | | 1678662756 |
| **b** | **Earnings on investments:** | | | |
| | **(1)** Interest: | | | |
| | **(A)** Interest-bearing cash (including money market accounts and certificates of deposit) | 2b(1)(A) | | |
| | **(B)** U.S. Government securities | 2b(1)(B) | | |
| | **(C)** Corporate debt instruments | 2b(1)(C) | | |
| | **(D)** Loans (other than to participants) | 2b(1)(D) | | |
| | **(E)** Participant loans | 2b(1)(E) | 19077510 | |
| | **(F)** Other | 2b(1)(F) | | |
| | **(G)** Total interest. Add lines **2b(1)(A)** through **(F)** | 2b(1)(G) | | 19077510 |
| | **(2)** Dividends: **(A)** Preferred stock | 2b(2)(A) | | |
| | **(B)** Common stock | 2b(2)(B) | 6515284 | |
| | **(C)** Registered investment company shares (e.g. mutual funds) | 2b(2)(C) | | |
| | **(D)** Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)** | 2b(2)(D) | | 6515284 |
| | **(3)** Rents | 2b(3) | | |
| | **(4)** Net gain (loss) on sale of assets: **(A)** Aggregate proceeds | 2b(4)(A) | 72259785 | |
| | **(B)** Aggregate carrying amount (see instructions) | 2b(4)(B) | 67017276 | |
| | **(C)** Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result | 2b(4)(C) | | 5242509 |
| | **(5)** Unrealized appreciation (depreciation) of assets: **(A)** Real estate | 2b(5)(A) | | |
| | **(B)** Other | 2b(5)(B) | 173284721 | |
| | **(C)** Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)** | 2b(5)(C) | | 173284721 |

| | | (a) Amount | (b) Total |
|---|---|---|---|
| **(6)** Net investment gain (loss) from common/collective trusts | 2b(6) | | |
| **(7)** Net investment gain (loss) from pooled separate accounts | 2b(7) | | |
| **(8)** Net investment gain (loss) from master trust investment accounts | 2b(8) | | 2452895507 |
| **(9)** Net investment gain (loss) from 103-12 investment entities | 2b(9) | | |
| **(10)** Net investment gain (loss) from registered investment companies (e.g., mutual funds) | 2b(10) | | |
| **c** Other income | 2c | | 51205179 |
| **d** Total income. Add all **income** amounts in column (b) and enter total | 2d | | 4386883466 |
| **Expenses** | | | |
| **e** Benefit payment and payments to provide benefits: | | | |
| **(1)** Directly to participants or beneficiaries, including direct rollovers | 2e(1) | 1306028312 | |
| **(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) | | 1306028312 |
| **f** Corrective distributions (see instructions) | 2f | | 239045 |
| **g** Certain deemed distributions of participant loans (see instructions) | 2g | | 526100 |
| **h** Interest expense | 2h | | |
| **i** Administrative expenses: **(1)** Professional fees | 2i(1) | | |
| **(2)** Contract administrator fees | 2i(2) | | |
| **(3)** Investment advisory and management fees | 2i(3) | | |
| **(4)** Other | 2i(4) | 5999781 | |
| **(5)** Total administrative expenses. Add lines **2i(1)** through **(4)** | 2i(5) | | 5999781 |
| **j** Total expenses. Add all **expense** amounts in column (b) and enter total | 2j | | 1312793238 |
| **Net Income and Reconciliation** | | | |
| **k** Net income (loss). Subtract line **2j** from line **2d** | 2k | | 3074090228 |
| **l** Transfers of assets: | | | |
| **(1)** To this plan | 2l(1) | | 764086106 |
| **(2)** From this plan | 2l(2) | | |

## Part III Accountant's Opinion

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

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

**(1)** [X] 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)** [X] neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

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

**(1)** Name: DELOITTE & TOUCHE, LLP **(2)** EIN: 13-3891517

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

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

## Part IV Compliance Questions

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

During the plan year:

| | | Yes | No | Amount |
|---|---|---|---|---|
| **a** Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.) | 4a | | X | |

| | | | 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? | **4e** | X | | 5000000 |
| **f** | Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty? | **4f** | | X | |
| **g** | Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser? | **4g** | | X | |
| **h** | Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser? | **4h** | | X | |
| **i** | Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.) | **4i** | X | | |
| **j** | Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.) | **4j** | | X | |
| **k** | Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC? | **4k** | | X | |
| **l** | Has the plan failed to provide any benefit when due under the plan? | **4l** | X | | 542 |
| **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 _____.

# SCHEDULE R (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

## Retirement Plan Information

This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).

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

OMB No. 1210-0110

**2021**

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

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

**A** Name of plan
UNITEDHEALTH GROUP 401(K) SAVINGS PLAN

**B** Three-digit plan number (PN) ▶ 001

**C** Plan sponsor's name as shown on line 2a of Form 5500
UNITEDHEALTH GROUP INCORPORATED

**D** Employer Identification Number (EIN)
41-1321939

## Part I Distributions

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

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

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

EIN(s): 04-6568107

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

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

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

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

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

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

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

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

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

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

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

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

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

## Part III Amendments

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

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

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

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

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

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

## 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 _____

# UnitedHealth Group 401(k) Savings Plan

Employer ID No: 41-1321939
Plan Number: 001

Financial Statements as of December 31, 2021 and 2020, and for the Year Ended December 31, 2021, Supplemental Schedule as of December 31, 2021, and Independent Auditor's Report

# UNITEDHEALTH GROUP 401(k) SAVINGS PLAN

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

Deloitte.

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## INDEPENDENT AUDITOR'S REPORT

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

### Opinion

We have audited the financial statements of UnitedHealth Group 401(k) Savings Plan (the "Plan"), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), which comprise the statement of net assets available for benefits as of December 31, 2021, and the related statement of changes in net assets available for benefits for the year then ended, and the related notes to the financial statements.

In our opinion, the accompanying financial statements present fairly, in all material respects, the net assets available for benefits of the Plan as of December 31, 2021, and the changes in its net assets available for benefits for the year then ended, in accordance with accounting principles generally accepted in the United States of America.

### Basis for Opinion

We conducted our audits in accordance with auditing standards generally accepted in the United States of America (GAAS). Our responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the Plan and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audits. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### Auditor's Report on the 2020 Financial Statements

We have audited the statement of net assets available for benefits of UnitedHealth Group 401(k) Savings Plan as of December 31, 2020 and the related statement of changes in net assets available for benefits for the year ended December 31, 2020 (Not presented herein), and in our report dated June 17, 2021, we expressed an unmodified opinion on those financial statements.

### Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America, and for 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.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for one year after the date that the financial statements are issued.

Management is also responsible for maintaining a current Plan instrument, including all Plan amendments, administering the Plan, and determining that the Plan's transactions that are presented and disclosed in the financial statements are in conformity with the Plan's provisions, including maintaining sufficient records with respect to each of the participants, to determine the benefits due or which may become due to such participants.

**Auditor's Responsibilities for the Audit of the Financial Statements**

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with GAAS, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit 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, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for a reasonable period of time.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

**Supplemental Schedule Required by ERISA**

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The supplemental schedule of assets (held at end of year) as of December 31, 2021, is presented for purposes of additional analysis and is not a required part of the financial statements but is supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of 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 to the financial statements themselves, and other additional procedures in accordance with GAAS.

In forming our opinion on the supplemental schedule, we evaluated whether the supplemental schedule, including its form and content, is presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion, the information in the accompanying schedule is fairly stated, in all material respects, in relation to the financial statements as a whole, and the form and content is presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

Deloitte + Touche LLP

June 16, 2022

# UNITEDHEALTH GROUP 401(k) SAVINGS PLAN

## STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS
## AS OF DECEMBER 31, 2021 AND 2020 (in thousands)

| | 2021 | 2020 |
|---|---|---|
| ASSETS: | | |
| Plan's interest in Master Trust | $ 19,427,146 | $ 15,881,571 |
| Investments - at fair value | 1,228,578 | 953,667 |
| Receivables: | | |
| Notes receivable from participants | 378,036 | 359,528 |
| NET ASSETS AVAILABLE FOR BENEFITS | $ 21,033,760 | $ 17,194,766 |

See Notes to the Financial Statements.

# UNITEDHEALTH GROUP 401(k) SAVINGS PLAN

## STATEMENT OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS
## FOR THE YEAR ENDED DECEMBER 31, 2021 (in thousands)

| | | |
|---|---|---|
| ADDITIONS: | | |
| Contributions: | | |
| Employee | $ | 1,053,958 |
| Employer | | 470,416 |
| Rollover | | 154,289 |
| Total contributions | | 1,678,663 |
| Plan's interest in Master Trust investment income | | 2,452,896 |
| Net appreciation in fair value of investments | | 229,732 |
| Dividends | | 6,515 |
| Interest income on notes receivable from participants | | 19,136 |
| Total additions | | 4,386,942 |
| DEDUCTIONS: | | |
| Benefits paid to participants | | 1,306,351 |
| Administrative expenses | | 6,000 |
| Total deductions | | 1,312,351 |
| INCREASE IN NET ASSETS BEFORE PLAN TRANSFERS | | 3,074,591 |
| NET TRANSFERS INTO THE PLAN (Note 10) | | 764,403 |
| INCREASE IN NET ASSETS AVAILABLE FOR BENEFITS | | 3,838,994 |
| NET ASSETS AVAILABLE FOR BENEFITS: | | |
| Beginning of year | | 17,194,766 |
| End of year | $ | 21,033,760 |

See Notes to the Financial Statements.

## NOTES TO FINANCIAL STATEMENTS
## AS OF DECEMBER 31, 2021 AND 2020 AND FOR THE YEAR ENDED DECEMBER 31, 2021

### 1. DESCRIPTION OF PLAN

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

***General***

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

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

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

***CARES Act***

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

- Coronavirus-related distributions — Qualified individuals, as defined in the CARES Act, were permitted to take a coronavirus-related distribution of up to the lesser of $100,000 or 100% of their vested account from the Plan, without incurring a 10% early withdrawal penalty. Eligible distributions were permitted to be taken until December 30, 2020. Distributions may be repaid to an eligible retirement plan within three years or a participant may elect to include these distributions in taxable income on a pro rata basis over three years.

- Participant loans — Qualified individuals with loans outstanding were permitted to suspend 2020 loan repayments through December 31, 2020. Additionally, qualified individuals were eligible to borrow up to a maximum equal to the lesser of $100,000 or 100% of their vested account balance during 2020 (an increase from $50,000 and from 50% of their vested account balance previously permitted), with repayments suspended until 2021.

***Eligibility***

In general, eligible employees may make salary deferral contributions to the Plan upon employment with a participating employer of the Company and are automatically enrolled in the Plan as soon as administratively feasible after their hire date. Participants become eligible for employer safe harbor matching contributions once they are credited with one year of service. Employees whose employment is governed by the terms of a collective bargaining agreement (unless such collective bargaining agreement provides for the inclusion of those employees in the Plan), persons who the Company classifies as leased employees, and certain other classifications of employees are not eligible to participate in the Plan.

***Contributions***

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

The Company makes a safe harbor matching contribution equal to 100% of contributions up to 3% of eligible compensation, plus 50% of the next 3% of eligible compensation for a maximum contribution of 4.5% per payroll period as defined in the Plan document. Additional discretionary contributions may also be made by the Company. No discretionary contributions were made during the 2021 plan year.

***Participant Accounts***

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

***Investment Classification***

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

***Vesting***

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

| Years of Service | Vesting |
|---|---|
| Less than 2 years | 0% |
| 2 or more | 100% |

Notwithstanding the vesting schedule above, employer contributions, if any, will become fully vested (100%) upon the occurrence of any of the following events while the participant is employed by the Company: the participant's death, disability, attainment of normal retirement age (age 65), a partial or complete termination of or complete discontinuance of contributions to the Plan, or an acceleration date, as defined in the Plan document.

***Dividend Payout***

The Plan includes a dividend payout feature for the UnitedHealth Group Stock Fund ("the Stock Fund"). This feature allows participants invested in the Stock Fund to elect whether dividends payable on Company stock held in the Stock Fund are distributed to participants in cash or reinvested in Company stock within the Stock Fund. The total dividends on the Company stock in the Stock Fund were $6,515,284 for the year ended December 31, 2021. The amount participants elected to be distributed in cash was insignificant.

***Forfeited Accounts***

Nonvested account balances of terminated employees are forfeited. As of December 31, 2021 and 2020, forfeited nonvested accounts totaled $125,185 and $157,441, respectively. Forfeitures can be used to reduce future employer contributions or to pay certain administrative expenses. During the year ended December 31, 2021, employer contributions were reduced by $4,008,467 from forfeiture accounts.

***Payment of Benefits***

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

***Notes Receivable from Participants***

Participants may borrow from their account balance a minimum of $1,000 up to a maximum equal to the lesser of $50,000 (subject to reduction for certain loan balances in the prior 12 months) or 50% of their vested account balance. These loans are secured by the balance in the participant's account. The loan bears interest based on the prime rate, in effect on the first day of the month in which the loan is processed, plus 1% and is

payable over a period not to exceed 59 months. A loan that is used by the participant to acquire a principal residence may, if the loan originated prior to April 1, 2001, be repaid over a period not to exceed 30 years, or if the loan originated between April 1, 2001 and August 31, 2010 over a period not to exceed 10 years, and if the loan originated on or after September 1, 2010, be repaid over a period not to exceed 118 months. Principal and interest are paid ratably through payroll deductions. Participants may have up to two outstanding loans at a time.

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

## 2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

### *Basis of Accounting*

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

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

### *Use of Estimates*

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

### *Recently Adopted Accounting Pronouncements*

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

### *Investment Valuation and Income Recognition*

The Plan's and Master Trust's investments are stated at fair value except for fully benefit-responsive investment contracts which are reported at contract value. Fair value of a financial instrument is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The Investment Committee determines the Plan's and Master Trust's valuation policies utilizing information provided by the investment advisors, custodians, and insurance companies. See Note 4 for a discussion of fair value measurements.

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

***Notes Receivable from Participants***

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Delinquent participant loans are reclassified as benefits paid to participants based upon the terms of the Plan document. No allowance for credit losses has been recorded as of December 31, 2021 and 2020.

***Administrative Expenses***

Certain administrative expenses of the Plan are paid by the Company as provided in the Plan document. Expenses that are paid by the Company are excluded from these financial statements. Fees related to the administration of notes receivable from participants are charged directly to the participant's account and are included in administrative expenses. Investment-related expenses are included in the net appreciation in fair value of investments and Plan's interest in Master Trust investment income.

***Payment of Benefits***

Benefit payments to participants are recorded upon distribution. There are no amounts owed to participants who had elected to withdraw from the Plan, but had not been paid as of December 31, 2021 or 2020.

***Subsequent Events***

Subsequent events were evaluated through June 16, 2022, the date the financial statements were available to be issued. Between January 1, 2022 and June 16, 2022, the First Family Insurance LLC 401(k) Plan, the Healthplex, Inc. 401(k) Retirement Savings Plan, the OptumCare Florida, LLC 401(k) Retirement Savings Plan, the Rally Health 401(k) Plan, the Reliant 401(k) Savings Plan, the naviHealth, Inc. 401(k) Plan, the Savvysherpa, Inc. 401(k) Plan, and the Solutran, Inc. 401(k) Plan merged into the Plan.

## 3. PLAN'S INTEREST IN MASTER TRUST

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

The following tables present the net assets of the Master Trust and the Plan's interest as of December 31, 2021 and 2020.

| | 2021 | |
|---|---|---|
| **(in thousands)** | **Master Trust Balances** | **Plan's Interest in Master Trust Balances** |
| Cash and cash equivalents | $ 89,446 | $ 74,492 |
| Debt securities: | | |
| U.S. government and agencies | 261,652 | 226,891 |
| Corporate and other | 313,340 | 271,711 |
| Mutual funds | 869,322 | 727,994 |
| Common stock | 2,262,971 | 1,774,755 |
| Common collective trusts | 18,445,522 | 15,567,560 |
| Total investments - at fair value | 22,242,253 | 18,643,403 |
| Stable value investment fund (Note 5) | 944,055 | 804,963 |
| Total investments | 23,186,308 | 19,448,366 |
| Accrued income | 89,605 | 74,958 |
| Accrued liabilities | (111,025) | (96,178) |
| Total net assets | $ 23,164,888 | $ 19,427,146 |

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

Due to external investment management of the funds, the Master Trust may buy, sell or hold the common stock of the Company. As of December 31, 2021, the Master Trust held no shares of the Company through external investment management of the funds. As of December 31, 2020, the Master Trust held 47,023 shares of the Company through external investment management of the funds with a cost basis of $8,553,246.

The Master Trust had the following investment income for the year ended December 31, 2021.

| | 2021 |
|---|---|
| **(in thousands)** | **Master Trust Balances** |
| Net appreciation in fair value of investments | $ 2,782,867 |
| Interest and dividends | 85,492 |
| Total investment income | $ 2,868,359 |
| Plan's interest in Master Trust investment income | $ 2,452,896 |

## 4. FAIR VALUE MEASUREMENT

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

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

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

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

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

*Level 3* - Unobservable inputs for the asset.

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

The following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2021.

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

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

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

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

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

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

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

The following tables set forth by level within the fair value hierarchy a summary of the Plan's interest in Master Trust and Plan's investments measured at fair value on a recurring basis at December 31, 2021 and 2020.

| | Fair Value Measurements at December 31, 2021 | | |
|---|---|---|---|
| **(in thousands)** | **Quoted Prices in Active Markets (Level 1)** | **Other Observable Inputs (Level 2)** | **Total Fair Value** |
| Cash and cash equivalents | $ 80,516 | $ — | $ 80,516 |
| Debt securities: | | | |
| U.S. government and agencies | 106,859 | 120,032 | 226,891 |
| Corporate and other | — | 271,711 | 271,711 |
| Mutual funds | 727,994 | — | 727,994 |
| Self-directed brokerage accounts | 640,422 | 5,204 | 645,626 |
| Common stock | 2,351,683 | — | 2,351,683 |
| Total assets in the fair value hierarchy | $ 3,907,474 | $ 396,947 | 4,304,421 |
| Instruments measured at NAV | | | 15,567,560 |
| Total investments at fair value | | | $ 19,871,981 |

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

***Investments Measured Using the NAV Per Share Practical Expedient***

The following table summarizes investments for which fair value is measured using the NAV per share practical expedient as of December 31, 2021 and 2020.

| Investment | Fair Value [1] | Unfunded Commitment | Redemption Frequency[2] | Redemption Notice Period[3][4] |
|---|---|---|---|---|
| | (in thousands) | (in thousands) | | |
| **December 31, 2021** | | | | |
| Common collective trusts | $ 15,567,560 | $ — | Immediate | Various |
| **December 31, 2020** | | | | |
| Common collective trusts | $ 12,446,410 | $ — | Immediate | Various |

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

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

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

None of these events occurred in 2021 and 2020.

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

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

## 5. FULLY BENEFIT-RESPONSIVE INVESTMENT CONTRACTS

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

| (in thousands) | 2021 | 2020 |
|---|---|---|
| Security-backed investment contracts | $ 748,289 | $ 709,939 |
| Separate account guaranteed investment contract | 195,766 | 186,713 |
| Total stable value investment fund | $ 944,055 | $ 896,652 |
| Plan's interest in stable value investment fund | $ 804,963 | $ 820,064 |

Security-backed investment contracts and separate account guaranteed investment contracts are issued by insurance companies or other financial institutions, backed by a portfolio of fixed income funds and pooled separate accounts. The portfolio is either owned directly by 1) the Master Trust (security-backed investment contracts) or 2) owned by the contract issuer and segregated in a separate account for the benefit of the Master Trust (separate account guaranteed investment contract). The issuer guarantees that all qualified participant withdrawals will be at contract value and that the crediting rate applied will not be less than 0%. Cash flow volatility (for example, timing of benefit payments) as well as asset underperformance can be passed through to the Master Trust through adjustments to future contract crediting rates. Crediting rates are typically reset quarterly to account for the difference between the contract value and the fair value of the underlying portfolio.

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

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

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

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

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

- Redemption of all or a portion of the interests in the Master Trust at the direction of the Company, including withdrawals due to the removal of a specifically identifiable group of employees from coverage under the Master Trust (such as a group layoff or early retirement incentive program), the closing or sale of a subsidiary, employing unit or affiliate, or the Company's establishment of another tax qualified defined contribution plan;

- Changes to the Master Trust's prohibition on competing investment options; and

- Bankruptcy of the Company or other company events (for example, divestitures or spinoffs of a subsidiary) that significantly affect the Master Trust's normal operations.

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

## 6. PLAN TERMINATION

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

## 7. FEDERAL INCOME TAX STATUS

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

GAAP requires management to evaluate tax positions taken by the Plan and recognize a tax liability if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress.

## 8. EXEMPT PARTY-IN-INTEREST TRANSACTIONS

The investment of the Plan in the Company's common stock is considered an exempt party-in-interest transaction. At December 31, 2021 and 2020, the Plan held 1,148,938 and 1,246,202 shares of common stock of the Company in the Stock Fund with a cost basis of $36,445,269 and $39,530,564, respectively. The Plan issues loans to participants, which are secured by the participant's account balances. These transactions qualify as exempt party-in-interest transactions.

## 9. RISKS AND UNCERTAINTIES

The Plan provides for investment in a variety of investment securities. Investments, in general, are exposed to various risks, such as interest rate risk, credit risk, and overall market volatility. Due to the level of risk associated with certain investments, it is reasonably possible that changes in the values of the investments will

occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the statements of net assets available for benefits.

## 10. PLAN TRANSFERS

During 2021, Riverside Physician Network 401(k) Plan, Equian, LLC 401(k) Retirement Savings Plan, Urgent Care MSO, LLC 401(k) Plan, USHEALTH Administrators, LLC 401(k) Plan, Diplomat Pharmacy, Inc. Profit Sharing Plan and Trust, BASE 401(k) Plan, OrthoNet LLC 401(k) Profit Sharing Plan and Trust, ConnectYourCare 401(k) Plan, and Optum360 401(k) Savings Plan merged into the Plan.

## 11. RECONCILIATION TO THE FORM 5500

Reconciliation of net assets available for benefits per the financial statements to the Form 5500 as of December 31, 2021 and 2020, is as follows:

| (in thousands) | 2021 | 2020 |
|---|---|---|
| Net assets available for benefits per the financial statements | $ 21,033,760 | $ 17,194,766 |
| Deemed distributions of participant loans | (1,590) | (773) |
| Net assets available for benefits per the Form 5500 | $ 21,032,170 | $ 17,193,993 |

A reconciliation of the increase in net assets available for benefits per the financial statements to the net income per the Form 5500 for the year ended December 31, 2021 is as follows:

| (in thousands) | 2021 |
|---|---|
| Increase in net assets available for benefits per the financial statements | $ 3,838,994 |
| Deemed distributions activity | (817) |
| Net income per the Form 5500 | $ 3,838,177 |

******

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

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

## FORM 5500, SCHEDULE H, Part IV, LINE 4i — SCHEDULE OF ASSETS (HELD AT END OF YEAR)
## AS OF DECEMBER 31, 2021 (in thousands)

| | | Current Value |
|---|---|---|
| UnitedHealth Group Inc. common stock* | $ | 576,928 |
| Self-directed brokerage accounts** | | 645,626 |
| Fidelity institutional cash - U.S. government fund* | | 6,024 |
| Participant loans (interest ranging from 3.25% to 10.25% and maturity dates ranging from January 2022 - October 2049)* | | 376,446 |
| Total investments | $ | 1,605,024 |

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

# Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

## Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).

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

OMB Nos. 1210-0110
1210-0089

**2021**

**This Form is Open to Public Inspection**

## Part I Annual Report Identification Information

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

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

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

**C** If the plan is a collectively-bargained plan, check here. . . . . ▶ ☒

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

**E** If this is a retroactively adopted plan permitted by SECURE Act section 201, check here. . . . . ▶ ☐

## Part II Basic Plan Information—enter all requested information

**1a** Name of plan
UnitedHealth Group 401(k) Savings Plan

**1b** Three-digit plan number (PN) ▶ 001

**1c** Effective date of plan 07/01/1985

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

UnitedHealth Group Incorporated

9900 Bren Road East
MN008-R120
Minnetonka MN 55343

**2b** Employer Identification Number (EIN)
41-1321939

**2c** Plan Sponsor's telephone number
952-936-1300

**2d** Business code (see instructions)
541990

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

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

| | | | |
|---|---|---|---|
| **SIGN HERE** | David E. Strauss | 6.28.22 | David E. Strauss |
| | **Signature of plan administrator** | Date | Enter name of individual signing as plan administrator |
| **SIGN HERE** | | | |
| | **Signature of employer/plan sponsor** | Date | Enter name of individual signing as employer or plan sponsor |
| **SIGN HERE** | | | |
| | **Signature of DFE** | Date | Enter name of individual signing as DFE |

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

UnitedHealth Group Employee Benefits Plans Administrative Committee
UnitedHealth Group Incorporated
9900 Bren Road East
MN008-R120
Minnetonka MN 55343

**3b** Administrator's EIN: 41-1321939

**3c** Administrator's telephone number: 952-936-1300

**4** If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report:
**a** Sponsor's name
**c** Plan Name

**4b** EIN
**4d** PN

| | | |
|---|---|---|
| **5** Total number of participants at the beginning of the plan year | **5** | 207,447 |
| **6** Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines **6a(1), 6a(2), 6b, 6c,** and **6d**). | | |
| **a(1)** Total number of active participants at the beginning of the plan year | **6a(1)** | 157,242 |
| **a(2)** Total number of active participants at the end of the plan year | **6a(2)** | 176,886 |
| **b** Retired or separated participants receiving benefits | **6b** | 627 |
| **c** Other retired or separated participants entitled to future benefits | **6c** | 57,999 |
| **d** Subtotal. Add lines **6a(2)**, **6b**, and **6c** | **6d** | 235,512 |
| **e** Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. | **6e** | 376 |
| **f** Total. Add lines **6d** and **6e** | **6f** | 235,888 |
| **g** Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) | **6g** | 223,968 |
| **h** Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested | **6h** | 3,073 |
| **7** Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item) | **7** | |

**8a** If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:
2E 2F 2G 2J 2K 2R 2S 2T 3H

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

**9a** Plan funding arrangement (check all that apply)

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

**9b** Plan benefit arrangement (check all that apply)

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

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

**a Pension Schedules**

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

**b General Schedules**

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

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

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

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

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

**11c** Enter the Receipt Confirmation Code for the 2021 Form M-1 annual report. If the plan was not required to file the 2021 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code_____

## Brokerage Link Indirect Fees

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

**UnitedHealth Group 401(k) Savings Plan**
**41-1321939 / 001**

| Plan Number | Payor Name | Compensation | Address Type | Street Address | City | State | Zip | Fund Family | CUSIP |
|---|---|---|---|---|---|---|---|---|---|
| 32057 | INVESCO DIVERSIFIED DIVIDEND CLASS A | 0.40% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 001413541 |
| 32057 | INVESCO GLOBAL REAL ESTATE INC FD CL A | 0.40% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00141A628 |
| 32057 | INVESCO FLOATING RATE ESG CLASS A | 0.40% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00141A867 |
| 32057 | INVESCO DIVIDEND INCOME FUND A | 0.40% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00142F535 |
| 32057 | INVESCO EQUALLY WEIGHTED S&P 500 A | 0.40% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00142J818 |
| 32057 | INVESCO STEELPATH MLP SELECT 40 Y | 0.15% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00143K251 |
| 32057 | INVESCO STEELPATH MLP SELECT 40 A | 0.40% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00143K277 |
| 32057 | INVESCO INTL BOND A | 0.40% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00143K673 |
| 32057 | INVESCO GOLD & SPEC MINERALS A | 0.40% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00143N750 |
| 32057 | INVESCO DEVELOPING MARKETS A | 0.40% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00143W701 |
| 32057 | INVESCO DEVELOPING MARKETS Y | 0.10% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00143W875 |
| 32057 | AMG GW&K SMALL/MID CAP FUND CLASS I | 0.07% | USADDRESS | 600 STEAMBOAT ROAD, SUITE 300 | GREENWICH | CT | 06830 | MANAGERS FUNDS | 00170K349 |
| 32057 | AMG YACKTMAN FOCUSED I | 0.07% | USADDRESS | 600 STEAMBOAT ROAD, SUITE 300 | GREENWICH | CT | 06830 | MANAGERS FUNDS | 00170K562 |
| 32057 | AMG YACKTMAN FOCUSED N | 0.40% | USADDRESS | 600 STEAMBOAT ROAD, SUITE 300 | GREENWICH | CT | 06830 | MANAGERS FUNDS | 00170K570 |
| 32057 | AMG YACKTMAN FUND I | 0.40% | USADDRESS | 600 STEAMBOAT ROAD, SUITE 300 | GREENWICH | CT | 06830 | MANAGERS FUNDS | 00170K588 |
| 32057 | AMG TIMESSQUARE INTERNL SMALLCAP N | 0.40% | USADDRESS | 600 STEAMBOAT ROAD, SUITE 300 | GREENWICH | CT | 06830 | MANAGERS FUNDS | 00170K711 |
| 32057 | AQR RISK BALANCED COMMOD STRATEGY FD I | 0.10% | USADDRESS | 1 GREENWICH PLAZA | GREENWICH | CT | 06830 | AQR FUNDS | 00203H677 |
| 32057 | AQR LARGE CAP DEFENSIVE STYLE CL N | 0.40% | USADDRESS | 1 GREENWICH PLAZA | GREENWICH | CT | 06830 | AQR FUNDS | 00203H750 |
| 32057 | AQR MANAGED FUTURES FUND CL I | 0.10% | USADDRESS | 1 GREENWICH PLAZA | GREENWICH | CT | 06830 | AQR FUNDS | 00203H859 |
| 32057 | ABERDEEN U.S. SMALL CAP EQUITY FD CL A | 0.40% | USADDRESS | 1735 MARKET STREET, 32ND FLOOR | PHILADELPHIA | PA | 19103 | ABERDEEN FUNDS | 003020716 |
| 32057 | CAMBIAR INTL EQUITY INVESTOR CL | 0.40% | USADDRESS | 1 FREEDOM VALLEY DRIVE | OAKS | PA | 19456 | CAMBIAR FUNDS | 00758M139 |
| 32057 | LSV VALUE EQUITY INSTITUTIONAL | 0.12% | USADDRESS | 155 N. WACKER DR, STE 4600 | CHICAGO | IL | 60606 | LSV FUNDS | 00758M634 |
| 32057 | EDGEWOOD GROWTH FUND INSTL CL | 0.12% | USADDRESS | 1 FREEDOM VALLEY DRIVE | OAKS | PA | 19456 | EDGEWOOD | 0075W0759 |
| 32057 | AEGIS VALUE FUND INC | 0.10% | USADDRESS | 6862 ELM STREET, SUITE 830 | MCLEAN | VA | 22101 | AEGIS VALUE FUND | 00761L102 |
| 32057 | ADVISORONE CLS GLOBLDIVERFIED EQUITY N | 0.40% | USADDRESS | 17605 WRIGHT STREET | OMAHA | NE | 68130 | ADVISOR ONE FUNDS | 00764F201 |
| 32057 | ADVISORONE CLS GROWTH AND INC CL N | 0.40% | USADDRESS | 17605 WRIGHT STREET | OMAHA | NE | 68130 | ADVISOR ONE FUNDS | 00764F300 |
| 32057 | ADVISORONE CLS SHELTER CL N | 0.40% | USADDRESS | 17605 WRIGHT STREET | OMAHA | NE | 68130 | ADVISOR ONE FUNDS | 00764F433 |
| 32057 | ADVISORONE CLS GLOBLAGGRESSIVE EQUITY N | 0.40% | USADDRESS | 17605 WRIGHT STREET | OMAHA | NE | 68130 | ADVISOR ONE FUNDS | 00764F441 |
| 32057 | ADVISORONE CLS FLEXIBLE INC CL N | 0.40% | USADDRESS | 17605 WRIGHT STREET | OMAHA | NE | 68130 | ADVISOR ONE FUNDS | 00764F458 |
| 32057 | LSV SMALL CAP VALUE FUND INSTITUTIONAL | 0.12% | USADDRESS | 155 N. WACKER DR, STE 4600 | CHICAGO | IL | 60606 | LSV FUNDS | 00769G535 |
| 32057 | RIVER CANYON TOTAL RETURN BOND INSTL | 0.12% | USADDRESS | 2000 AVENUE OF THE STARS 11TH FLOOR | LOS ANGELES | CA | 90067 | RIVER CANYON FUNDS | 00770G656 |
| 32057 | SEMPER MBS TOTAL RETURN INVESTOR | 0.40% | USADDRESS | 52 VANDERBILT AVE. SUITE 401 | NEW YORK | NY | 10017 | SEMPER FUNDS | 00770X741 |
| 32057 | ADV PREFERRED GOLD BULLION STRAT INV | 0.40% | USADDRESS | 1445 RESEARCH BLVD SUITE 530 | ROCKVILLE | MD | 20850 | ADVISORS PREFERRED FUNDS | 00771F202 |
| 32057 | ADVISORS PRFD QUANFDMANAGED INCOME INVST | 0.40% | USADDRESS | 1445 RESEARCH BLVD SUITE 530 | ROCKVILLE | MD | 20850 | ADVISORS PREFERRED FUNDS | 00771F400 |
| 32057 | QUANTIFIED GOVT'T INC TACTICAL INVSTR | 0.40% | USADDRESS | 1445 RESEARCH BLVD SUITE 530 | ROCKVILLE | MD | 20850 | ADVISORS PREFERRED FUNDS | 00771F525 |
| 32057 | ADVISORS PRFD QUANFDMARKET LEADERS INVST | 0.40% | USADDRESS | 1445 RESEARCH BLVD SUITE 530 | ROCKVILLE | MD | 20850 | ADVISORS PREFERRED FUNDS | 00771F608 |
| 32057 | QUANTIFIED COMMON GROUND FD INVST | 0.40% | USADDRESS | 1445 RESEARCH BLVD SUITE 530 | ROCKVILLE | MD | 20850 | ADVISORS PREFERRED FUNDS | 00771F632 |
| 32057 | QUANTIFIED TACTICAL FIXED INC INVST | 0.40% | USADDRESS | 1445 RESEARCH BLVD SUITE 530 | ROCKVILLE | MD | 20850 | ADVISORS PREFERRED FUNDS | 00771F673 |
| 32057 | ADVISORS PREFERRED QUANTIFIED STF INVST | 0.40% | USADDRESS | 1445 RESEARCH BLVD SUITE 530 | ROCKVILLE | MD | 20850 | ADVISORS PREFERRED FUNDS | 00771F749 |
| 32057 | GQG PARTNERS EMERG MARKETS EQ INSTL | 0.15% | USADDRESS | 1 FREEDOM VALLEY DRIVE | OAKS | PA | 19456 | GQG PARTNERS FUND | 00771X419 |
| 32057 | SOUTHERNSUN SMALL CAP FUND N | 0.40% | USADDRESS | 1 Freedom Valley Drive | OAKS | PA | 19456 | SOUTHERN SUN FUNDS | 00774Q163 |
| 32057 | HUBER CAPITAL SMALL CAP VALUE INVESTOR | 0.40% | USADDRESS | 2321 ROSECRANS AVE., SUITE 3245 | EL SEGUNDO | CA | 90245 | HUBER FUNDS | 007989379 |
| 32057 | INVESCO GLOBAL A | 0.40% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00900W100 |
| 32057 | INVESCO INTL SMALL MID COMPANY A | 0.40% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00900W571 |
| 32057 | INVESCO GLOBAL OPPORTUNITIES A | 0.40% | USADDRESS | 11 GREENWAY PLAZA; SUITE 100 | HOUSTON | TX | 77046 | INVESCO | 00900W779 |
| 32057 | ALGER MID CAP FOCUS CL I | 0.40% | USADDRESS | 600 PLAZA ONE, 6TH FL | JERSITY CITY | NJ | 07311 | ALGER INSTITUTIONAL | 015565179 |
| 32057 | ALGER SMALL CAP FOCUS CLASS A | 0.40% | USADDRESS | 600 PLAZA ONE, 6TH FL | JERSEY CITY | NJ | 07311 | ALGER GROUP | 015565450 |
| 32057 | ALGER WEATHERBIE SPECIALIZED GR A | 0.40% | USADDRESS | 600 PLAZA ONE, 6TH FL | JERSEY CITY | NJ | 07311 | ALGER GROUP | 015565732 |
| 32057 | ALGER HEALTH SCIENCES FD CL A | 0.40% | USADDRESS | 600 PLAZA ONE, 6TH FL | JERSEY CITY | NJ | 07311 | ALGER GROUP | 015565765 |
| 32057 | ALGER SMALL CAP GROWTH FUND A | 0.40% | USADDRESS | 600 PLAZA ONE, 6TH FL | JERSEY CITY | NJ | 07311 | ALGER GROUP | 015565872 |
| 32057 | ALGER SPECTRA FUND CLASS CL A | 0.40% | USADDRESS | 600 PLAZA ONE, 6TH FL | JERSEY CITY | NJ | 07311 | ALGER GROUP | 015566102 |
| 32057 | ALGER SMALL CAP GROWTH INSTL FD CL I | 0.40% | USADDRESS | 600 PLAZA ONE, 6TH FL | JERSITY CITY | NJ | 07311 | ALGER INSTITUTIONAL | 015570104 |
| 32057 | AB ALL MARKET REAL RETURN PORT ADV | 0.10% | USADDRESS | 8000 IH 10 WEST; SUITE 1400, 14TH FLOOR | SAN ANTONIO | TX | 78230 | ALLIANCE CAPITAL FUNDS | 018528422 |
| 32057 | AB HIGH INCOME CLASS A | 0.10% | USADDRESS | 8000 IH 10 WEST; SUITE 1400, 14TH FLOOR | SAN ANTONIO | TX | 78230 | ALLIANCE CAPITAL FUNDS | 01859M101 |
| 32057 | AB LARGE CAP GROWTH CLASS A | 0.40% | USADDRESS | 8000 IH 10 WEST; SUITE 1400, 14TH FLOOR | SAN ANTONIO | TX | 78230 | ALLIANCE CAPITAL FUNDS | 01877C101 |
| 32057 | AB LARGE CAP GROWTH ADVISOR CLASS | 0.15% | USADDRESS | 8000 IH 10 WEST; SUITE 1400, 14TH FLOOR | SAN ANTONIO | TX | 78230 | ALLIANCE CAPITAL FUNDS | 01877C408 |
| 32057 | AB SMALL CAP GROWTH PORT CLASS A | 0.40% | USADDRESS | 8000 IH 10 WEST; SUITE 1400, 14TH FLOOR | SAN ANTONIO | TX | 78230 | ALLIANCE CAPITAL FUNDS | 01877E107 |
| 32057 | AB SUSTAINABLE GLOBAL THEMATIC A | 0.40% | USADDRESS | 8000 IH 10 WEST; SUITE 1400, 14TH FLOOR | SAN ANTONIO | TX | 78230 | ALLIANCE CAPITAL FUNDS | 018780106 |
| 32057 | IMAN FUND RETAIL SHARES | 0.40% | USADDRESS | 721 ENTERPRISE DRIVE | OAKBROOK | IL | 60523 | IMAN FUND | 018866103 |
| 32057 | AMANA MUTUAL FUND TRUST INCOME | 0.40% | USADDRESS | 1300 NORTH STATE STREET | BELLINGHAM | WA | 98225 | AMANA MUTUAL FUNDS | 022865109 |
| 32057 | AMANA MUTUAL FUND TRUST GROWTH | 0.40% | USADDRESS | 1300 NORTH STATE STREET | BELLINGHAM | WA | 98225 | AMANA MUTUAL FUNDS | 022865208 |
| 32057 | AMANA DEVELOPING WORLD FUND | 0.40% | USADDRESS | 1300 NORTH STATE STREET | BELLINGHAM | WA | 98225 | AMANA MUTUAL FUNDS | 022865307 |
| 32057 | AMANA PARTICIPATION FD INVESTOR CLASS | 0.40% | USADDRESS | 1300 NORTH STATE STREET | BELLINGHAM | WA | 98225 | AMANA MUTUAL FUNDS | 022865703 |
| 32057 | AMERICAN AMCAP FUND CLASS F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 023375405 |
| 32057 | AMERICAN AMCAP FUND F2 | 0.12% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 023375827 |
| 32057 | AMERICAN BEACON MID CAP INVESTOR | 0.40% | USADDRESS | 220 EAST LAS COLINAS BLVD, SUITE 1200 | IRVING | TX | 75039 | AMERICAN BEACON FUNDS | 02368A299 |
| 32057 | AMERICAN BEACON SMALL CAP INVESTOR | 0.40% | USADDRESS | 220 EAST LAS COLINAS BLVD, SUITE 1200 | IRVING | TX | 75039 | AMERICAN BEACON FUNDS | 02368A620 |
| 32057 | AMERICAN BEACON INTL EQUITY INVESTOR | 0.40% | USADDRESS | 220 EAST LAS COLINAS BLVD, SUITE 1200 | IRVING | TX | 75039 | AMERICAN BEACON FUNDS | 02368A794 |
| 32057 | AMERICAN BALANCED CLASS A | $18.00 | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN FUNDS GROUP | 024071102 |
| 32057 | AMERICAN BALANCED CLASS F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 024071409 |
| 32057 | AMERICAN BALANCED FUND F2 | 0.12% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 024071821 |
| 32057 | AMER BEACON BRDGWAY LARGE CAP VAL INVST | 0.40% | USADDRESS | 220 EAST LAS COLINAS BLVD, SUITE 1200 | IRVING | TX | 75039 | AMERICAN BEACON FUNDS | 024524118 |
| 32057 | AMERICAN BEACON SIM HIGH YLD OPPS INVEST | 0.40% | USADDRESS | 220 EAST LAS COLINAS BLVD, SUITE 1200 | IRVING | TX | 75039 | AMERICAN BEACON FUNDS | 024524274 |
| 32057 | AMER BEACON BRDGWAY LRG CAP GRWTH R5 | 0.04% | USADDRESS | 220 EAST LAS COLINAS BLVD, SUITE 1200 | IRVING | TX | 75039 | AMERICAN BEACON FUNDS | 024525370 |
| 32057 | AMERICAN BEACON GL EV FRT MRKT INC INVT | 0.40% | USADDRESS | 220 EAST LAS COLINAS BLVD, SUITE 1200 | IRVING | TX | 75039 | AMERICAN BEACON FUNDS | 024525693 |
| 32057 | AMERICAN BEACON ARK TRANS INNOVTN INVSTR | 0.40% | USADDRESS | 220 EAST LAS COLINAS BLVD, SUITE 1200 | IRVING | TX | 75039 | AMERICAN BEACON FUNDS | 024526204 |
| 32057 | AMERICAN CEN SHT DURINFL PROTECTN BD INV | 0.25% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 024932774 |
| 32057 | AVANTIS US SMALL CAP VALUE FUND | 0.04% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 025072828 |
| 32057 | AMERICAN CENTURY VALUE INV CL | 0.35% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 025076506 |
| 32057 | AMERICAN CENTURY MID CAP VALUE CLASS I | 0.07% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 025076647 |
| 32057 | AMERICAN CENTURY MIDCAP VALUE INV SHS | 0.35% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 025076654 |
| 32057 | AMERICAN CENTURY REAL ESTATE INV CL | 0.35% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 025076886 |
| 32057 | AMERICAN CEN FOCUSEDDYNAMIC GROWTH INV | 0.35% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 02507H502 |
| 32057 | AMERICAN CEN FOCUSED DYNAMIC GROWTH CL I | 0.07% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 02507H601 |
| 32057 | AMERICAN CENTURY CHGAL GOLD INV CL | 0.35% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 02507M105 |
| 32057 | AMERICAN CENTURY INFL ADJ BOND INSTL | 0.05% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 025081639 |
| 32057 | AMERICAN CENTURY GROWTH INVESTOR CL | 0.35% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 025083106 |
| 32057 | AMERICAN CENTURY ULTRA CLASS I | 0.15% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 025083874 |
| 32057 | AMERICAN CENTURY ULTRA INVESTOR CLASS | 0.35% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 025083882 |
| 32057 | AMERICAN CENTURY INTL OPP. FUND INV CL | 0.35% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 025086745 |
| 32057 | AMERICAN CENTURY EMERGING MRKTS CL I | 0.15% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 025086877 |
| 32057 | AMERICAN CENTURY EMERGING MARKETS INV | 0.35% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 025086885 |
| 32057 | AMERICAN CENTURY SUSTAINABLE EQ INV | 0.35% | USADDRESS | 4400 MAIN ST - 1ST FLOOR | KANSAS CITY | MO | 64111 | AMERICAN CENTURY INVESTMENTS | 02508H600 |
| 32057 | AMERICAN CORPORATE BOND FUND CL F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 02629H406 |
| 32057 | AMERICAN FUNDS INFLTLINKED BOND CL F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 02630D402 |
| 32057 | AMERICAN 2045 TARGETDATE RETIREMENT CL A | $18.00 | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN FUNDS GROUP | 02630T514 |
| 32057 | AMERICAN FUNDS MORTGAGE CL F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 02630V402 |
| 32057 | AMERICAN FDS TAX AWRCONS GR AND INC F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 02630Y588 |
| 32057 | AMERICAN 2045 TARGETDATE RETIREMNT F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 02631C643 |
| 32057 | AMERICAN 2040 TARGETDATE RETIREMNT F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 02631C684 |
| 32057 | AMERICAN 2035 TARGETDATE RETIREMNT F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 02631C734 |
| 32057 | AMERICAN STRATEGIC BOND FUND F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 02631E409 |

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| 32057 | AMERICAN STRATEGIC BOND FUND F2 | 0.15% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 02631E508 |
| 32057 | AMERICAN CLASS EMERGMARKETS BOND F-1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 02631F406 |
| 32057 | AMERICAN HIGH INCOMECLASS F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 026547406 |
| 32057 | AMERICAN MUTUAL FUND CL F2 | 0.12% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 027681824 |
| 32057 | ANGEL OAK MULTI STRATEGY INCOME CL A | 0.10% | USADDRESS | 400 CITY CENTER (MK-WI-CCCL) | OSHKOSH | WI | 54901 | ANGEL OAK FUNDS | 03463K307 |
| 32057 | ANGEL OAK MULTI STRATEGY INC INSTL | 0.15% | USADDRESS | 400 CITY CENTER (MK-WI-CCCL) | OSHKOSH | WI | 54901 | ANGEL OAK FUNDS | 03463K406 |
| 32057 | ARCHER STOCK FUND | 0.08% | USADDRESS | 9000 KEYSTONE CROSSING #630 | INDIANAPOLIS | IN | 46240 | ARCHER FUNDS | 039491204 |
| 32057 | ARCHER DIVIDEND GROWTH FUND | 0.08% | USADDRESS | 9000 KEYSTONE CROSSING #630 | INDIANAPOLIS | IN | 46240 | ARCHER FUNDS | 039491303 |
| 32057 | ARCHER BALANCED | 0.08% | USADDRESS | 9000 KEYSTONE CROSSING #630 | INDIANAPOLIS | IN | 46240 | ARCHER FUNDS | 03951C106 |
| 32057 | ARIEL APPRECIATION | 0.40% | USADDRESS | 811 E. WISCONSIN AVENUE. MK-WI-J8NF | MILWAUKEE | WI | 53202 | ARIEL MUTUAL FUNDS | 040337206 |
| 32057 | ARIEL INTERNATIONAL FUND INVESTOR | 0.40% | USADDRESS | 811 E. WISCONSIN AVENUE. MK-WI-J8NF | MILWAUKEE | WI | 53202 | ARIEL MUTUAL FUNDS | 040337883 |
| 32057 | ARTISAN SMALL CAP FUND INVESTOR CL | 0.39% | USADDRESS | 875 EAST WISCONSIN AVENUE SUITE 800 | MILWAUKEE | WI | 53202 | ARTISAN FUNDS | 04314H105 |
| 32057 | ARTISAN INTERNATL INVESTOR CLASS | 0.39% | USADDRESS | 875 EAST WISCONSIN AVENUE SUITE 800 | MILWAUKEE | WI | 53202 | ARTISAN FUNDS | 04314H204 |
| 32057 | ARTISAN INTL SMALL MID FUND ADVISOR | 0.15% | USADDRESS | 875 EAST WISCONSIN AVENUE SUITE 800 | MILWAUKEE | WI | 53202 | ARTISAN FUNDS | 04314H485 |
| 32057 | ARTISAN THEMATIC FD INVESTOR CLASS | 0.39% | USADDRESS | 875 EAST WISCONSIN AVENUE SUITE 800 | MILWAUKEE | WI | 53202 | ARTISAN FUNDS | 04314H543 |
| 32057 | ARTISAN DEVELOPING WORLD FD ADVISOR CL | 0.15% | USADDRESS | 875 EAST WISCONSIN AVENUE SUITE 800 | MILWAUKEE | WI | 53202 | ARTISAN FUNDS | 04314H618 |
| 32057 | ARTISAN DEVELOPING WORLD FD INVESTOR CL | 0.39% | USADDRESS | 875 EAST WISCONSIN AVENUE SUITE 800 | MILWAUKEE | WI | 53202 | ARTISAN FUNDS | 04314H626 |
| 32057 | ARTISAN HIGH INCOME FUND INVESTOR | 0.39% | USADDRESS | 875 EAST WISCONSIN AVENUE SUITE 800 | MILWAUKEE | WI | 53202 | ARTISAN FUNDS | 04314H725 |
| 32057 | ARTISAN GLOBAL OPPORTUNITIES INV | 0.39% | USADDRESS | 875 EAST WISCONSIN AVENUE SUITE 800 | MILWAUKEE | WI | 53202 | ARTISAN FUNDS | 04314H824 |
| 32057 | ARTISAN GLOBAL VALUE FD INVT SHARES | 0.39% | USADDRESS | 875 EAST WISCONSIN AVENUE SUITE 800 | MILWAUKEE | WI | 53202 | ARTISAN FUNDS | 04314H840 |
| 32057 | ARTISAN INTL VALUE FUND INV CL | 0.39% | USADDRESS | 875 EAST WISCONSIN AVENUE SUITE 800 | MILWAUKEE | WI | 53202 | ARTISAN FUNDS | 04314H881 |
| 32057 | ASHMORE EMERGING MKT CORPORATE DEBT CL I | 0.08% | USADDRESS | 801 S. CANAL STREET | CHICAGO | IL | 60607 | ASHMORE FUNDS | 044820504 |
| 32057 | AZZAD ETHICHAL MID CAP FUND CL A | 0.40% | USADDRESS | 8000 TOWN CENTRE DR STE 400 | BROADVIEW HEIGHTS | OH | 441474031 | AZZAD FUNDS | 055060206 |
| 32057 | WISE CAPITAL FUND | 0.40% | USADDRESS | 8000 TOWN CENTRE DR STE 400 | BROADVIEW HEIGHTS | OH | 441474031 | AZZAD FUNDS | 055060305 |
| 32057 | BNY MELLON SMALL MIDCAP GROWTH A | 0.40% | USADDRESS | 144 GLENN CURTISS BLVD 8TH FLOOR | UNIONDALE | NY | 11556 | DREYFUS GROUP | 05586X108 |
| 32057 | BNY MELLON GLOBAL REAL RETURN A | 0.40% | USADDRESS | 144 GLENN CURTISS BLVD 8TH FLOOR | UNIONDALE | NY | 11556 | DREYFUS GROUP | 05587N844 |
| 32057 | BNY MELLON APPRECIATION INVSTR | 0.40% | USADDRESS | 144 GLENN CURTISS BLVD 8TH FLOOR | UNIONDALE | NY | 11556 | DREYFUS GROUP | 05589Q100 |
| 32057 | BAILLIE GIFFORD LONG TERM GLBL GR INSTL | 0.12% | USADDRESS | 780 THIRD AVENUE | NEW YORK | NY | 10017 | BAILLIE GIFFORD FUNDS | 056823297 |
| 32057 | BAIRD AGGREGATE BOND FUND INSTL | 0.02% | USADDRESS | 777 E. WISCONSIN AVE, 18TH FL | MILWAUKEE | WI | 53202 | BAIRD | 057071854 |
| 32057 | BARON ASSET | 0.40% | USADDRESS | 767 5TH AVENUE 49TH FLOOR | NEW YORK | NY | 10153 | BARON ASSET FUNDS | 068278100 |
| 32057 | BARON OPPORTUNITY FUND | 0.40% | USADDRESS | 767 5TH AVENUE 49TH FLOOR | NEW YORK | NY | 10153 | BARON ASSET FUNDS | 068278407 |
| 32057 | BARON ASSET FUND INSTL CLASS | 0.15% | USADDRESS | 767 5TH AVENUE 49TH FLOOR | NEW YORK | NY | 10153 | BARON ASSET FUNDS | 068278605 |
| 32057 | BARON GROWTH FUND INSTL CLASS | 0.15% | USADDRESS | 767 5TH AVENUE 49TH FLOOR | NEW YORK | NY | 10153 | BARON ASSET FUNDS | 068278704 |
| 32057 | BARON DISCOVERY FUNDRETAIL SHARES | 0.40% | USADDRESS | 767 5TH AVENUE 49TH FLOOR | NEW YORK | NY | 10153 | BARON ASSET FUNDS | 068278860 |
| 32057 | BARON OPPORTUNITY FUND INSTL CLASS | 0.15% | USADDRESS | 767 5TH AVENUE 49TH FLOOR | NEW YORK | NY | 10153 | BARON ASSET FUNDS | 068278886 |
| 32057 | BARON PARTNERS FUND | 0.40% | USADDRESS | 767 5TH AVENUE 49TH FLOOR | NEW YORK | NY | 10153 | BARON ASSET FUNDS | 06828M108 |
| 32057 | BARON FOCUSED GROWTHFUND | 0.40% | USADDRESS | 767 5TH AVENUE 49TH FLOOR | NEW YORK | NY | 10153 | BARON ASSET FUNDS | 06828M207 |
| 32057 | BARON REAL ESTATE FUND RETAIL | 0.40% | USADDRESS | 767 5TH AVENUE 49TH FLOOR | NEW YORK | NY | 10153 | BARON ASSET FUNDS | 06828M702 |
| 32057 | BARON GLOBAL ADVANTAGE FD RETAIL | 0.40% | USADDRESS | 767 5TH AVENUE 49TH FLOOR | NEW YORK | NY | 10153 | BARON ASSET FUNDS | 06828M843 |
| 32057 | BARON EMERGING MARKETS FUND RETAIL | 0.40% | USADDRESS | 767 5TH AVENUE 49TH FLOOR | NEW YORK | NY | 10153 | BARON ASSET FUNDS | 06828M884 |
| 32057 | BERKSHIRE FOCUS FUND | 0.40% | USADDRESS | 475 MILAN DRIVE SUITE 103 | SAN JOSE | CA | 95134 | BERKSHIRE FUNDS | 084649102 |
| 32057 | BLACKROCK MID CAP GROWTH EQUITY CL A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 091928846 |
| 32057 | BLACKROCK MID CAP GROWTH EQUITY INSTL | 0.15% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 091928861 |
| 32057 | BLACKROCK TECHNOLOGYOPPORTUNITIES CL A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 091929570 |
| 32057 | BLACKROCK ADVANTAGE SMALL CAP CORE INV A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 091936476 |
| 32057 | BLACKROCK HEALTH SCIENCES OPP PRT A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 091937573 |
| 32057 | BLACKROCK INTERNATIONAL FD A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09248G107 |
| 32057 | BLACKROCK EQUITY DIVIDEND FD CL A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09251M108 |
| 32057 | BLACKROCK CAPITAL APPRECIATION INVT A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09251R107 |
| 32057 | BLACKROCK GLOBAL ALLOCATION CL A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09251T103 |
| 32057 | BLACKROCK TOTAL RETURN INSTITUTIONAL | 0.15% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09252M883 |
| 32057 | BLACKROCK STRATEGIC GLOBAL BD INVESTOR A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09252X103 |
| 32057 | BLACKROCK MULTI ASSET INCOME PORT A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09256H351 |
| 32057 | BLACKROCK STRATEGIC INCOME OPPRTSI INSTL | 0.15% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09260B382 |
| 32057 | BLACKROCK STRATEGIC INC OPP PORT CL A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09260B416 |
| 32057 | BLACKROCK HIGH YIELDBOND INSTITUTIONAL | 0.15% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09260B630 |
| 32057 | BLACKROCK HIGH YIELDBOND CLASS A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09260B663 |
| 32057 | BLACKROCK FLOATING RATE INC PORT INSTL | 0.08% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09260B747 |
| 32057 | BLACKROCK FLOATING RATE INC PORT INVT A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09260B770 |
| 32057 | BLACKROCK SYSTEMATICMULTI STRAT INV A | 0.40% | USADDRESS | 40 EAST 52ND STREET | NEW YORK | NY | 10022 | BLACKROCK FUNDS | 09260C109 |
| 32057 | WILLIAM BLAIR SMALL MID CAP GROWTH CL N | 0.40% | USADDRESS | 222 WEST ADAMS STREET, 12TH FLOOR | CHICAGO | IL | 60606 | WILLIAM BLAIR MUTUAL FUNDS | 093001345 |
| 32057 | WILLIAM BLAIR LARGE CAP GROWTH FD N | 0.40% | USADDRESS | 222 WEST ADAMS STREET, 12TH FLOOR | CHICAGO | IL | 60606 | WILLIAM BLAIR MUTUAL FUNDS | 093001535 |
| 32057 | BMO CORPORATE INCOME FUND CL Y | 0.35% | USADDRESS | 111 EAST KILBOURN AVENUE, SUITE 200 | MILWAUKEE | WI | 53202 | MARSHALL FUNDS | 09658L851 |
| 32057 | BNY MELLON SMALLCAP STOCK INDEX INVESTOR | 0.35% | USADDRESS | 144 GLENN CURTISS BLVD 8TH FLOOR | UNIONDALE | NY | 11556 | DREYFUS GROUP | 09661L401 |
| 32057 | AMERICAN BOND FUND OF AMERICA CL F2 | 0.15% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 097873822 |
| 32057 | FPA QUEENS ROAD SMALL CAP VALUE FUND | 0.40% | USADDRESS | 11601 WILSHIRE BLVD, SUITE 1200 | LOS ANGELES | CA | 90025 | FPA FUNDS | 104826201 |
| 32057 | BRIDGEWAY ULTRA SMALL CO MARKET | 0.10% | USADDRESS | 20 GREENWAY PLAZA, STE 450 | HOUSTON | TX | 77046 | BRIDGEWAY FUNDS | 108747403 |
| 32057 | BRIDGEWAY OMNI SMALL CAP VALUE | 0.06% | USADDRESS | 20 GREENWAY PLAZA, STE 450 | HOUSTON | TX | 77046 | BRIDGEWAY FUNDS | 108747775 |
| 32057 | BRIDGEWAY SMALL CAP VALUE FUND CL N | 0.10% | USADDRESS | 20 GREENWAY PLAZA, STE 450 | HOUSTON | TX | 77046 | BRIDGEWAY FUNDS | 108747825 |
| 32057 | DESTINATIONS LARGE CAP EQUITY INSTL | 0.15% | USADDRESS | 1055 WESTLAKES DRIVE, SUITE 250 | BERWYN | PA | 19312 | BRINKER CAPITAL TRUST | 10964R103 |
| 32057 | DESTINATIONS SMALL MID CAP EQ INSTL | 0.15% | USADDRESS | 1055 WESTLAKES DRIVE, SUITE 250 | BERWYN | PA | 19312 | BRINKER CAPITAL TRUST | 10964R202 |
| 32057 | DESTINATIONS INTL EQUITY FD INSTL | 0.15% | USADDRESS | 1055 WESTLAKES DRIVE, SUITE 250 | BERWYN | PA | 19312 | BRINKER CAPITAL TRUST | 10964R301 |
| 32057 | DESTINATIONS EQUITY INCOME FD INSTL | 0.15% | USADDRESS | 1055 WESTLAKES DRIVE, SUITE 250 | BERWYN | PA | 19312 | BRINKER CAPITAL TRUST | 10964R400 |
| 32057 | DESTINATIONS CORE FIXED INCOME INSTL | 0.15% | USADDRESS | 1055 WESTLAKES DRIVE, SUITE 250 | BERWYN | PA | 19312 | BRINKER CAPITAL TRUST | 10964R608 |
| 32057 | DESTINATIONS LOW DURFIXED INC INSTL | 0.15% | USADDRESS | 1055 WESTLAKES DRIVE, SUITE 250 | BERWYN | PA | 19312 | BRINKER CAPITAL TRUST | 10964R707 |
| 32057 | DESTINATIONS GLOBAL FIXD INC OPPOR INSTL | 0.15% | USADDRESS | 1055 WESTLAKES DRIVE, SUITE 250 | BERWYN | PA | 19312 | BRINKER CAPITAL TRUST | 10964R806 |
| 32057 | DESTINATIONS MULTI STRGY ALT INSTL | 0.15% | USADDRESS | 1055 WESTLAKES DRIVE, SUITE 250 | BERWYN | PA | 19312 | BRINKER CAPITAL TRUST | 10964R871 |
| 32057 | BROWN ADVISORY SUSTAIN GROWTH ADV | 0.40% | USADDRESS | 777 E. WISCONSIN AVE, 4TH FLOOR | MILWAUKEE | WI | 53202 | BROWN IA FUNDS | 115233405 |
| 32057 | BROWN ADVISORY SMALL CAP FNDMTL VAL INVS | 0.08% | USADDRESS | 777 E. WISCONSIN AVE, 4TH FLOOR | MILWAUKEE | WI | 53202 | BROWN IA FUNDS | 115233793 |
| 32057 | BROWN INTERNATIONAL SMALL COMPANY INVEST | 0.40% | USADDRESS | 1290 BROADWAY, STE 1100 | DENVER | CO | 80203 | BROWN CAPITAL MANAGEMENT | 115291742 |
| 32057 | BUFFALO FLEXIBLE INCOME FUND | 0.40% | USADDRESS | 615 E. MICHIGAN STREET | MILWAUKEE | WI | 53202 | BUFFALO FUNDS | 119428100 |
| 32057 | BUFFALO DISCOVERY FUND | 0.40% | USADDRESS | 615 E. MICHIGAN STREET | MILWAUKEE | WI | 53202 | BUFFALO FUNDS | 119530103 |
| 32057 | BUFFALO MID CAP FUND | 0.40% | USADDRESS | 615 E. MICHIGAN STREET | MILWAUKEE | WI | 53202 | BUFFALO FUNDS | 119530202 |
| 32057 | BUFFALO EARLY STAGE GROWTH FUND | 0.40% | USADDRESS | 615 E. MICHIGAN STREET | MILWAUKEE | WI | 53202 | BUFFALO FUNDS | 119530301 |
| 32057 | BUFFALO INTERNATIONAL FUND | 0.40% | USADDRESS | 615 E. MICHIGAN STREET | MILWAUKEE | WI | 53202 | BUFFALO FUNDS | 119530509 |
| 32057 | BUFFALO SMALL CAP GROWTH | 0.40% | USADDRESS | 615 E. MICHIGAN STREET | MILWAUKEE | WI | 53202 | BUFFALO FUNDS | 119804102 |
| 32057 | BUFFALO GROWTH FUND | 0.40% | USADDRESS | 615 E. MICHIGAN STREET | MILWAUKEE | WI | 53202 | BUFFALO FUNDS | 119826105 |
| 32057 | CALAMOS MARKET NEUTRAL INCOME CL I | 0.15% | USADDRESS | 2020 CALAMOS COURT | NAPERVILLE | IL | 60563 | CALAMOS FAMILY OF MUTUAL FUNDS | 128119880 |
| 32057 | CALVERT U.S. LRG CAPCORE RESPNSBL INDX A | 0.40% | USADDRESS | 4550 MONTGOMERY AVENUESUITE 1000 N | BETHESDA | MD | 20814 | CALVERT GROUP | 131582785 |
| 32057 | CALVERT INTL EQUITY CLASS A | 0.40% | USADDRESS | 4550 MONTGOMERY AVENUESUITE 1000 N | BETHESDA | MD | 20814 | CALVERT GROUP | 131649105 |
| 32057 | FULLER & THALER BEHVSMALL CAP EQTY INV | 0.40% | USADDRESS | 411 BOREL AVENUE, SUITE 300 | SAN MATEO | CA | 94402 | FULLER & THALER | 14064D881 |
| 32057 | CARILLON SCOUT INTERNATIONAL CL I | 0.40% | USADDRESS | P. O. BOX 33022 | ST PETERSBURG | FL | 337338022 | EAGLE FUND SERVICES | 14214L171 |
| 32057 | CARILLON REAMS CORE BOND FUND CL I | 0.40% | USADDRESS | P. O. BOX 33022 | ST PETERSBURG | FL | 337338022 | EAGLE FUND SERVICES | 14214L254 |
| 32057 | CARILLON REAMS CORE PLUS BOND CL Y | 0.40% | USADDRESS | P. O. BOX 33022 | ST PETERSBURG | FL | 337338022 | EAGLE FUND SERVICES | 14214M591 |
| 32057 | CAUSEWAY INTERNATNALVALUE INVESTOR | 0.40% | USADDRESS | P. O. BOX 1100 | OAKS | PA | 19456 | CAUSEWAY | 14949P109 |
| 32057 | COHEN & STEERS REAL ESTATE SECURITIES A | 0.40% | USADDRESS | 280 PARK AVENUE, 10TH FLOOR | NEW YORK | NY | 10017 | COHEN & STEERS FUNDS | 191912104 |
| 32057 | COHEN & STEERS REAL ESTATE SECURITIES I | 0.10% | USADDRESS | 280 PARK AVENUE, 10TH FLOOR | NEW YORK | NY | 10017 | COHEN & STEERS FUNDS | 191912401 |
| 32057 | COHEN & STEERS REALTY SHARES | 0.40% | USADDRESS | 280 PARK AVENUE, 10TH FLOOR | NEW YORK | NY | 10017 | COHEN & STEERS FUNDS | 192476109 |
| 32057 | COHEN & STEERS REALTY CLASS A | 0.40% | USADDRESS | 280 PARK AVENUE, 10TH FLOOR | NEW YORK | NY | 10017 | COHEN & STEERS FUNDS | 192476208 |
| 32057 | COHEN & STEERS REALTY I | 0.10% | USADDRESS | 280 PARK AVENUE, 10TH FLOOR | NEW YORK | NY | 10017 | COHEN & STEERS FUNDS | 192476505 |
| 32057 | COHEN & STEERS INSTL REALTY SHARES | 0.10% | USADDRESS | 280 PARK AVENUE, 10TH FLOOR | NEW YORK | NY | 10017 | COHEN & STEERS FUNDS | 19247U106 |
| 32057 | COHEN & STEERS GL INFRASTRUCTURE CL A | 0.40% | USADDRESS | 280 PARK AVENUE, 10TH FLOOR | NEW YORK | NY | 10017 | COHEN & STEERS FUNDS | 19248B107 |
| 32057 | COHEN & STEERS PREF SECURITIES INC A | 0.40% | USADDRESS | 280 PARK AVENUE, 10TH FLOOR | NEW YORK | NY | 10017 | COHEN & STEERS FUNDS | 19248X109 |
| 32057 | COHEN & STEERS PRFD SECURITIES & INC C | 0.08% | USADDRESS | 280 PARK AVENUE, 10TH FLOOR | NEW YORK | NY | 10017 | COHEN & STEERS FUNDS | 19248X208 |
| 32057 | COLUMBIA ACORN INTL SELECT ADV | 0.10% | USADDRESS | 225 FRANKLIN ST, BX25 10320 | BOSTON | MA | 02110 | COLUMBIA FUNDS | 197199441 |
| 32057 | COLUMBIA THERMOSTAT CL A | 0.40% | USADDRESS | 225 FRANKLIN ST, BX25 10320 | BOSTON | MA | 02110 | COLUMBIA FUNDS | 197199755 |
| 32057 | COLUMBIA LARGE CAP CORE FUND CL A | 0.40% | USADDRESS | 225 FRANKLIN ST, BX25 10320 | BOSTON | MA | 02110 | COLUMBIA FUNDS | 19765H313 |
| 32057 | COLUMBIA STRATEGIC INCOME CL A | 0.40% | USADDRESS | 225 FRANKLIN ST, BX25 10320 | BOSTON | MA | 02110 | COLUMBIA FUNDS | 19765L801 |
| 32057 | COLUMBIA OVERSEAS VALUE FUND CL A | 0.40% | USADDRESS | 225 FRANKLIN ST, BX25 10320 | BOSTON | MA | 02110 | COLUMBIA FUNDS | 19765M338 |
| 32057 | COLUMBIA DIVIDEND INCOME CL A | 0.40% | USADDRESS | 225 FRANKLIN ST, BX25 10320 | BOSTON | MA | 02110 | COLUMBIA FUNDS | 19765N278 |
| 32057 | COLUMBIA CONTRARIAN CORE FUND CL I | 0.40% | USADDRESS | 225 FRANKLIN ST, BX25 10320 | BOSTON | MA | 02110 | COLUMBIA FUNDS | 19765P406 |
| 32057 | COLUMBIA REAL ESTATE EQUITY CL I | 0.40% | USADDRESS | 225 FRANKLIN ST, BX25 10320 | BOSTON | MA | 02110 | COLUMBIA FUNDS | 19765P547 |
| 32057 | COLUMBIA SMALL CAP GROWTH FD CL A | 0.40% | USADDRESS | 225 FRANKLIN ST, BX25 10320 | BOSTON | MA | 02110 | COLUMBIA FUNDS | 19765P638 |

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| 32057 | COLUMBIA ADAPTIVE RISK ALLOCATION CL A | 0.40% | USADDRESS | 225 FRANKLIN ST, BX25 10320 | BOSTON | MA | 02110 | COLUMBIA FUNDS | 19765Y258 |
| 32057 | COLUMBIA SELECT LRG CAP GROWTH CLASS A | 0.40% | USADDRESS | 225 FRANKLIN ST, BX25 10320 | BOSTON | MA | 02110 | COLUMBIA FUNDS | 19765Y712 |
| 32057 | COLUMBIA SELIGMAN GLOBAL TECHNOLGY A | 0.40% | USADDRESS | 225 FRANKLIN ST, BX25 10320 | BOSTON | MA | 02110 | COLUMBIA FUNDS | 19766H320 |
| 32057 | CULLEN EMERGING MRKT HIGH DIVIDEND CL I | 0.10% | USADDRESS | 645 FIFTH AVENUE | NEW YORK | NY | 10022 | CULLEN | 230001752 |
| 32057 | DFA INTERNATIONAL CORE EQUITY | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 233203371 |
| 32057 | DFA US CORE EQUITY II | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 233203397 |
| 32057 | DFA US CORE EQUITY I | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 233203413 |
| 32057 | DFA EMERGING MRKTS CORE EQU PORTF | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 233203421 |
| 32057 | DFA US MICRO CAP PRTF INSTL | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 233203504 |
| 32057 | DIMENSIONAL EMERGING MKTS VAL PRTF INSTL | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 233203587 |
| 32057 | DFA EMERGING MARKETS SMALL CAP | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 233203611 |
| 32057 | DFA INTERNATIONAL SMALL COMPANY PORT | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 233203629 |
| 32057 | DFA INT'L SMALL CAP VALUE | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 233203736 |
| 32057 | DFA US SMALL CAP VALUE PRTF INSTL | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 233203819 |
| 32057 | DFA US LARGE CAP VALUE PRTF INSTL | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 233203827 |
| 32057 | DFA FIVE YEAR GLBL FIXED INC PRTF INSTL | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 233203884 |
| 32057 | DFA US HIGH RELATIVE PROFIT PORT INSTL | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 23320G133 |
| 32057 | DFA INVESTMENT GRADE PORTFOLIO INSTL | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 23320G448 |
| 32057 | DFA SHORT TERM EXTENDED QUAL INSTL | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 23320G521 |
| 32057 | DFA GLOBAL REAL ESTATE SEC PORTFOLIO | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 23320G554 |
| 32057 | DAVIS GLOBAL FUND CL Y | 0.08% | USADDRESS | 2949 EAST ELVIRA ROAD SUITE 101 | TUCSON | AZ | 85756 | DAVIS FUNDS | 239080849 |
| 32057 | DELAWARE EXTENDED DURATION BOND CL I | 0.15% | USADDRESS | 2005 MARKET STREET | PHILADELPHIA | PA | 19103 | DELAWARE GROUP | 245908793 |
| 32057 | DELAWARE SMALL CAP VALUE CLASS A | 0.10% | USADDRESS | 2005 MARKET STREET | PHILADELPHIA | PA | 19103 | DELAWARE GROUP | 246097109 |
| 32057 | DELAWARE SMALL CAP VALUE INSTL CL | 0.15% | USADDRESS | 2005 MARKET STREET | PHILADELPHIA | PA | 19103 | DELAWARE GROUP | 246097208 |
| 32057 | DWS CROCI INTERNATIONAL A | 0.40% | USADDRESS | 280 PARK AVE, FINANCE-PCAM CTRL, 9TH FLR | NEW YORK | NY | 10026 | DWS INVESTMENTS | 25156G673 |
| 32057 | DWS RREEF REAL ESTATE SECURITIES IN | 0.10% | USADDRESS | 280 PARK AVE, FINANCE-PCAM CTRL, 9TH FLR | NEW YORK | NY | 10026 | DWS INVESTMENTS | 25159L737 |
| 32057 | DFA GLOBAL CORE PLUS FIXED INC INSTL | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 25239Y386 |
| 32057 | DFA SHORT-DURATION REAL RETURN INSTL | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 25239Y576 |
| 32057 | DIAMOND HILL SMALL- MID CAP FD I | 0.10% | USADDRESS | 325 JOHN H. MCCONNELL BLVD., SUITE 200 | COLUMBUS | OH | 43215 | DIAMOND HILL FUNDS | 25264S783 |
| 32057 | DFA INTERNATIONAL VALUE PRTF INSTL | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 25434D203 |
| 32057 | DFA INTERNATIONAL VALUE PORT III | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 25434D708 |
| 32057 | DFA US LARGE CAP VALUE PORT III | 0.02% | USADDRESS | 6300 BEE CAVES ROAD, BUILDING ONE | AUSTIN | TX | 78746 | DIMENSIONAL | 25434D807 |
| 32057 | DIREXION MONTHLY NASDAQ100BULL2X INV | 0.40% | USADDRESS | 155 SEAPORT BOULEVARD, SUITE P8 | BOSTON | MA | 02210 | DIREXION FUNDS | 254939200 |
| 32057 | DIREXION MONTHLY S&P 500 BEAR 2X INV | 0.40% | USADDRESS | 155 SEAPORT BOULEVARD, SUITE P8 | BOSTON | MA | 02210 | DIREXION FUNDS | 254939218 |
| 32057 | DIREXION MONTHLY EMRG MKT BULL 2X INV | 0.40% | USADDRESS | 155 SEAPORT BOULEVARD, SUITE P8 | BOSTON | MA | 02210 | DIREXION FUNDS | 254939630 |
| 32057 | DIREXION MONTHLY 10 YR NOTE BULL 2X INV | 0.40% | USADDRESS | 155 SEAPORT BOULEVARD, SUITE P8 | BOSTON | MA | 02210 | DIREXION FUNDS | 254939689 |
| 32057 | DIREXION MONTHLY S&P 500 BULL 2X INV | 0.40% | USADDRESS | 155 SEAPORT BOULEVARD, SUITE P8 | BOSTON | MA | 02210 | DIREXION FUNDS | 254939705 |
| 32057 | DIREXION MONTHLY SM CAP BULL 2X INV | 0.40% | USADDRESS | 155 SEAPORT BOULEVARD, SUITE P8 | BOSTON | MA | 02210 | DIREXION FUNDS | 254939838 |
| 32057 | DOMINI IMPACT EQUITYINVESTOR | 0.40% | USADDRESS | 536 BROADWAY 7TH FLOOR | NEW YORK | NY | 10012 | DOMINI | 257132100 |
| 32057 | DOUBLELINE TOTAL RETURN BOND FD CL I | 0.06% | USADDRESS | 777 EAST WISCONSIN AVENUE | MILWAUKEE | WI | 53202 | DOUBLELINE | 258620103 |
| 32057 | DOUBLELINE TOTAL RT BOND FD CL N | 0.40% | USADDRESS | 777 EAST WISCONSIN AVENUE | MILWAUKEE | WI | 53202 | DOUBLELINE | 258620202 |
| 32057 | DOUBLELINE CORE FIXED INCOME FD CL N | 0.40% | USADDRESS | 777 EAST WISCONSIN AVENUE | MILWAUKEE | WI | 53202 | DOUBLELINE | 258620400 |
| 32057 | DOUBLELINE SHILLER ENHANCED CAP CL N | 0.40% | USADDRESS | 777 EAST WISCONSIN AVENUE | MILWAUKEE | WI | 53202 | DOUBLELINE | 258620814 |
| 32057 | DOUBLELINE SHILLER ENHANCED CAP CL I | 0.06% | USADDRESS | 777 EAST WISCONSIN AVENUE | MILWAUKEE | WI | 53202 | DOUBLELINE | 258620822 |
| 32057 | DRIEHAUS EMERGING MARKETS | 0.40% | USADDRESS | 25 EAST ERIE STREET | CHICAGO | IL | 60611 | DRIEHAUS CAPITAL MANAGEMENT | 262028301 |
| 32057 | EATON VANCE GOVT OPPORTUNITIES CL A | $16.00 | USADDRESS | TWO INTERNATIONAL PLACE | BOSTON | MA | 02110 | EATON VANCE GROUP | 277911103 |
| 32057 | EATON VANCE FLOATINGRATE FUND CLASS A | $16.00 | USADDRESS | TWO INTERNATIONAL PLACE | BOSTON | MA | 02110 | EATON VANCE GROUP | 277911129 |
| 32057 | EATON VANCE FLOATINGRATE HI INC FD CL A | $16.00 | USADDRESS | TWO INTERNATIONAL PLACE | BOSTON | MA | 02110 | EATON VANCE GROUP | 277911137 |
| 32057 | EATON VANCE FLOATING RATE HI INCOME CL I | $16.00 | USADDRESS | TWO INTERNATIONAL PLACE | BOSTON | MA | 02110 | EATON VANCE GROUP | 277911541 |
| 32057 | PARAMETRIC COMMODITYSTRATEGIC INV CL | 0.40% | USADDRESS | TWO INTERNATIONAL PLACE | BOSTON | MA | 02110 | EATON VANCE GROUP | 277923132 |
| 32057 | EATON VANCE SHORT DURATION GOV INC I | $16.00 | USADDRESS | TWO INTERNATIONAL PLACE | BOSTON | MA | 02110 | EATON VANCE GROUP | 277923561 |
| 32057 | EATON VANCE FLOATINGRATE ADVANTAGE CL I | $16.00 | USADDRESS | TWO INTERNATIONAL PLACE | BOSTON | MA | 02110 | EATON VANCE GROUP | 277923637 |
| 32057 | EATON VANCE GLOBAL MACRO ABSLTE RT CL I | $16.00 | USADDRESS | TWO INTERNATIONAL PLACE | BOSTON | MA | 02110 | EATON VANCE GROUP | 277923728 |
| 32057 | PARAMETRIC TABS 5 15LADDERED MUNI BOND I | $16.00 | USADDRESS | TWO INTERNATIONAL PLACE | BOSTON | MA | 02110 | EATON VANCE GROUP | 27826M734 |
| 32057 | EATON VANCE EMERGING MRKTS DEBT OPPOR A | 0.40% | USADDRESS | TWO INTERNATIONAL PLACE | BOSTON | MA | 02110 | EATON VANCE GROUP | 27827V204 |
| 32057 | AMERICAN EUROPACIFICGROWTH CLASS F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 298706409 |
| 32057 | AMERICAN EUROPACIFICGROWTH FUND CL F2 | 0.15% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 29875E100 |
| 32057 | FPA NEW INCOME | 0.08% | USADDRESS | 11601 WILSHIRE BLVD, SUITE 1200 | LOS ANGELES | CA | 90025 | FPA FUNDS | 302544101 |
| 32057 | FPA CRESCENT FUND | 0.35% | USADDRESS | 11601 WILSHIRE BLVD, SUITE 1200 | LOS ANGELES | CA | 90025 | FPA FUNDS | 30254T759 |
| 32057 | FMI LARGE CAP FUND | 0.40% | USADDRESS | 777 EAST WISCONSIN AVENUE MK-WI-T4MF | MILWAUKEE | WI | 53202 | FMI FUNDS | 302933205 |
| 32057 | FMI INTERNATIONAL | 0.40% | USADDRESS | 777 EAST WISCONSIN AVENUE MK-WI-T4MF | MILWAUKEE | WI | 53202 | FMI FUNDS | 302933304 |
| 32057 | FEDERATED HERMES KAUFMANN LG CAP A | 0.40% | USADDRESS | 4000 ERICSSON DRIVE | WARRENDALE | PA | 150867515 | FEDERATED FUNDS | 314172446 |
| 32057 | FEDERATED HERMES STR VAL DIV CL A | 0.40% | USADDRESS | 4000 ERICSSON DRIVE | WARRENDALE | PA | 150867515 | FEDERATED FUNDS | 314172586 |
| 32057 | FEDERATED HERMES KAUFMANN SM CAP A | 0.40% | USADDRESS | 4000 ERICSSON DRIVE | WARRENDALE | PA | 150867515 | FEDERATED FUNDS | 314172636 |
| 32057 | FEDERATED HERMES OPPOR HIGH YLD BD SS | 0.40% | USADDRESS | 4000 ERICSSON DRIVE | WARRENDALE | PA | 150867515 | FEDERATED FUNDS | 314197104 |
| 32057 | FEDERATED HERMES INSTL HIGH YLD BD IS | 0.15% | USADDRESS | 4000 ERICSSON DRIVE | WARRENDALE | PA | 150867515 | FEDERATED FUNDS | 31420B300 |
| 32057 | FAM DIVIDEND FOCUS FUND | 0.40% | USADDRESS | 384 NORTH GRAND STREET | COBLESKILL | NY | 12043 | FAM FUNDS | 314465204 |
| 32057 | EMERALD FINANCE AND BANKING INNOV A | 0.08% | USADDRESS | 3175 OREGON PIKE | LEOLA | PA | 17540 | EMERALD MUTUAL FUNDS | 317609246 |
| 32057 | ALPS CORECOMM MNGMNT COMPT COMM SM STRT | 0.08% | USADDRESS | 1290 BROADWAY SUITE 1100 | DENVER | CO | 80203 | ALPS FUNDS | 317609667 |
| 32057 | VULCAN VALUE PARTNERSMALL CAP INVESTOR | 0.40% | USADDRESS | 2801 HIGHWAY 280 SOUTH, SUITE 300 | BIRMINGHAM | AL | 35223 | VULCAN FUNDS | 317609683 |
| 32057 | ALPS RED ROCKS GLOB OPPORTUNITY CL INV | 0.40% | USADDRESS | 1290 BROADWAY SUITE 1100 | DENVER | CO | 80203 | ALPS FUNDS | 317609816 |
| 32057 | GRANDEUR PEAK GLBL REACH FD INVESTOR | 0.40% | USADDRESS | 1290 BROADWAY STREET, SUITE 1100 | DENVER | CO | 80203 | GRANDEUR PEAK FUNDS | 31761R104 |
| 32057 | ALPS/SMITH CREDIT OPPORTUNITIES CL I | 0.08% | USADDRESS | 1290 BROADWAY SUITE 1100 | DENVER | CO | 80203 | ALPS FUNDS | 31761T803 |
| 32057 | FIRST EAGLE OVERSEAS CLASS I | 0.09% | USADDRESS | 1345 AVENUE OF THE AMERICAS 48TH FLR | NEW YORK | NY | 10105 | FIRST EAGLE SOGEN FUNDS | 32008F200 |
| 32057 | FIRST EAGLE GOLD CLASS A | 0.40% | USADDRESS | 1345 AVENUE OF THE AMERICAS 48TH FLR | NEW YORK | NY | 10105 | FIRST EAGLE SOGEN FUNDS | 32008F408 |
| 32057 | FIRST EAGLE GLOBAL CLASS A | 0.40% | USADDRESS | 1345 AVENUE OF THE AMERICAS 48TH FLR | NEW YORK | NY | 10105 | FIRST EAGLE SOGEN FUNDS | 32008F507 |
| 32057 | FIRST EAGLE GLOBAL CLASS I | 0.15% | USADDRESS | 1345 AVENUE OF THE AMERICAS 48TH FLR | NEW YORK | NY | 10105 | FIRST EAGLE SOGEN FUNDS | 32008F606 |
| 32057 | FIRSTHAND TECHNOLOGYOPPORTUNITIES FUND | 0.40% | USADDRESS | 150 ALMADEN BLVD., SUITE 1250 | SAN JOSE | CA | 95113 | FIRSTHAND FUNDS | 337941504 |
| 32057 | DF DENT MIDCAP GROWTH FUND INSTL | 0.12% | USADDRESS | 2 EAST READ ST 6TH FLOOR | BALTIMORE | MD | 21202 | DF DENT | 34984T279 |
| 32057 | DF DENT MIDCAP GROWTH FUND INVESTOR | 0.12% | USADDRESS | 2 EAST READ ST 6TH FLOOR | BALTIMORE | MD | 21202 | DF DENT | 34984T451 |
| 32057 | ACUITAS US MICROCAP INSTITUTIONAL FUND | 0.12% | USADDRESS | THREE CANAL PLAZA | PORTLAND | ME | 04101 | ACUITAS FUNDS | 34984Y807 |
| 32057 | POLARIS GLOBAL VALUE | 0.12% | USADDRESS | THREE CANAL PLAZA, SUITE 600 | PORTLAND | ME | 04101 | POLARIS GLOBAL | 349903484 |
| 32057 | FRANKLIN DYNATECH FUND A | $16.00 | USADDRESS | 100 FOUNTAIN PARKWAY | ST. PETERSBURG | FL | 33716 | FRANKLIN GROUP OF FUNDS | 353496201 |
| 32057 | FRANKLIN INCOME CL A | $16.00 | USADDRESS | 100 FOUNTAIN PARKWAY | ST. PETERSBURG | FL | 33716 | FRANKLIN GROUP OF FUNDS | 353496490 |
| 32057 | FRANKLIN INCOME CLASS C | $19.00 | USADDRESS | 100 FOUNTAIN PARKWAY | ST. PETERSBURG | FL | 33716 | FRANKLIN GROUP OF FUNDS | 353496805 |
| 32057 | FRANKLIN GOLD AND PRECIOUS METALS CL A | $16.00 | USADDRESS | 100 FOUNTAIN PARKWAY | ST. PETERSBURG | FL | 33716 | FRANKLIN GROUP OF FUNDS | 353535107 |
| 32057 | FRANKLIN CONVERTIBLESECURITIES ADVISOR | $16.00 | USADDRESS | 100 FOUNTAIN PARKWAY | ST. PETERSBURG | FL | 33716 | FRANKLIN GROUP OF FUNDS | 353612641 |
| 32057 | AMERICAN FUNDAMENTALINVESTORS CL F2 | 0.15% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 360802821 |
| 32057 | POLEN GLOBAL GROWTH FUND RETAIL SHARES | 0.40% | USADDRESS | 1825 NW CORPORATE BLVD, SUITE 300 | BOCA RATON | FL | 33431 | POLEN GROWTH FUNDS | 360875637 |
| 32057 | GABELLI GOLD FUND CLAAA | 0.40% | USADDRESS | 401 THEODORE FREMD. AVE. | RYE | NY | 10580 | GABELLI/WESTWOOD FUNDS | 36239R107 |
| 32057 | GABELLI SMALL CAP GROWTH AAA | 0.35% | USADDRESS | 401 THEODORE FREMD. AVE. | RYE | NY | 10580 | GABELLI/WESTWOOD FUNDS | 36239T103 |
| 32057 | GABELLI EQUITY INCOME FUND AAA | 0.35% | USADDRESS | 401 THEODORE FREMD. AVE. | RYE | NY | 10580 | GABELLI/WESTWOOD FUNDS | 36239T202 |
| 32057 | GABELLI UTILITIES | 0.35% | USADDRESS | 401 THEODORE FREMD. AVE. | RYE | NY | 10580 | GABELLI/WESTWOOD FUNDS | 36240E103 |
| 32057 | GAMCO GROWTH FUND | 0.40% | USADDRESS | 401 THEODORE FREMD. AVE. | RYE | NY | 10580 | GABELLI/WESTWOOD FUNDS | 36464V104 |
| 32057 | GLENMEDE LARGE CAP CORE | 0.40% | USADDRESS | 1650 MARKET ST. SUITE 1200 | PHILADELPHIA | PA | 19103 | GLENMEDE | 378690788 |
| 32057 | GOLDMAN SACHS INTL EQUITY INSIGHTS A | 0.40% | USADDRESS | 71 S. WACKER DRIVE, 4TH FLOOR | CHICAGO | IL | 60606 | GOLDMAN SACHS ASSET MGMT GROUP | 38142V878 |
| 32057 | GOLDMAN SACHS BOND FUND INSTL CLASS | 0.07% | USADDRESS | 71 S. WACKER DRIVE, 4TH FLOOR | CHICAGO | IL | 60606 | GOLDMAN SACHS ASSET MGMT GROUP | 38143H415 |
| 32057 | GOLDMAN SACHS EMERGEMKTS DEBT FUND CL A | 0.40% | USADDRESS | 71 S. WACKER DRIVE, 4TH FLOOR | CHICAGO | IL | 60606 | GOLDMAN SACHS ASSET MGMT GROUP | 38143H803 |
| 32057 | GOLDMAN SACHS GQG PARTNERS INTL OPP I | 0.17% | USADDRESS | 71 S. WACKER DRIVE, 4TH FLOOR | CHICAGO | IL | 60606 | GOLDMAN SACHS ASSET MGMT GROUP | 38147N293 |
| 32057 | GOLDMAN SACHS GQG PART INTERNTL OPP A | 0.40% | USADDRESS | 71 S. WACKER DRIVE, 4TH FLOOR | CHICAGO | IL | 60606 | GOLDMAN SACHS ASSET MGMT GROUP | 38147N327 |
| 32057 | GREEN CENTURY MSCI INTL INDEX INVESTOR | 0.40% | USADDRESS | 114 STATE ST., STE. 200 | BOSTON | MA | 02111 | GREEN CENTURY FUNDS | 392768404 |
| 32057 | AMERICAN GROWTH FUNDOF AMERICA CL F2 | 0.15% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 399874825 |
| 32057 | GUGGENHEIM LIMITED DURATION CL INSTL | 0.09% | USADDRESS | 9601 BLACKWELL RD., STE. 500 | ROCKVILLE | MD | 20850 | RYDEX SERIES TRUST | 40168W483 |
| 32057 | GUGGENHEIM TOTAL RETURN BOND FD INSTL | 0.15% | USADDRESS | 9601 BLACKWELL RD., STE. 500 | ROCKVILLE | MD | 20850 | RYDEX SERIES TRUST | 40168W525 |
| 32057 | GUGGENHEIM MACRO OPPORTUNTITIES INSTL | 0.15% | USADDRESS | 9601 BLACKWELL RD., STE. 500 | ROCKVILLE | MD | 20850 | RYDEX SERIES TRUST | 40168W582 |
| 32057 | GUGGENHEIM LIMITED DURATION CL P | 0.40% | USADDRESS | 9601 BLACKWELL RD., STE. 500 | ROCKVILLE | MD | 20850 | RYDEX SERIES TRUST | 40169J705 |
| 32057 | GUGGENHEIM MACRO OPPORTUNITIES CL P | 0.40% | USADDRESS | 9601 BLACKWELL RD., STE. 500 | ROCKVILLE | MD | 20850 | RYDEX SERIES TRUST | 40169J804 |
| 32057 | GUGGENHEIM TOTAL RETURN BOND CL P | 0.40% | USADDRESS | 9601 BLACKWELL RD., STE. 500 | ROCKVILLE | MD | 20850 | RYDEX SERIES TRUST | 40169J879 |
| 32057 | JOHN HANCOCK REGIONAL BANK CL A | 0.40% | USADDRESS | 601 CONGRESS ST., 9TH FL. | BOSTON | MA | 02210 | JOHN HANCOCK FUNDS | 409905106 |
| 32057 | JOHN HANCOCK BOND CLASS A | 0.40% | USADDRESS | 601 CONGRESS ST., 9TH FL. | BOSTON | MA | 02210 | JOHN HANCOCK FUNDS | 410223101 |
| 32057 | HARBOR INTL INV | 0.35% | USADDRESS | 111 S. WACKER DR, 34TH FLOOR | CHICAGO | IL | 60606 | HARBOR FUNDS | 411511645 |
| 32057 | HARBOR CONV SEC INST | 0.10% | USADDRESS | 111 S. WACKER DR, 34TH FLOOR | CHICAGO | IL | 60606 | HARBOR FUNDS | 411512734 |
| 32057 | HARDING LOEVNER INTL EQUITY PORT INSTL | 0.15% | USADDRESS | PO BOX 4766 | CHICAGO | IL | 60680 | HARDING LOEVNER | 412295107 |

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| 32057 | HARDING LOEVNER INTL EQUITY PORT INV | 0.40% | USADDRESS | PO BOX 4766 | CHICAGO | IL | 60680 | HARDING LOEVNER | 412295503 |
| 32057 | HARDING LOEVNER INST EMERGING MRKTS CL I | 0.15% | USADDRESS | PO BOX 4766 | CHICAGO | IL | 60680 | HARDING LOEVNER | 412295701 |
| 32057 | OAKMARK FUND INVESTOR CLASS | 0.35% | USADDRESS | 111 SOUTH WACKER DR. | CHICAGO | IL | 60606 | OAKMARK FUNDS | 413838103 |
| 32057 | OAKMARK INTL INVESTOR CL | 0.35% | USADDRESS | 111 SOUTH WACKER DR. | CHICAGO | IL | 60606 | OAKMARK FUNDS | 413838202 |
| 32057 | OAKMARK EQUITY & INCOME INVESTOR CL | 0.35% | USADDRESS | 111 SOUTH WACKER DR. | CHICAGO | IL | 60606 | OAKMARK FUNDS | 413838400 |
| 32057 | OAKMARK INTERNAT'L SMALL CAP INVESTOR | 0.35% | USADDRESS | 111 SOUTH WACKER DR. | CHICAGO | IL | 60606 | OAKMARK FUNDS | 413838509 |
| 32057 | OAKMARK SELECT INVESTOR CL | 0.35% | USADDRESS | 111 SOUTH WACKER DR. | CHICAGO | IL | 60606 | OAKMARK FUNDS | 413838608 |
| 32057 | OAKMARK INTL SMALL CAP FUND ADVISOR | 0.10% | USADDRESS | 111 SOUTH WACKER DR. | CHICAGO | IL | 60606 | OAKMARK FUNDS | 413838665 |
| 32057 | OAKMARK INTL ADVISOR FUND | 0.15% | USADDRESS | 111 SOUTH WACKER DR. | CHICAGO | IL | 60606 | OAKMARK FUNDS | 413838731 |
| 32057 | OAKMARK GLOBAL SELECT FD INVESTOR | 0.35% | USADDRESS | 111 SOUTH WACKER DR. | CHICAGO | IL | 60606 | OAKMARK FUNDS | 413838822 |
| 32057 | OAKMARK GLOBAL FUND INVESTOR CLASS | 0.35% | USADDRESS | 111 SOUTH WACKER DR. | CHICAGO | IL | 60606 | OAKMARK FUNDS | 413838830 |
| 32057 | HARTFORD HEALTHCARE FUND CL A | 0.40% | USADDRESS | 100 MATSONFORD RD, STE 300 | RADNOR | PA | 19087 | HARTFORD FUNDS | 416645398 |
| 32057 | HARTFORD CORE EQUITY CLASS Y | 0.10% | USADDRESS | 100 MATSONFORD RD, STE 300 | RADNOR | PA | 19087 | HARTFORD FUNDS | 416645653 |
| 32057 | HARTFORD CORE EQUITYCLASS A | 0.40% | USADDRESS | 100 MATSONFORD RD, STE 300 | RADNOR | PA | 19087 | HARTFORD FUNDS | 416645679 |
| 32057 | HARTFORD BALANCED INCOME FD CL A | 0.35% | USADDRESS | 100 MATSONFORD RD, STE 300 | RADNOR | PA | 19087 | HARTFORD FUNDS | 416648244 |
| 32057 | THE HARTFORD DIV AND GROWTH FD CL I | 0.15% | USADDRESS | 100 MATSONFORD RD, STE 300 | RADNOR | PA | 19087 | HARTFORD FUNDS | 416649606 |
| 32057 | HARTFORD STRATEGIC INCOME FUND CL A | 0.35% | USADDRESS | 100 MATSONFORD RD, STE 300 | RADNOR | PA | 19087 | HARTFORD FUNDS | 41664L666 |
| 32057 | HARTFORD SCHRODERS INTL STOCK CL I | 0.15% | USADDRESS | 100 MATSONFORD RD, STE 300 | RADNOR | PA | 19087 | HARTFORD FUNDS | 41665H490 |
| 32057 | HEARTLAND VALUE PLUS | 0.40% | USADDRESS | 789 N. WATER STREET | MILWAUKEE | WI | 53202 | HEARTLAND FUNDS | 422352500 |
| 32057 | HEARTLAND VALUE | 0.40% | USADDRESS | 789 N. WATER STREET | MILWAUKEE | WI | 53202 | HEARTLAND FUNDS | 422359109 |
| 32057 | HENNESSY FOCUS FUND INVESTOR CLASS | 0.40% | USADDRESS | 7250 REDWOOD BLVD., STE 200 | NOVATO | CA | 94945 | HENNESSY FUNDS | 42588P700 |
| 32057 | HOTCHKIS & WILEY MIDCAP VALUE CL A | 0.40% | USADDRESS | 725 SOUTH FIGUEROA 39TH FLOOR | LOS ANGELES | CA | 90017 | HOTCHKIS & WILEY | 44134R206 |
| 32057 | HOTCHKIS & WILEY VALUE OPP CLASS A | 0.40% | USADDRESS | 725 SOUTH FIGUEROA 39TH FLOOR | LOS ANGELES | CA | 90017 | HOTCHKIS & WILEY | 44134R792 |
| 32057 | HUSSMAN STRATEGIC TOTAL RETURN | $12.00 | USADDRESS | 225 PICTORIA DRIVE, SUITE 450 | CINCINNATI | OH | 45246 | HUSSMAN | 448108209 |
| 32057 | AMERICAN INCOME FUND OF AMERICA CL F2 | 0.12% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 453320822 |
| 32057 | AMERICAN INTERMED BOND OF AMERICA F2 | 0.12% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 458809829 |
| 32057 | THE INTERNET FUND | 0.40% | USADDRESS | 470 PARK AVENUE SOUTH | NEW YORK | NY | 10016 | KINETICS (INTERNET) FUNDS | 460953102 |
| 32057 | AMERICAN INVESTMENT CO OF AMERICA CL F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 461308405 |
| 32057 | WCM FOCUSED INTL GROWTH FUND INVESTOR | 0.40% | USADDRESS | 2220 EAST ROUTE 66, SUITE 226 | GLENDORA | CA | 91740 | WCM FUNDS | 461418386 |
| 32057 | WCM FOCUSED INTL GROWTH FUND INSTL | 0.40% | USADDRESS | 2220 EAST ROUTE 66, SUITE 226 | GLENDORA | CA | 91740 | WCM FUNDS | 461418444 |
| 32057 | EUROPAC INTL VALUE FUND CLASS A | 0.08% | USADDRESS | LOTS 81-82, STREET C, SUITE 204 | DORADO | PR | 00646 | EURO PACIFIC FUNDS | 461418766 |
| 32057 | RIVERBRIDGE GROWTH FUND INVESTOR | 0.40% | USADDRESS | 2220 E. ROUTE 66, SUITE 226 | GLENDORA | CA | 91740 | RIVERBRIDGE FUNDS | 46141P305 |
| 32057 | PALMER SQUARE INCOME PLUS INSTL | 0.12% | USADDRESS | 2220 EAST ROUTE 66, SUITE 226 | GLENDORA | CA | 91740 | PALMER SQUARE FUND | 46141P388 |
| 32057 | EUROPAC INTERNATNL DIVIDEND INC CL A | 0.08% | USADDRESS | LOTS 81-82, STREET C, SUITE 204 | DORADO | PR | 00646 | EURO PACIFIC FUNDS | 46141P487 |
| 32057 | EUROPAC GOLD FUND CLASS A | 0.08% | USADDRESS | LOTS 81-82, STREET C, SUITE 204 | DORADO | PR | 00646 | EURO PACIFIC FUNDS | 46141P677 |
| 32057 | WCM FOCUSED EMERGINGMARKETS INVESTOR | 0.40% | USADDRESS | 2220 EAST ROUTE 66, SUITE 226 | GLENDORA | CA | 91740 | WCM FUNDS | 46141P842 |
| 32057 | ARISTOTLE CORE EQUITY CL I | 0.12% | USADDRESS | 2220 E. ROUTE 66, SUITE 226 | GLENDORA | CA | 91740 | ARISTOTLE FUNDS | 46141Q360 |
| 32057 | AXS CHESAPEAKE STRATEGY I | 0.10% | USADDRESS | 181 WESTCHESTER AVENUE, SUITE 402 | PORT CHESTER | NY | 10573 | AXS FUNDS | 46141T372 |
| 32057 | AXS ALTERNATIVE GROWTH I | 0.10% | USADDRESS | 181 WESTCHESTER AVENUE, SUITE 402 | PORT CHESTER | NY | 10573 | AXS FUNDS | 46141T380 |
| 32057 | DELAWARE IVY EMERG MARKETS EQUITY A | 0.40% | USADDRESS | 6300 LAMAR AVE | SMITHFIELD | RI | 02917 | DELAWARE IVY FUNDS | 465897866 |
| 32057 | DELAWARE IVY SCIENCE& TECHNOLOGY CL A | 0.40% | USADDRESS | 6300 LAMAR AVE | SMITHFIELD | RI | 02917 | DELAWARE IVY FUNDS | 466000718 |
| 32057 | LOOMIS SAYLES GLOBALALLOCATION CLASS A | 0.40% | USADDRESS | 399 BOYLSTON STREET, 8TH FLOOR | BOSTON | MA | 02116 | NATIXIS GLOBAL ASSOCIATES | 46602Q107 |
| 32057 | JPMORGAN HEDGED EQUITY CLASS I | 0.15% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 46637K281 |
| 32057 | JPMORGAN HEDGED EQUITY CLASS A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 46637K315 |
| 32057 | JPMORGAN GL BOND OPPORTUNITIES FUND A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 46637K711 |
| 32057 | JP MORGAN OPPORT EQ LONG SHORT FD CL A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 46641U606 |
| 32057 | JP MORGAN HEDGED EQUITY 3 FD I | 0.08% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 46645V329 |
| 32057 | JOHCM INTERNATIONAL SELECT INV | 0.40% | FOREIGNADDRESS | 14 Ryder Street, Ryder Court, Ground Floor | LONDON | GB | SW1Y 6QB | JOHCM FUNDS | 46653M823 |
| 32057 | JACOB MICRO CAP GROWTH INV CL | 0.40% | USADDRESS | 727 2ND STREET, SUITE 106 | HERMOSA BEACH | CA | 90254 | JACOB FUNDS | 469785406 |
| 32057 | JACOB INTERNET | 0.40% | USADDRESS | 727 2ND STREET, SUITE 106 | HERMOSA BEACH | CA | 90254 | JACOB FUNDS | 469785604 |
| 32057 | JAMES BALANCED: GOLDEN RAINBOW FUND | 0.40% | USADDRESS | 1290 BROADWAY ST. SUITE 1100 | DENVER | CO | 80203 | JAMES ADVANTAGE | 470259102 |
| 32057 | JANUS HENDERSON GROWTH & INCOME T | 0.35% | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023200 |
| 32057 | JANUS HENDERSON GLOB TECH & INNOV I | $14.00 | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023333 |
| 32057 | JANUS HENDERSON GL LIFE SCIENCES I | $14.00 | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023465 |
| 32057 | JANUS HENDERSON SMALL CAP VALUE T | 0.35% | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023572 |
| 32057 | JANUS HENDERSON FLEXIBLE BOND T | 0.35% | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023606 |
| 32057 | JANUS HENDERSON GLOBAL SELECT T | 0.35% | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023648 |
| 32057 | JANUS HENDERSON CONTRARIAN T | 0.35% | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023655 |
| 32057 | JANUS HENDERSON GLOB TECH & INNOV T | 0.35% | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023663 |
| 32057 | JANUS HENDERSON GL LIFE SCIENCES T | 0.35% | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023671 |
| 32057 | JANUS HENDERSON HIGH-YIELD T | 0.35% | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023762 |
| 32057 | JANUS HENDERSON ENTERPRISE T | 0.35% | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023804 |
| 32057 | JANUS HENDERSON OVERSEAS T | 0.35% | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023846 |
| 32057 | JANUS HENDERSON BALANCED T | 0.35% | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 471023879 |
| 32057 | JANUS HENDERSON GL REAL ESTATE T | 0.35% | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 47103A567 |
| 32057 | JANUS HENDERSON GL REAL ESTATE I | $14.00 | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 47103A583 |
| 32057 | JANUS HENDERSON FORTY T | $14.00 | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 47103A625 |
| 32057 | JANUS HENDERSON BALANCED I | $14.00 | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 47103C704 |
| 32057 | JANUS HENDERSON ENTERPRISE I | $14.00 | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 47103C795 |
| 32057 | JANUS HENDERSON DEVELOPED WORLD BD I | $14.00 | USADDRESS | 151 DETROIT ST. | DENVER | CO | 80206 | JANUS FUNDS | 47103Y839 |
| 32057 | JENSEN QUALITY GROWTH FD CL J | 0.40% | USADDRESS | 811 E. WISCONSIN AVE, 8TH FLOOR | MILWAUKEE | WI | 53202 | JENSEN FUNDS | 476313101 |
| 32057 | JOHN HANCOCK DISCIPL VALUE INTL FD CL I | 0.10% | USADDRESS | 601 CONGRESS ST., 9TH FL. | BOSTON | MA | 02210 | JOHN HANCOCK FUNDS | 47803P294 |
| 32057 | JOHN HANCOCK DISCIPL INED VALUE MID CAP | 0.10% | USADDRESS | 601 CONGRESS ST., 9TH FL. | BOSTON | MA | 02210 | JOHN HANCOCK FUNDS | 47803W505 |
| 32057 | JOHN HANCOCK STR INCOPPORTUNITIES CL I | 0.15% | USADDRESS | 601 CONGRESS ST., 9TH FL. | BOSTON | MA | 02210 | JOHN HANCOCK FUNDS | 47804A130 |
| 32057 | JPMORGAN INTERNATNL FOCUS FUND CL A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 48121L189 |
| 32057 | JPMORGAN GLOBAL ALLOCATION CLASS I | 0.08% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 48121L692 |
| 32057 | JPMORGAN EMERGING MARKETS EQUITY CL A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812A0607 |
| 32057 | JPMORGAN EMERGING MKTS EQUITY CLASS I | 0.15% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812A0623 |
| 32057 | JPMORGAN US EQUITY FUND CLASS I | 0.15% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812A1159 |
| 32057 | JPMORGAN SMALL CAP EQUITY FND CLASS I | 0.15% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812A1373 |
| 32057 | JPMORGAN US VALUE CLASS I | 0.15% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812A1464 |
| 32057 | JP MORGAN INCOME BUILDER FUND CL A | 0.38% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812A3288 |
| 32057 | JP MORGAN STRATEGIC INCOME OPPORT A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812A4385 |
| 32057 | JPMORGAN CORE BOND CLASS I | 0.15% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812C0381 |
| 32057 | JPMORGAN EQUITY INCOME FUND CL A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812C0464 |
| 32057 | JPMORGAN EQUITY INCOME CLASS I | 0.15% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812C0498 |
| 32057 | JPMORGAN LARGE CAP GROWTH CLASS A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812C0506 |
| 32057 | JPMORGAN LARGE CAP GROWTH CLASS I | 0.15% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812C0530 |
| 32057 | JPMORGAN SMALL CAP GROWTH CLASS A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812C0548 |
| 32057 | JPMORGAN EQUITY INDEX FUND CLASS I | 0.15% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812C1553 |
| 32057 | JPMORGAN LARGE CAP VALUE FUND CLASS A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812C1561 |
| 32057 | JPMORGAN MID CAP GROWTH FUDN CLASS A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812C1686 |
| 32057 | JPMORGAN DIVERS MID CAP GROWTH CLASS I | 0.15% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812C1710 |
| 32057 | JPMORGAN SMALL CAP VALUE CLASS A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 4812C1769 |
| 32057 | LAZARD GLOBAL LISTEDINFRASTRUCTURE OPEN | 0.40% | USADDRESS | 30 ROCKEFELLER PLAZA, 57TH FL. | NEW YORK | NY | 10112 | LAZARD FUNDS | 52106N442 |
| 32057 | LAZARD GLOBAL LISTED INFRASTRUCTE INSTL | 0.10% | USADDRESS | 30 ROCKEFELLER PLAZA, 57TH FL. | NEW YORK | NY | 10112 | LAZARD FUNDS | 52106N459 |
| 32057 | LAZARD INTL STRAT EQUITY PORT OPEN CL | 0.40% | USADDRESS | 30 ROCKEFELLER PLAZA, 57TH FL. | NEW YORK | NY | 10112 | LAZARD FUNDS | 52106N582 |
| 32057 | LAZARD INTL STRATEGYEQUITY PORT INTL CL | 0.15% | USADDRESS | 30 ROCKEFELLER PLAZA, 57TH FL. | NEW YORK | NY | 10112 | LAZARD FUNDS | 52106N590 |
| 32057 | CLEARBRIDGE SMALL CAP FUND CLASS A | 0.40% | USADDRESS | 620 8TH AVENUE, 49TH FL. | NEW YORK | NY | 10018 | LEGG MASON | 524686482 |
| 32057 | CLEARBRIDGE INTERN'TGROWTH FD CL A | 0.40% | USADDRESS | 620 8TH AVENUE, 49TH FL. | NEW YORK | NY | 10018 | LEGG MASON | 524686540 |
| 32057 | CLEARBRIDGE LARGE CAP GROWTH A | 0.40% | USADDRESS | 620 8TH AVENUE, 49TH FL. | NEW YORK | NY | 10018 | LEGG MASON | 52469H826 |
| 32057 | CLEARBRIDGE SELECT FUND CL A | 0.40% | USADDRESS | 620 8TH AVENUE, 49TH FL. | NEW YORK | NY | 10018 | LEGG MASON | 52471R648 |
| 32057 | LEUTHOLD CORE INVESTMENT RETAIL | 0.40% | USADDRESS | 33 SOUTH SIXTH ST. SUITE 4600 | MINNEAPOLIS | MN | 55402 | LEUTHOLD FUNDS | 527289102 |
| 32057 | LEUTHOLD CORE INVSMT FD CL INSTL | 0.12% | USADDRESS | 33 SOUTH SIXTH ST. SUITE 4600 | MINNEAPOLIS | MN | 55402 | LEUTHOLD FUNDS | 527289409 |
| 32057 | LOOMIS SAYLES SMALL CAP GROWTH INSTL | 0.05% | USADDRESS | 399 BOYLSTON STREET, 8TH FL | BOSTON | MA | 02116 | LOOMIS SAYLES FUNDS | 543487854 |
| 32057 | LOOMIS SAYLES GLOBAL BOND RETAIL | 0.35% | USADDRESS | 399 BOYLSTON STREET, 8TH FL | BOSTON | MA | 02116 | LOOMIS SAYLES FUNDS | 543495774 |
| 32057 | LOOMIS SAYLES BOND RETAIL SHARES | 0.35% | USADDRESS | 399 BOYLSTON STREET, 8TH FL | BOSTON | MA | 02116 | LOOMIS SAYLES FUNDS | 543495832 |
| 32057 | LOOMIS SAYLES BOND INSTL | 0.20% | USADDRESS | 399 BOYLSTON STREET, 8TH FL | BOSTON | MA | 02116 | LOOMIS SAYLES FUNDS | 543495840 |
| 32057 | LORD ABBETT GROWTH LEADERS FUND CL A | 0.45% | USADDRESS | 90 HUDSON STREET 10TH FLOOR | JERSEY CITY | NJ | 07302 | LORD ABBETT FAMILY OF FUNDS | 543915326 |
| 32057 | LORD ABBETT SHORT DURATION INCOME CL A | 0.37% | USADDRESS | 90 HUDSON STREET 10TH FLOOR | JERSEY CITY | NJ | 07302 | LORD ABBETT FAMILY OF FUNDS | 543916100 |
| 32057 | LORD ABBETT SHORT DURATION INCOME CL I | 0.15% | USADDRESS | 90 HUDSON STREET 10TH FLOOR | JERSEY CITY | NJ | 07302 | LORD ABBETT FAMILY OF FUNDS | 543916688 |
| 32057 | LORD ABBETT BOND DEBENTURE CLASS A | 0.37% | USADDRESS | 90 HUDSON STREET 10TH FLOOR | JERSEY CITY | NJ | 07302 | LORD ABBETT FAMILY OF FUNDS | 544004104 |
| 32057 | LORD ABBETT DEVELOP GROWTH CLASS A | 0.45% | USADDRESS | 90 HUDSON STREET 10TH FLOOR | JERSEY CITY | NJ | 07302 | LORD ABBETT FAMILY OF FUNDS | 544006109 |

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| 32057 | LORD ABBETT MICRO CAP GROWTH FUND A | 0.45% | USADDRESS | 90 HUDSON STREET 10TH FLOOR | JERSEY CITY | NJ | 07302 | LORD ABBETT FAMILY OF FUNDS | 54400B546 |
| 32057 | LORD ABBETT HIGH YIELD CLASS A | 0.37% | USADDRESS | 90 HUDSON STREET 10TH FLOOR | JERSEY CITY | NJ | 07302 | LORD ABBETT FAMILY OF FUNDS | 54400N102 |
| 32057 | LORD ABBETT HIGH YIELD FD CL I | 0.15% | USADDRESS | 90 HUDSON STREET 10TH FLOOR | JERSEY CITY | NJ | 07302 | LORD ABBETT FAMILY OF FUNDS | 54400N409 |
| 32057 | LORD ABBETT INFLTN FOCUSED CL A | 0.37% | USADDRESS | 90 HUDSON STREET 10TH FLOOR | JERSEY CITY | NJ | 07302 | LORD ABBETT FAMILY OF FUNDS | 54400U205 |
| 32057 | MFS MID CAP VALUE CLASS A | 0.40% | USADDRESS | 111 HUNTINGTON AVE | BOSTON | MA | 021997632 | MFS FAMILY OF FUNDS | 55272P638 |
| 32057 | MFS INTERNATIONAL GROWTH CLASS A | 0.40% | USADDRESS | 111 HUNTINGTON AVE | BOSTON | MA | 021997632 | MFS FAMILY OF FUNDS | 55273E103 |
| 32057 | MFS EMERGING MARKETSDEBT FUND CL I | 0.15% | USADDRESS | 111 HUNTINGTON AVE | BOSTON | MA | 021997632 | MFS FAMILY OF FUNDS | 55273E640 |
| 32057 | MFS INTERNATIONAL DIVERSIFICATION FD A | 0.40% | USADDRESS | 111 HUNTINGTON AVE | BOSTON | MA | 021997632 | MFS FAMILY OF FUNDS | 55273G330 |
| 32057 | MFS INTERNATIONAL NEW DISCOVERY CL A | 0.40% | USADDRESS | 111 HUNTINGTON AVE | BOSTON | MA | 021997632 | MFS FAMILY OF FUNDS | 552981888 |
| 32057 | MFS GLOBAL EQUITY CLASS A | 0.40% | USADDRESS | 111 HUNTINGTON AVE | BOSTON | MA | 021997632 | MFS FAMILY OF FUNDS | 552986507 |
| 32057 | MFS MID CAP GROWTH CLASS A | 0.40% | USADDRESS | 111 HUNTINGTON AVE | BOSTON | MA | 021997632 | MFS FAMILY OF FUNDS | 552987703 |
| 32057 | MADISON DIVIDEND INCOME FUND CL Y | 0.40% | USADDRESS | 550 SCIENCE DRIVE | MADISON | WI | 53711 | MADISON MOSAIC FUNDS | 557492477 |
| 32057 | MAINSTAY MACKAY HIGHYIELD CORP BD CL A | 0.40% | USADDRESS | 30 HUDSON STREET, 23RD FLOOR | ARLINGTON | NJ | 07032 | MAINSTAY | 56062F772 |
| 32057 | MAIRS & POWER GROWTH FUND | 0.12% | USADDRESS | 777 E. WISCONSIN AVENUE, FLOOR 4 MK-WI-T4 | MILWAUKEE | WI | 53202 | MAIRS & POWERS | 56064V205 |
| 32057 | MAIRS & POWER BALANCED FUND | 0.12% | USADDRESS | 777 E. WISCONSIN AVENUE, FLOOR 4 MK-WI-T4 | MILWAUKEE | WI | 53202 | MAIRS & POWERS | 56064V304 |
| 32057 | NUANCE MID CAP VALUE FUND INSTL | 0.10% | USADDRESS | 4900 MAIN STREET, SUITE 220 | KANSAS CITY | MO | 64112 | NUANCE FUNDS | 56166Y511 |
| 32057 | HOOD RIVER SMALL CAPGROWTH INVESTOR | 0.40% | USADDRESS | 6001 SHADY OAK ROAD, SUITE 200 | MINNETONKA | MN | 55343 | HOOD RIVER SMALL-CAP GROWTH FUND | 56170L109 |
| 32057 | MANNING & NAPIER PROBLEND CONSV CL S | 0.40% | USADDRESS | 290 WOODCLIFF DR. | FAIRPORT | NY | 14450 | MANNING & NAPIER | 563821651 |
| 32057 | MANNING & NAPIER PROBLEND EXTD CL S | 0.40% | USADDRESS | 290 WOODCLIFF DR. | FAIRPORT | NY | 14450 | MANNING & NAPIER | 563821768 |
| 32057 | MFS MASS INVESTOR GROWTH STOCK A | 0.40% | USADDRESS | 111 HUNTINGTON AVE | BOSTON | MA | 021997632 | MFS FAMILY OF FUNDS | 575719109 |
| 32057 | MATTHEW 25 | 0.40% | USADDRESS | P.O. BOX 2479 | JENKINTOWN | PA | 19046 | MATTHEW 25 FUND | 577119100 |
| 32057 | MATTHEWS CHINA SMALLCOMPANIES INVESTOR | 0.40% | USADDRESS | 4 EMBARCADERO CENTER SUITE 550 | SAN FRANCISCO | CA | 94111 | MATTHEWS ASIAN FUNDS | 577125404 |
| 32057 | MATTHEWS ASIA TOTAL RTN BOND INVST | 0.40% | USADDRESS | 4 EMBARCADERO CENTER SUITE 550 | SAN FRANCISCO | CA | 94111 | MATTHEWS ASIAN FUNDS | 577125503 |
| 32057 | MATTHEW ASIA CREDIT OPPORTUNITIES CL INV | 0.40% | USADDRESS | 4 EMBARCADERO CENTER SUITE 550 | SAN FRANCISCO | CA | 94111 | MATTHEWS ASIAN FUNDS | 577130677 |
| 32057 | MATTHEWS CHINA DIVIDEND FD INSTL CL | 0.10% | USADDRESS | 4 EMBARCADERO CENTER SUITE 550 | SAN FRANCISCO | CA | 94111 | MATTHEWS ASIAN FUNDS | 577130735 |
| 32057 | MATTHEWS ASIA DIVIDEND INST'L | 0.15% | USADDRESS | 4 EMBARCADERO CENTER SUITE 550 | SAN FRANCISCO | CA | 94111 | MATTHEWS ASIAN FUNDS | 577130750 |
| 32057 | MATTHEWS PACIFIC TIGER FUND INSTL | 0.15% | USADDRESS | 4 EMBARCADERO CENTER SUITE 550 | SAN FRANCISCO | CA | 94111 | MATTHEWS ASIAN FUNDS | 577130834 |
| 32057 | MATTHEWS INDIA FUND | 0.40% | USADDRESS | 4 EMBARCADERO CENTER SUITE 550 | SAN FRANCISCO | CA | 94111 | MATTHEWS ASIAN FUNDS | 577130859 |
| 32057 | MATTHEWS ASIA GROWTH FUND INV | 0.40% | USADDRESS | 4 EMBARCADERO CENTER SUITE 550 | SAN FRANCISCO | CA | 94111 | MATTHEWS ASIAN FUNDS | 577130867 |
| 32057 | MATTHEWS ASIAN INNOVATORS FD INVST | 0.40% | USADDRESS | 4 EMBARCADERO CENTER SUITE 550 | SAN FRANCISCO | CA | 94111 | MATTHEWS ASIAN FUNDS | 577130883 |
| 32057 | MERGER FUND CLASS A | 0.40% | USADDRESS | 100 SUMMIT LAKE DRIVE #201 | VALHALLA | NY | 10595 | WESTCHESTER FUNDS | 589509108 |
| 32057 | METROPOLITAN WEST TOT RETURN BOND CL M | 0.35% | USADDRESS | 865 SOUTH FIGUEROA ST. #1400 | LOS ANGELES | CA | 90017 | METROPOLITAN WEST FUNDS | 592905103 |
| 32057 | METROPOLITAN WEST LOW DURATION M | 0.35% | USADDRESS | 865 SOUTH FIGUEROA ST. #1400 | LOS ANGELES | CA | 90017 | METROPOLITAN WEST FUNDS | 592905202 |
| 32057 | METROPOLITAN WEST TOTAL RETURN CLASS I | 0.10% | USADDRESS | 865 SOUTH FIGUEROA ST. #1400 | LOS ANGELES | CA | 90017 | METROPOLITAN WEST FUNDS | 592905509 |
| 32057 | METROPOLITAN WEST HIGH YIELD BOND CL M | 0.40% | USADDRESS | 865 SOUTH FIGUEROA ST. #1400 | LOS ANGELES | CA | 90017 | METROPOLITAN WEST FUNDS | 592905871 |
| 32057 | MILLER CONVERTIBLE BOND CLASS I | 0.10% | USADDRESS | 20 WILLIAM STREET, SUITE G-5 | WELLESLEY | MA | 02481 | MILLER CONVERTIBLE | 60055P201 |
| 32057 | MORGAN STANLEY MORTGAGE SEC TR CL A | 0.40% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 616962106 |
| 32057 | MORGAN STANLEY CORE PLUS FIXED INC PRT A | 0.40% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 617440581 |
| 32057 | MORGAN STANLEY DISCOVERY PORT CL A | 0.40% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 617440599 |
| 32057 | MSIF GLOBAL FRANCHISE CLASS A | 0.40% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61744J275 |
| 32057 | MORGAN STA INST INC.INCEPTION PORT I | 0.15% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61744J309 |
| 32057 | MORGAN STANLEY GROWTH PORTFOLIO A | 0.40% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61744J564 |
| 32057 | MORGAN STA INST INC.INCEPTION PORT CL A | 0.40% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61744J614 |
| 32057 | MORGAN STANLEY GROWTH PORTFOLIO I | 0.15% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61744J861 |
| 32057 | MORGAN STANLEY INSIGHT A | 0.40% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61747T106 |
| 32057 | MORGAN STANLEY INTL ADVANTAGE CL A | 0.40% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61756E446 |
| 32057 | MORGAN STANLEY INTL ADVANTAGE CL I | 0.15% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61756E461 |
| 32057 | MORGAN STANLEY GLOBAL OPPORTUNITY A | 0.40% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61756E685 |
| 32057 | MORGAN STANLEY GLOBAL OPPORTUNITY I | 0.15% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61756E693 |
| 32057 | MORGAN STANLEY INSTLINTERNTL OPP CL A | 0.40% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61756E826 |
| 32057 | MSIF ASIA OPPORTUNITY CL I | 0.10% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61760X224 |
| 32057 | MSIF NEXT GEN EMERGING MRKTS A | 0.40% | USADDRESS | 522 FIFTH AVENUE, 4TH FLOOR | NEW YORK | NY | 10036 | MORGAN STANLEY FUNDS | 61760X810 |
| 32057 | EVENTIDE GILEAD FUND CLASS N | 0.40% | USADDRESS | 80 ARKAY SUITE 110 | HAUPPAUGE | NY | 11788 | EVENTIDE FUND | 62827L682 |
| 32057 | EVENTIDE HEALTHCARE AND LIFE SCIENCES N | 0.40% | USADDRESS | 80 ARKAY SUITE 110 | HAUPPAUGE | NY | 11788 | EVENTIDE FUND | 62827M607 |
| 32057 | EVENTIDE MULTI ASSET INC CL N | 0.40% | USADDRESS | 80 ARKAY SUITE 110 | HAUPPAUGE | NY | 11788 | EVENTIDE FUND | 62827P402 |
| 32057 | FRANKLIN MUTUAL QUEST FUND CLASS A | $16.00 | USADDRESS | 100 FOUNTAIN PARKWAY | ST. PETERSBURG | FL | 33716 | FRANKLIN GROUP OF FUNDS | 628380800 |
| 32057 | NATIXIS OAKMARK INTL FUND CL Y | 0.05% | USADDRESS | 399 BOYLSTON STREET, 8TH FLOOR | BOSTON | MA | 02116 | NATIXIS GLOBAL ASSOCIATES | 63872R426 |
| 32057 | ALPHASIMPLEX MANAGEDFUTURE STRAT CL A | 0.40% | USADDRESS | 399 BOYLSTON STREET, 8TH FLOOR | BOSTON | MA | 02116 | NATIXIS GLOBAL ASSOCIATES | 63872T745 |
| 32057 | NEEDHAM AGGRESSIVE GROWTH | 0.40% | USADDRESS | 445 PARK AVE.; 15TH FLOOR | NEW YORK | NY | 10022 | NEEDHAM FUNDS | 63983V209 |
| 32057 | NEEDHAM SMALL CAP GROWTH | 0.40% | USADDRESS | 445 PARK AVE.; 15TH FLOOR | NEW YORK | NY | 10022 | NEEDHAM FUNDS | 63983V308 |
| 32057 | ADVISORS CAPITAL TACTICAL FX INC INVS | 0.40% | USADDRESS | 100 Salem St | SMITHFIELD | RI | 02917 | ADVISORS CAPITAL | 640193843 |
| 32057 | ADVISORS CAPITAL SMALL MID CAP INVSTR | 0.40% | USADDRESS | 100 Salem St | SMITHFIELD | RI | 02917 | ADVISORS CAPITAL | 640193850 |
| 32057 | ADVISORS CAPITAL US DIVIDEND FD INVESTOR | 0.40% | USADDRESS | 100 Salem St | SMITHFIELD | RI | 02917 | ADVISORS CAPITAL | 640193868 |
| 32057 | NEUBERGER BERMAN GENESIS TRUST CLASS | 0.40% | USADDRESS | 1290 AVENUE OF THE AMERICAS, 22ND FLOOR | NEW YORK | NY | 10104002 | NEUBERGER BERMAN GROUP | 640917100 |
| 32057 | NEUBERGER BERMAN LRG CAP VALUE TRUST | 0.40% | USADDRESS | 1290 AVENUE OF THE AMERICAS, 22ND FLOOR | NEW YORK | NY | 10104002 | NEUBERGER BERMAN GROUP | 640917407 |
| 32057 | NEUBERGER BERMAN COMMODITY STRAT INST | 0.10% | USADDRESS | 1290 AVENUE OF THE AMERICAS, 22ND FLOOR | NEW YORK | NY | 101040002 | NEUBERGER BERMAN GROUP | 64128R889 |
| 32057 | NEW COVENANT INCOME FUND | 0.40% | USADDRESS | 200 EAST TWELFTH STREET | JEFFERSONVILLE | IN | 47130 | NEW COVENANT FUNDS | 643642200 |
| 32057 | AMERICAN THE NEW ECONOMY FUND CL F2 | 0.12% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 643822828 |
| 32057 | AMERICAN NEW PERSPECTIVE CLASS F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 648018406 |
| 32057 | AMERICAN NEW PERSPECTIVE CL F2 | 0.15% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 648018828 |
| 32057 | AMERICAN NEW WORLD CLASS F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 649280401 |
| 32057 | AMERICAN NEW WORLD FUND CL F2 | 0.15% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 649280823 |
| 32057 | NORTHERN SMALL CAP VALUE | 0.40% | USADDRESS | 801 SOUTH CANAL, C-5S | CHICAGO | IL | 60675 | NORTHERN FUNDS | 665162400 |
| 32057 | DYNAMIC US OPPOR FD CL N | 0.40% | USADDRESS | 13215 BEE CAVE PKWY | AUSTIN | TX | 78738 | INNEALTA FUNDS | 66538A786 |
| 32057 | HCM INCOME PLUS FUNDINVESTOR | 0.40% | USADDRESS | 1145 HEMBREE ROAD | ROSWELL | GA | 30076 | HOWARD CAPITAL MANAGEMENT | 66538G148 |
| 32057 | HCM INCOME PLUS FUND CLASS A | 0.10% | USADDRESS | 1145 HEMBREE ROAD | ROSWELL | GA | 30076 | HOWARD CAPITAL MANAGEMENT | 66538G155 |
| 32057 | ABSOLUTE CAPITAL DEFENDER FD INVESTOR | 0.10% | USADDRESS | 101 PENNSYLVANIA BLVD | PITTSBURGH | PA | 15228 | ABSOLUTE CAPITAL FUNDS | 66538G296 |
| 32057 | ABSOLUTE CAPITAL ASSET ALLOCATOR INVS | 0.10% | USADDRESS | 101 PENNSYLVANIA BLVD | PITTSBURGH | PA | 15228 | ABSOLUTE CAPITAL FUNDS | 66538G338 |
| 32057 | HCM DIVIDEND SECTOR PLUS FUND INVESTOR | 0.40% | USADDRESS | 1145 HEMBREE ROAD | ROSWELL | GA | 30076 | HOWARD CAPITAL MANAGEMENT | 66538G627 |
| 32057 | HCM DIVIDEND SECTOR PLUS FUND CL A | 0.10% | USADDRESS | 1145 HEMBREE ROAD | ROSWELL | GA | 30076 | HOWARD CAPITAL MANAGEMENT | 66538G643 |
| 32057 | HCM TACTICAL GROWTH FUND INVESTOR | 0.40% | USADDRESS | 1145 HEMBREE ROAD | ROSWELL | GA | 30076 | HOWARD CAPITAL MANAGEMENT | 66538G858 |
| 32057 | HCM TACTICAL GROWTH FUND CL A | 0.10% | USADDRESS | 1145 HEMBREE ROAD | ROSWELL | GA | 30076 | HOWARD CAPITAL MANAGEMENT | 66538G866 |
| 32057 | PFG MFS AGGRESSIVE GROWTH STRATEGY R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66538J506 |
| 32057 | PFG JP MORGAN TACTICAGGRESSIVE STRAT R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66538J605 |
| 32057 | PFG BNY MELLON DIVERSIFIER STRAT R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66538J829 |
| 32057 | PFG MEEDER TACTICAL STRATEGY FUND R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66538J837 |
| 32057 | PFG JP MORGAN TACTICMODERATE STRATEGY R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66538J852 |
| 32057 | PFG ACTIVE CORE BOND STRATEGY FUND CL R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66538J878 |
| 32057 | PFG INVESCO THEMATIC ESG STRATEGY CL R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66539A488 |
| 32057 | PFG JANUS HENDERSON BALANCED STRATEGY R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66539A496 |
| 32057 | PRINCETON PREMIUM CL I | 0.08% | USADDRESS | 1580 LINCOLN ST, SUITE 680 | DENVER | CO | 80203 | PRINCETON FUNDS | 66539A603 |
| 32057 | PFG TACTICAL INCOME STRATEGY CL R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66539A652 |
| 32057 | PFG EQUITY INDEX FOCUSED STRATEGY R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66539A660 |
| 32057 | PFG SECTOR EQUITY BUS CYCLE STRAT R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66539A678 |
| 32057 | PFG BR EQUITY ESG STRATEGY CL R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66539A686 |
| 32057 | PFG AMERICAN FUNDS GROWTH STRAT CL R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66539A694 |
| 32057 | PFG AMERICAN FDS CONS INC STRAT CL R | 0.40% | USADDRESS | 777 108TH AVE NE, STE 2100 | BELLEVUE | WA | 98004 | PACIFIC FINANCIAL | 66539A710 |
| 32057 | NUVEEN SMALL-CAP VALUE FUND CLASS A | 0.40% | USADDRESS | 333 WEST WACKER DRIVE | CHICAGO | IL | 60606 | NUVEEN MUTUAL FUNDS | 67064Y750 |
| 32057 | NUVEEN FLEXIBLE INCOME FUND CL A3 | 0.40% | USADDRESS | 333 WEST WACKER DRIVE | CHICAGO | IL | 60606 | NUVEEN MUTUAL FUNDS | 670700608 |
| 32057 | NUVEEN INTERNATIONALGROWTH FUND CL A | 0.40% | USADDRESS | 333 WEST WACKER DRIVE | CHICAGO | IL | 60606 | NUVEEN MUTUAL FUNDS | 670725738 |
| 32057 | RED OAK TECHNOLOGY SELECT | 0.40% | USADDRESS | 225 PICTORIA DRIVE, SUITE 450 | CINCINNATI | OH | 45246 | OAK ASSOCIATES FUNDS | 671081305 |
| 32057 | OBERWEIS MICRO CAP FUND | 0.40% | USADDRESS | 3333 WARRENVILLE ROAD, STE. 500 | LISLE | IL | 60532 | OBERWEIS FUNDS | 674375209 |
| 32057 | OBERWEIS CHINA OPPORTUNITIES FUND | 0.40% | USADDRESS | 3333 WARRENVILLE ROAD, STE. 500 | LISLE | IL | 60532 | OBERWEIS FUNDS | 674375407 |
| 32057 | OBERWEIS INTL OPPORTUNITIES FUND | 0.40% | USADDRESS | 3333 WARRENVILLE ROAD, STE. 500 | LISLE | IL | 60532 | OBERWEIS FUNDS | 674375506 |
| 32057 | PIMCO LOW DURATION CLASS A | 0.38% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 693390411 |
| 32057 | PIMCO INTL BD FD U SDOLLAR-HEDGED A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 693391245 |
| 32057 | PIMCO MORTGAGE BACKED SEC CL A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 693391526 |
| 32057 | PARADIGM MICRO CAP FUND | 0.40% | USADDRESS | 9 ELK STREET | ALBANY | NY | 12207 | PARADIGM | 69901E500 |
| 32057 | PARNASSUS MID CAP GROWTH FUND INVST | 0.40% | USADDRESS | ONE MARKET STREET-STEUART TOWER SUITE 1600 | SAN FRANCISCO | CA | 94105 | PARNASSUS FUNDS | 701765109 |
| 32057 | PARNASSUS ENDEAVOR FUND | 0.40% | USADDRESS | ONE MARKET STREET-STEUART TOWER SUITE 1600 | SAN FRANCISCO | CA | 94105 | PARNASSUS FUNDS | 701765869 |
| 32057 | PARNASSUS MID CAP | 0.40% | USADDRESS | ONE MARKET STREET-STEUART TOWER SUITE 1600 | SAN FRANCISCO | CA | 94105 | PARNASSUS FUNDS | 701765885 |
| 32057 | PARNASSUS CORE EQUITY INVESTOR | 0.40% | USADDRESS | ONE MARKET STREET-STEUART TOWER SUITE 1600 | SAN FRANCISCO | CA | 94105 | PARNASSUS FUNDS | 701769101 |
| 32057 | PARNASSUS FIXED INCOME FUND | 0.40% | USADDRESS | ONE MARKET STREET-STEUART TOWER SUITE 1600 | SAN FRANCISCO | CA | 94105 | PARNASSUS FUNDS | 701769200 |

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|---|---|---|---|---|---|---|---|---|---|
| 32057 | PAYDEN EMERGING MKTS LOCAL BD FD INVESTO | 0.12% | USADDRESS | 333 SOUTH GRAND AVENUE 32ND FLOOR | LOS ANGELES | CA | 90071 | PAYDEN & RYGEL INVESTMENT GROUP | 704329275 |
| 32057 | PEAR TREE POLARIS FRGN VAL SM CAP ORD | 0.40% | USADDRESS | 55 OLD BEDFORD ROAD | LINCOLN | MA | 01773 | PEAR TREE FUNDS | 70472Q609 |
| 32057 | PEAR TREE POLARIS FRGN VALUE ORDINARY | 0.40% | USADDRESS | 55 OLD BEDFORD ROAD | LINCOLN | MA | 01773 | PEAR TREE FUNDS | 70472Q708 |
| 32057 | PERMANENT PORTFOLIO | 0.38% | USADDRESS | 600 MONTGOMERY ST. SUITE 4100 | SAN FRANCISCO | CA | 941112702 | PERMANENT PORTFOLIO | 714199106 |
| 32057 | PERMANENT AGGRESSIVEGROWTH PORTFOLIO | 0.40% | USADDRESS | 600 MONTGOMERY ST. SUITE 4100 | SAN FRANCISCO | CA | 941112702 | PERMANENT PORTFOLIO | 714199304 |
| 32057 | PERMANENT VERSATILE BOND PORTFOLIO | 0.40% | USADDRESS | 600 MONTGOMERY ST. SUITE 4100 | SAN FRANCISCO | CA | 941112702 | PERMANENT PORTFOLIO | 714199403 |
| 32057 | PIMCO INTL BOND FUND (UNHEDGED) A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 722005196 |
| 32057 | PIMCO COMMODITY REALRETURN STRAT A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 722005584 |
| 32057 | PIMCO INVESTMENT GR CREDIT BOND FUND A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 722008307 |
| 32057 | PIMCO REAL ESTATE REAL RETURN STRAT A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 72200Q299 |
| 32057 | PIMCO STOCKSPLUS INTERNATL US$HDG A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 72200Q430 |
| 32057 | PIMCO ALL ASSET FUNDCLASS A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 72200Q711 |
| 32057 | PIMCO INCOME FUND CL A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 72201F474 |
| 32057 | PIMCO STOCKSPLUS INTERNAT'L (UNHDG) A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 72201F557 |
| 32057 | PIMCO STOCKSPLUS SHORT FUND A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 72201F763 |
| 32057 | PIMCO RAE PLUS FUND A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 72201F888 |
| 32057 | PIMCO RAE PLUS EMG FUND A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 72201U539 |
| 32057 | PIMCO MORTGAGE OPPOR AND BOND FUND A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 72201U679 |
| 32057 | PIMCO CREDIT OPPOR BOND FUND A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 72201W451 |
| 32057 | PIMCO INCOME CL I3 | 0.15% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 72202E393 |
| 32057 | PIMCO PREFERRED AND CAPITAL SECS CL A | 0.40% | USADDRESS | 1633 BROADWAY | NEW YORK | NY | 10019 | PIMCO FUNDS | 72202E666 |
| 32057 | PIONEER FUND CLASS Y | 0.10% | USADDRESS | 60 STATE STREET, 17TH FL. | BOSTON | MA | 02109 | PIONEER GROUP | 723682407 |
| 32057 | PIONEER MULTI-ASSET INCOME CLASS A | 0.40% | USADDRESS | 60 STATE STREET, 17TH FL. | BOSTON | MA | 02109 | PIONEER GROUP | 72387P643 |
| 32057 | PIONEER FLEXIBLE OPPORTUNITIES CL A | 0.40% | USADDRESS | 60 STATE STREET, 17TH FL. | BOSTON | MA | 02109 | PIONEER GROUP | 72387S407 |
| 32057 | PREDEX FUND | 0.15% | USADDRESS | 222 N PACIFIC COAST HWY, SUITE 2000 | EL SEGUNDO | CA | 90245 | PREDEX | 74036J101 |
| 32057 | T ROWE PRICE COMM & TECHNOLOGY INVESTOR | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 741454102 |
| 32057 | T ROWE PRICE GROWTH STOCK | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 741479109 |
| 32057 | T ROWE PRICE HEALTH SCIENCES | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 741480107 |
| 32057 | T ROWE PRICE GLOBAL TECHNOLOGY | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 741494108 |
| 32057 | T ROWE PRICE GLBL MULTI SECTOR BOND FD | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 74149N106 |
| 32057 | T ROWE PRICE RET 2030 FD | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 74149P309 |
| 32057 | T ROWE PRICE RET 2040 FD | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 74149P408 |
| 32057 | T ROWE PRICE RETIREMENT 2045 FD | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 74149P762 |
| 32057 | T ROWE PRICE RETIREMENT 2035 FUND | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 74149P770 |
| 32057 | T ROWE PRICE RETIREMENT 2025 FD | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 74149P788 |
| 32057 | PRIMECAP ODYSSEY GROWTH FUND | 0.10% | USADDRESS | 2020 E. FINANCIAL WAY, SUITE 100 | GLENDORA | CA | 91741 | PRIME CAP ODYSSEY | 74160Q103 |
| 32057 | PRIMECAP ODYSSEY AGGRESSIVE GRWTH FD | 0.10% | USADDRESS | 2020 E. FINANCIAL WAY, SUITE 100 | GLENDORA | CA | 91741 | PRIME CAP ODYSSEY | 74160Q202 |
| 32057 | PRIMECAP ODYSSEY STO CK FUND | 0.10% | USADDRESS | 2020 E. FINANCIAL WAY, SUITE 100 | GLENDORA | CA | 91741 | PRIME CAP ODYSSEY | 74160Q301 |
| 32057 | PRINCIPAL SMALL CAP FUND INSTL | 0.10% | USADDRESS | 620 COOLIDGE DRIVE, SUITE 300 | FOLSOM | CA | 95630 | PRINCIPAL | 74253Q564 |
| 32057 | PRINCIPAL REAL ESTATE SEC INSTL CL | 0.15% | USADDRESS | 620 COOLIDGE DRIVE, SUITE 300 | FOLSOM | CA | 95630 | PRINCIPAL | 74253Q580 |
| 32057 | PRINCIPAL MID CAP FUND CLASS A | 0.40% | USADDRESS | 620 COOLIDGE DRIVE, SUITE 300 | FOLSOM | CA | 95630 | PRINCIPAL | 74254T443 |
| 32057 | PRINCIPAL DIVERSIFIED REAL ASSET FD CL A | 0.40% | USADDRESS | 620 COOLIDGE DRIVE, SUITE 300 | FOLSOM | CA | 95630 | PRINCIPAL | 74254V182 |
| 32057 | PRINCIPAL GLOBAL DIVERSIFIED INCOME A | 0.40% | USADDRESS | 620 COOLIDGE DRIVE, SUITE 300 | FOLSOM | CA | 95630 | PRINCIPAL | 74254V224 |
| 32057 | PRINCIPAL SHORT TERM INCOME FD CLASS A | 0.40% | USADDRESS | 620 COOLIDGE DRIVE, SUITE 300 | FOLSOM | CA | 95630 | PRINCIPAL | 74254V562 |
| 32057 | AKRE FOCUS FUND RETAIL | 0.40% | USADDRESS | 777 E. WISCONSIN AVE. 4TH FL | MILWAUKEE | WI | 53202 | AKRE FUNDS | 742935117 |
| 32057 | AKRE FOCUS FUND INSTL | 0.10% | USADDRESS | 777 E. WISCONSIN AVE. 4TH FL | MILWAUKEE | WI | 53202 | AKRE FUNDS | 742935125 |
| 32057 | HODGES SMALL CAP FUND RETAIL | 0.40% | USADDRESS | 2905 MAPLE AVENUE | DALLAS | TX | 75201 | HODGES FUNDS | 742935299 |
| 32057 | THE OSTERWEIS STRATEGIC INCOME FD | 0.10% | USADDRESS | 777 E. WISCONSIN AVE, 4TH FL | MILWAUKEE | WI | 53202 | OSTERWEIS | 742935489 |
| 32057 | PORTFOLIO 21 GLOBAL EQUITY FUND RETAIL | 0.40% | USADDRESS | 777 E. WISCONSIN AVE. / MAIL STOP - MK-WI-T4 | MILWAUKEE | WI | 53202 | PROFESSION MGD PTFL | 742935588 |
| 32057 | OIL & GAS ULTRA SECTPRO FDS -INVESTOR | 0.40% | USADDRESS | 7501 WISCONSIN AVE, SUITE 1000 EAST TOWER | BETHESDA | MD | 20814 | PRO FUNDS | 743185175 |
| 32057 | TECHNOLOGY ULTRA SECTOR PRO FD INVSTR | 0.40% | USADDRESS | 7501 WISCONSIN AVE, SUITE 1000 EAST TOWER | BETHESDA | MD | 20814 | PRO FUNDS | 743185266 |
| 32057 | INTERNET ULTRASECTORPRO FD INVESTOR | 0.40% | USADDRESS | 7501 WISCONSIN AVE, SUITE 1000 EAST TOWER | BETHESDA | MD | 20814 | PRO FUNDS | 743185357 |
| 32057 | HEALTH CARE ULTRA SECTOR PRO FD INVSTR | 0.40% | USADDRESS | 7501 WISCONSIN AVE, SUITE 1000 EAST TOWER | BETHESDA | MD | 20814 | PRO FUNDS | 743185373 |
| 32057 | FINANCIALS ULTRA SECTOR PRO FD INVS | 0.40% | USADDRESS | 7501 WISCONSIN AVE, SUITE 1000 EAST TOWER | BETHESDA | MD | 20814 | PRO FUNDS | 743185399 |
| 32057 | BASIC MATERIAL ULTRASEC PRO FD INVESTOR | 0.40% | USADDRESS | 7501 WISCONSIN AVE, SUITE 1000 EAST TOWER | BETHESDA | MD | 20814 | PRO FUNDS | 743185514 |
| 32057 | REAL ESTATE ULTRA SECTOR PRO FD INVSTR | 0.40% | USADDRESS | 7501 WISCONSIN AVE, SUITE 1000 EAST TOWER | BETHESDA | MD | 20814 | PRO FUNDS | 743185530 |
| 32057 | ULTRA BULL PRO FUND INVESTORS SHARES | 0.40% | USADDRESS | 7501 WISCONSIN AVE, SUITE 1000 EAST TOWER | BETHESDA | MD | 20814 | PRO FUNDS | 743185803 |
| 32057 | ULTRA NASDAQ-100 PRO FUND INVESTOR CLASS | 0.40% | USADDRESS | 7501 WISCONSIN AVE, SUITE 1000 EAST TOWER | BETHESDA | MD | 20814 | PRO FUNDS | 743185860 |
| 32057 | FALLING US DOLLAR PRO FUND INV CLASS | 0.40% | USADDRESS | 7501 WISCONSIN AVE, SUITE 1000 EAST TOWER | BETHESDA | MD | 20814 | PRO FUNDS | 74318A190 |
| 32057 | ULTRA DOW 30 PRO FUND INVESTOR | 0.40% | USADDRESS | 7501 WISCONSIN AVE, SUITE 1000 EAST TOWER | BETHESDA | MD | 20814 | PRO FUNDS | 74318A539 |
| 32057 | ULTRA INTL PRO FD INVT CL | 0.40% | USADDRESS | 7501 WISCONSIN AVE, SUITE 1000 EAST TOWER | BETHESDA | MD | 20814 | PRO FUNDS | 74318X703 |
| 32057 | PGIM JEN EMRG MRKTS EQUITY OPP CL Z | 0.10% | USADDRESS | 655 BROAD STREET | NEWARK | NJ | 07102 | PRUDENTIAL INVESTMENTS | 743969610 |
| 32057 | PGIM JEN INTL OPPORTUNITIES CL Z | 0.10% | USADDRESS | 655 BROAD STREET | NEWARK | NJ | 07102 | PRUDENTIAL INVESTMENTS | 743969651 |
| 32057 | PGIM JENN GLOBAL OPPORTUNITIES CL Z | 0.10% | USADDRESS | 655 BROAD STREET | NEWARK | NJ | 07102 | PRUDENTIAL INVESTMENTS | 743969685 |
| 32057 | PGIM JENN GLOBAL OPPORTUNITIES CL A | 0.10% | USADDRESS | 655 BROAD STREET | NEWARK | NJ | 07102 | PRUDENTIAL INVESTMENTS | 743969719 |
| 32057 | PGIM GLOBAL TOTAL RETURN CL Z | 0.10% | USADDRESS | 655 BROAD STREET | NEWARK | NJ | 07102 | PRUDENTIAL INVESTMENTS | 74439A400 |
| 32057 | PGIM TOTAL RETURN BOND CL A | 0.40% | USADDRESS | 655 BROAD STREET | NEWARK | NJ | 07102 | PRUDENTIAL INVESTMENTS | 74440B108 |
| 32057 | PGIM TOTAL RETURN BOND CL Z | 0.15% | USADDRESS | 655 BROAD STREET | NEWARK | NJ | 07102 | PRUDENTIAL INVESTMENTS | 74440B405 |
| 32057 | PGIM STRATEGIC BOND CL A | 0.10% | USADDRESS | 655 BROAD STREET | NEWARK | NJ | 07102 | PRUDENTIAL INVESTMENTS | 74440K678 |
| 32057 | PGIM HIGH YIELD CL A | 0.40% | USADDRESS | 655 BROAD STREET | NEWARK | NJ | 07102 | PRUDENTIAL INVESTMENTS | 74440Y108 |
| 32057 | PGIM HIGH YIELD CL Z | 0.15% | USADDRESS | 655 BROAD STREET | NEWARK | NJ | 07102 | PRUDENTIAL INVESTMENTS | 74440Y801 |
| 32057 | PGIM SHRT DUR HGH YLD INC FD CL A | 0.40% | USADDRESS | 655 BROAD STREET | NEWARK | NJ | 07102 | PRUDENTIAL INVESTMENTS | 74442J109 |
| 32057 | PGIM SHRT DUR HGH YLD INC FD CL Z | 0.10% | USADDRESS | 655 BROAD STREET | NEWARK | NJ | 07102 | PRUDENTIAL INVESTMENTS | 74442J307 |
| 32057 | PUTNAM LARGE CAP VALCLASS A | 0.40% | USADDRESS | ONE POST OFFICE SQUARE MAILZONE G3C | BOSTON | MA | 02109 | PUTNAM FUNDS | 746745108 |
| 32057 | PUTNAM GLOBAL TECHNOLOGY FUND CL A | 0.40% | USADDRESS | ONE POST OFFICE SQUARE MAILZONE G3C | BOSTON | MA | 02109 | PUTNAM FUNDS | 746764570 |
| 32057 | PUTNAM FOCUSED EQ FUND CLASS A | 0.40% | USADDRESS | ONE POST OFFICE SQUARE MAILZONE G3C | BOSTON | MA | 02109 | PUTNAM FUNDS | 746764646 |
| 32057 | PUTNAM MULTI-CAP CORE FUND CL A | 0.40% | USADDRESS | ONE POST OFFICE SQUARE MAILZONE G3C | BOSTON | MA | 02109 | PUTNAM FUNDS | 74676P888 |
| 32057 | PUTNAM GROWTH OPPORTUNITIES CL A | 0.40% | USADDRESS | ONE POST OFFICE SQUARE MAILZONE G3C | BOSTON | MA | 02109 | PUTNAM FUNDS | 746802800 |
| 32057 | BOSTON PARTNERS ALL CAP VALUE INVS | 0.40% | USADDRESS | 223 WILMINGTON WEST CHESTER PIKE #216 | CHADDS FORD | PA | 19317 | BOSTON PARTNERS | 749255121 |
| 32057 | SGI SMALL CAP GROWTH FUND INSTL | 0.10% | USADDRESS | 2310 WASHINGTON ST. SUITE 310 | NEWTON | MA | 02462 | BOGLE FUNDS | 749255188 |
| 32057 | BOSTON PARTNERS SM CAP VALUE II INVS | 0.40% | USADDRESS | 223 WILMINGTON WEST CHESTER PIKE #216 | CHADDS FORD | PA | 19317 | BOSTON PARTNERS | 749255337 |
| 32057 | SGI US SMALL CAP EQUITY FD CL I | 0.10% | USADDRESS | 620 S. MAIN STREET | BOUNTIFUL | UT | 84010 | SUMMIT GLOBAL INVESTMENTS | 74925K268 |
| 32057 | SGI GLOBAL EQUITY FUND CL I | 0.40% | USADDRESS | 1055 WESTLAKES DRIVE | BERWYN | PA | 19312 | RBB FUNDS | 74925K417 |
| 32057 | SGI US LARGE CAP EQUITY FD CL I | 0.10% | USADDRESS | 620 S. MAIN STREET | BOUNTIFUL | UT | 84010 | SUMMIT GLOBAL INVESTMENTS | 74925K524 |
| 32057 | RIVERNORTH/DOUBLE LINE STRATEGIC INC R | 0.40% | USADDRESS | 325 NORTH LASALLE ST, SUITE 645 | CHICAGO | IL | 60654 | RIVERNORTH FUNDS | 76881N301 |
| 32057 | T ROWE PRICE DIVIDEND GROWTH | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 779546100 |
| 32057 | T ROWE PRICE CAP APPRECIATION | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77954M105 |
| 32057 | T ROWE PRICE FINANCIAL SERVICES | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77954N103 |
| 32057 | T ROWE PRICE U.S EQUITY RESEARCH FD | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77954P108 |
| 32057 | T ROWE PRICE BLUE CHIP GROWTH INC | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77954Q106 |
| 32057 | T ROWE PRICE EQUITY INDEX 500 FUND | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 779552108 |
| 32057 | T ROWE PRICE TOTAL EQUITY MARKET INDEX | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 779552306 |
| 32057 | T ROWE PRICE ALL CAPOPPORTUNITIES INVST | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 779557107 |
| 32057 | T ROWE PRICE NEW ERA | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 779559103 |
| 32057 | T ROWE PRICE INTERNATIONAL BOND | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77956H104 |
| 32057 | T ROWE PRICE INTL DISCOVERY FUND | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77956H302 |
| 32057 | T ROWE PRICE NEW ASIA | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77956H500 |
| 32057 | T ROWE PRICE GLOBAL INDUSTRIALS INVESTOR | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77956H633 |
| 32057 | T ROWE PRICE GLOBAL GR STOCK INVESTOR CL | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77956H732 |
| 32057 | T ROWE PRICE OVERSEAS STOCK FUND | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77956H757 |
| 32057 | T ROWE PRICE GLOBAL STOCK | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77956H856 |
| 32057 | T ROWE PRICE VALUE | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 779578103 |
| 32057 | T ROWE PRICE SHORT TERM BOND | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77957P105 |
| 32057 | T ROWE PRICE US TREALONG TERM INDEX INV | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77957T206 |
| 32057 | T ROWE PRICE DIVERSDMID CAP GROWTH | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 779585108 |
| 32057 | T ROWE PRICE INSTL FLOATING RATE CL F | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77958B105 |
| 32057 | T ROWE PRICE INFLATION PROT BD FD | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 77958D101 |
| 32057 | TROWE PRICE SPECTRM INTERNATIONAL EQUITY | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 779906304 |
| 32057 | T ROWE PRICE QM US SML CAP GRWTH EQUITY | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 779917103 |
| 32057 | GLOBAL REAL ESTATE SECURITIES S | 0.25% | USADDRESS | 1301 SECOND AVENUE 16TH FLOOR | SEATTLE | WA | 98101 | RUSSELL FUNDS | 782493761 |
| 32057 | RYDEX INVERSE S&P 500 STRATEGY INV CL | 0.40% | USADDRESS | 9601 BLACKWELL RD., STE. 500 | ROCKVILLE | MD | 20850 | RYDEX SERIES TRUST | 783554405 |
| 32057 | RYDEX S&P 500 2X STRATEGY CL H | 0.40% | USADDRESS | 9601 BLACKWELL RD., STE. 500 | ROCKVILLE | MD | 20850 | RYDEX SERIES TRUST | 783554439 |
| 32057 | RYDEX NASDAQ 100 INV CLASS | 0.40% | USADDRESS | 9601 BLACKWELL RD., STE. 500 | ROCKVILLE | MD | 20850 | RYDEX SERIES TRUST | 783554603 |

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| 32057 | RYDEX CONSUMER PRODUCTS INVESTOR CL | 0.40% | USADDRESS | 9601 BLACKWELL RD., STE. 500 | ROCKVILLE | MD | 20850 | RYDEX SERIES TRUST | 783554793 |
| 32057 | RYDEX S&P SMALLCAP 600 PURE VALUE H | 0.40% | USADDRESS | 9601 BLACKWELL RD., STE. 500 | ROCKVILLE | MD | 20850 | RYDEX SERIES TRUST | 78355E577 |
| 32057 | RYDEX HIGH YIELD STRATEGY FUND CL H | 0.40% | USADDRESS | 9601 BLACKWELL RD., STE. 500 | ROCKVILLE | MD | 20850 | RYDEX SERIES TRUST | 78356A442 |
| 32057 | ICON NATURAL RES AND INFRA FUND INSTL | 0.15% | USADDRESS | P.O. BOX 87 | DENVER | CO | 802010087 | CCM PARTNERS | 78410K766 |
| 32057 | SEXTANT INTRNATIONALFUND | 0.40% | USADDRESS | 1300 NORTH STATE STREET | BELLINGHAM | WA | 98225 | SEXTANT FUNDS | 804096501 |
| 32057 | AVE MARIA VALUE FUND | 0.40% | USADDRESS | 801 W. ANN ARBOR TRAIL SUITE 244 | PLYMOUTH | MI | 48170 | SCHWARTZ INVESTMENT TRUST | 808530208 |
| 32057 | AVE MARIA GROWTH | 0.40% | USADDRESS | 801 W. ANN ARBOR TRAIL SUITE 244 | PLYMOUTH | MI | 48170 | SCHWARTZ INVESTMENT TRUST | 808530307 |
| 32057 | SEGALL BRYANT HAMILL PLUS BOND INSTL | 0.12% | USADDRESS | 370 17TH STREET, SUITE 5000 | DENVER | CO | 80202 | SEGALL BRYANT & HAMILL AKA WESTCORE | 81580H761 |
| 32057 | SEGALL BRYANT HAMILL FDMNTL INTL SML CAP | 0.40% | USADDRESS | 370 17TH STREET, SUITE 5000 | DENVER | CO | 80202 | SEGALL BRYANT & HAMILL AKA WESTCORE | 81580H886 |
| 32057 | SHELTON NASDAQ 100 INDEX | 0.12% | USADDRESS | P.O. BOX 87 | DENVER | CO | 802010087 | CCM PARTNERS | 82301Q726 |
| 32057 | AMERICAN SHORT TERM BOND OF AMERICA F2 | 0.12% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 82524A821 |
| 32057 | AMERICAN SMALLCAP WORLD FUND CL F2 | 0.15% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 831681820 |
| 32057 | SPROTT GOLD EQUITY FUND INVESTOR | 0.40% | FOREIGNADDRESS | 200 BAY STREET, SUITE 2600 | TORONTO | CA | M5J 2J1 | SPROTT FUNDS | 85208P105 |
| 32057 | STERLING CAPITAL TOTAL RETURN BOND A | 0.10% | USADDRESS | 434 FAYETTEVILLE ST. 5TH FL | RALEIGH | NC | 27601 | STERLING CAPITAL FUNDS | 85917L593 |
| 32057 | STEWARD GLOBAL EQUITY INCOME INSTL | 0.12% | USADDRESS | 15375 MEMORIAL DR., SUITE 200 | HOUSTON | TX | 77079 | CROSSMARK GLOBAL INVESTMENTS, INC. | 860324854 |
| 32057 | STONE RIDGE HIGH YLD REINSRNCE RSK PREM | 0.10% | USADDRESS | 510 MADISON AVENUE | NEW YORK | NY | 10022 | STONE RIDGE | 861728400 |
| 32057 | STONERIDGE REINSURAC RISK PREM INTERVAL | 0.15% | USADDRESS | 510 MADISON AVENUE | NEW YORK | NY | 10022 | STONE RIDGE | 861729101 |
| 32057 | STONERIDGE ALTERNTV LENDING RISK PREM I | 0.15% | USADDRESS | 510 MADISON AVENUE | NEW YORK | NY | 10022 | STONE RIDGE | 86172R101 |
| 32057 | TCW EMERGING MARKETS INCOME CL N | 0.40% | USADDRESS | 865 SOUTH FIGUERA STREET, 22ND FLOOR | LOS ANGELES | CA | 90017 | TCW GALILEO | 87234N351 |
| 32057 | TCW CORE FIX ED INC CLASS I | 0.10% | USADDRESS | 865 SOUTH FIGUERA STREET, 22ND FLOOR | LOS ANGELES | CA | 90017 | TCW GALILEO | 87234N401 |
| 32057 | TCW TOTAL RETURN BOND CLASS N | 0.35% | USADDRESS | 865 SOUTH FIGUERA STREET, 22ND FLOOR | LOS ANGELES | CA | 90017 | TCW GALILEO | 87234N641 |
| 32057 | TCW CORE FIXED INCOME CLASS N | 0.35% | USADDRESS | 865 SOUTH FIGUERA STREET, 22ND FLOOR | LOS ANGELES | CA | 90017 | TCW GALILEO | 87234N724 |
| 32057 | T ROWE PRICE FLOATING RATE INVEST | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 87279B106 |
| 32057 | T ROWE PRICE GLBL ALLOCATION INVESTOR | 0.15% | USADDRESS | 4515 PAINTERS MILL RD | OWINGS MILLS | MD | 21117 | T. ROWE PRICE FINANCIAL INSTITUTION SERVICES | 87281T103 |
| 32057 | TEMPLETON GLOBAL BOND CLASS A | $16.00 | USADDRESS | 100 FOUNTAIN PARKWAY | ST. PETERSBURG | FL | 33716 | FRANKLIN GROUP OF FUNDS | 880208103 |
| 32057 | THIRD AVENUE REAL ESTATE VALUE INVST | 0.40% | USADDRESS | 622 THIRD AVENUE 32 FLOOR | NEW YORK | NY | 10017 | THIRD AVENUE FUNDS | 884116872 |
| 32057 | THOMPSON BOND FUND | 0.25% | USADDRESS | 1255 FOURIER DR STE 200 | MADISON | WI | 53717 | THOMPSON INVESTMENT MANAGEMENT, INC. | 884891201 |
| 32057 | THORNBURG STRATEGIC INCOME FUND CL I | 0.10% | USADDRESS | 2300 NORTH RIDGETOP RD | SANTA FE | NM | 87506 | THORNBURG FUNDS | 885215194 |
| 32057 | THORNBURG INCOME BUILDER CL I | 0.15% | USADDRESS | 2300 NORTH RIDGETOP RD | SANTA FE | NM | 87506 | THORNBURG FUNDS | 885215467 |
| 32057 | THORNBURG INTL EQUITY FUND CL I | 0.15% | USADDRESS | 2300 NORTH RIDGETOP RD | SANTA FE | NM | 87506 | THORNBURG FUNDS | 885215566 |
| 32057 | THORNBURG LTD TERM INCOME CLASS I | 0.15% | USADDRESS | 2300 NORTH RIDGETOP RD | SANTA FE | NM | 87506 | THORNBURG FUNDS | 885215681 |
| 32057 | THORNBURG DEVELOPINGWORLD FUND CL A | 0.40% | USADDRESS | 2300 NORTH RIDGETOP RD | SANTA FE | NM | 87506 | THORNBURG FUNDS | 885216408 |
| 32057 | THORNBURG DEVELOPING WORLD FUND CL I | 0.10% | USADDRESS | 2300 NORTH RIDGETOP RD | SANTA FE | NM | 87506 | THORNBURG FUNDS | 885216606 |
| 32057 | THRIVENT MID CAP STOCK FUND CL S | 0.15% | USADDRESS | 4321 N. BALLARD ROAD | APPLETON | WI | 549190001 | THRIVENT FUNDS | 885882662 |
| 32057 | THRIVENT MID CAP STOCK FUND CL A | 0.10% | USADDRESS | 4321 N. BALLARD ROAD | APPLETON | WI | 549190001 | THRIVENT FUNDS | 885882688 |
| 32057 | TIAA-CREF CORE BOND FUND RETAIL | 0.12% | USADDRESS | 730 THIRD AVENUE | NEW YORK | NY | 10017 | TIAA-CREF | 886315712 |
| 32057 | TIAA-CREF HIGH YIELD FUND INSTL | 0.06% | USADDRESS | 730 THIRD AVENUE | NEW YORK | NY | 10017 | TIAA-CREF | 886315795 |
| 32057 | TIMOTHY PLAN LRG/MID CAP VALUE CL A | 0.08% | USADDRESS | 80 ARKAY DRIVE, SUITE 110 | HAUPPAUGE | NY | 11788 | TIMOTHY PLAN | 887432607 |
| 32057 | THE TOCQUEVILLE PHOENIX FUND | $16.00 | USADDRESS | 40 W 57TH STREET 19TH FL | NEW YORK | NY | 10019 | TOCQUEVILLE | 888894847 |
| 32057 | TOUCHSTONE MID CAP FUND CL Z | 0.40% | USADDRESS | 303 BROADWAY, SUITE 1100 | CINCINNATI | OH | 452024203 | TOUCHSTONE FAMILY OF FUNDS | 89155H785 |
| 32057 | TOUCHSTONE DIVIDEND EQUITY FUND CL A | 0.08% | USADDRESS | 303 BROADWAY, SUITE 1100 | CINCINNATI | OH | 452024203 | TOUCHSTONE FAMILY OF FUNDS | 89155T482 |
| 32057 | TRANSAMERICA LARGE CAP VALUE CL A | 0.40% | USADDRESS | 4333 EDGEWOOD RD NE | CEDAR RAPIDS | IA | 52499 | TRANSAMERICA | 893509281 |
| 32057 | TRANSAMERICA CAPITAL GROWTH CL A | 0.40% | USADDRESS | 4333 EDGEWOOD RD NE | CEDAR RAPIDS | IA | 52499 | TRANSAMERICA | 893958462 |
| 32057 | TRIBUTARY SMALL COMPANY FD INSTL | 0.40% | USADDRESS | 1620 DODGE STREET, STOP 1089 | OMAHA | NE | 68197 | TRIBUTARY FUNDS | 89609H878 |
| 32057 | PERFORMANCE TRUST STRATEGIC BOND FD | 0.40% | USADDRESS | 500 WEST MADISON, SUITE 470 | CHICAGO | IL | 60661 | PERFORMANCE TRUST FUNDS | 89833W394 |
| 32057 | USAA SHORT TERM BOND FUND RETAIL | 0.10% | USADDRESS | 4900 TIEDEMAN RD 4TH FLOOR | BROOKLYN | OH | 44114 | VICTORY-USAA | 903288702 |
| 32057 | USAA NASDAQ 100 INDEX RETAIL | 0.10% | USADDRESS | 4900 TIEDEMAN RD 4TH FLOOR | BROOKLYN | OH | 44114 | VICTORY-USAA | 903288819 |
| 32057 | WESTWOOD QUALITY VALUE FD INSTL | 0.15% | USADDRESS | 1 Freedom Valley Drive | OAKS | PA | 19456 | WESTWOOD FUNDS | 90386K100 |
| 32057 | UNDISCOVERED MANAGERBEHAVIORAL VAL CL A | 0.40% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 904504586 |
| 32057 | UNDISCOVERED MGRS BEHAVIOR VALUE CL L | 0.08% | USADDRESS | 1111 POLARIS PARKWAY | COLUMBUS | OH | 43240 | JP MORGAN FUNDS | 904504842 |
| 32057 | STANDPOINT MULTI ASSET FUND INVESTOR | 0.40% | USADDRESS | 225 Pictoria Drive, Suite 450 | CINCINNATI | OH | 45246 | STANDPOINT FUNDS | 90470L576 |
| 32057 | VALUE LINE ASSET ALLOCATION INVESTOR | 0.40% | USADDRESS | 7 TIMES SQUARE, SUITE 1606 | NEW YORK | NY | 10036 | VALUE LINE MUTUAL FUNDS | 920395100 |
| 32057 | VALUE LINE MID CAP FOCUSED INVESTORS FD | 0.40% | USADDRESS | 7 TIMES SQUARE, SUITE 1606 | NEW YORK | NY | 10036 | VALUE LINE MUTUAL FUNDS | 920423100 |
| 32057 | SMI DYNAMIC ALLOCATION FUND | 0.10% | USADDRESS | 9700 PARK PLAZA AVE, #203 | LOUISVILLE | KY | 402412287 | SOUND MIND | 92046L718 |
| 32057 | VAN ECK CM COMMODITYINDEX FUND A | 0.38% | USADDRESS | 666 3RD AVENUE, 9TH FL | NEW YORK | NY | 10017 | VANECK | 921075313 |
| 32057 | VERSUS CAPITAL MULTI MNGR REAL EST INC I | 0.15% | USADDRESS | 5555 DTC PARKWAY, SUITE 330 | GREENWOOD VILLAGE | CO | 80111 | VERSUS CAPITAL FUNDS | 92532P207 |
| 32057 | VERSUS CAPITAL REAL ASSETS CL I | 0.15% | USADDRESS | 5555 DTC PARKWAY, SUITE 330 | GREENWOOD VILLAGE | CO | 80111 | VERSUS CAPITAL FUNDS | 92535N100 |
| 32057 | VICTORY SYCAMORE ESTABLISHED VALUE I | 0.10% | USADDRESS | 4900 TIEDEMAN RD 4TH FLOOR | BROOKLYN | OH | 44114 | VICTORY CAPITAL MANAGEMENT | 92646A831 |
| 32057 | VICTORY TRIVALENT INTL SMALL CAP A | 0.40% | USADDRESS | 4900 TIEDEMAN RD 4TH FLOOR | BROOKLYN | OH | 44114 | VICTORY CAPITAL MANAGEMENT | 92647K101 |
| 32057 | VICTORY FLOATING RATE FUND CL A | 0.40% | USADDRESS | 4900 TIEDEMAN RD 4TH FLOOR | BROOKLYN | OH | 44114 | VICTORY CAPITAL MANAGEMENT | 92647K572 |
| 32057 | VICTORY RS SMALL CAPGROWTH FUND CL A | 0.40% | USADDRESS | 4900 TIEDEMAN RD 4TH FLOOR | BROOKLYN | OH | 44114 | VICTORY CAPITAL MANAGEMENT | 92647Q108 |
| 32057 | VICTORY GLOBAL ENERGY TRANSITION A | 0.40% | USADDRESS | 4900 TIEDEMAN RD 4TH FLOOR | BROOKLYN | OH | 44114 | VICTORY CAPITAL MANAGEMENT | 92647Q678 |
| 32057 | VICTORY RS GLOBAL FUND CLASS A | 0.40% | USADDRESS | 4900 TIEDEMAN RD 4TH FLOOR | BROOKLYN | OH | 44114 | VICTORY CAPITAL MANAGEMENT | 92647Q769 |
| 32057 | VIRTUS KAR SMALL CAP GROWTH FUND CL I | 0.10% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92828N593 |
| 32057 | VIRTUS KAR SMALL CAP GROWTH CL A | 0.40% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92828N627 |
| 32057 | VIRTUS KAR SMALL CAP VALUE CLASS I | 0.15% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92828N668 |
| 32057 | VIRTUS KAR MID CAP GROWTH FUND CL I | 0.10% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92828N734 |
| 32057 | VIRTUS KAR MID CAP GROWTH FUND CL A | 0.40% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92828N767 |
| 32057 | VIRTUS TACTICAL ALLOCATION FUND A | 0.40% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92828N791 |
| 32057 | VIRTUS VONTOBEL EMERG MKTS OPPS I | 0.15% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92828W361 |
| 32057 | VIRTUS KAR EMERG MKTS SMALL CAP A | 0.40% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92828W627 |
| 32057 | VIRTUS KAR INTL SMALL MID CAP A | 0.40% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92828W841 |
| 32057 | VIRTUS ZEVENBERGEN INNOVATIVE GR STK I | 0.40% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92837F292 |
| 32057 | VIRTUS ZEVENBERGEN INNOVATIVE GR STK A | 0.40% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92837F318 |
| 32057 | VIRTUS SEIX TOTAL RETURN BOND I | 0.10% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92837F870 |
| 32057 | VIRTUS NFJ MID CAP VALUE A | 0.40% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92837N279 |
| 32057 | VIRTUS ALLIANZGI CONVERTIBLE I | 0.10% | USADDRESS | 101 MUNSON ST. STE. 3 | GREENFIELD | MA | 01301 | VIRTUS | 92838V833 |
| 32057 | VOYA MULTI-MAN EMERG MARKETS EQUITY CL I | 0.10% | USADDRESS | 7337 E. DOUBLETREE RANCH RD | SCOTTSDALE | AZ | 85258 | VOYA FUNDS | 92913W680 |
| 32057 | WALTHAUSEN SMALL CAP VALUE FD | 0.40% | USADDRESS | 2691 ROUTE 9 | MALTA | NY | 12020 | WALTHAUSEN FUNDS | 933310104 |
| 32057 | WASATCH SMALL CAP GROWTH | 0.40% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936772102 |
| 32057 | WASATCH CORE GROWTH | 0.40% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936772201 |
| 32057 | WASATCH HOISINGTON US TREASURY | 0.25% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936772300 |
| 32057 | WASATCH ULTRA GROWTH | 0.40% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936772409 |
| 32057 | WASATCH MICROCAP | 0.40% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936772508 |
| 32057 | WASATCH SMALL CAP VALUE | 0.40% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936793207 |
| 32057 | WASATCH INTERNATIONAL GROWTH | 0.40% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936793405 |
| 32057 | WASATCH INTERNATIONLOPPORTUNITIES FD | 0.40% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936793702 |
| 32057 | WASATCH EMG MRKTS SELECT FUND INSTL | 0.10% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936793744 |
| 32057 | WASATCH EMERGING MARKETS SELECT FUND | 0.40% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936793751 |
| 32057 | WASATCH CORE GROWTH INSTITUTIONAL | 0.15% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936793793 |
| 32057 | WASATCH EMERGING INDIA FUND | 0.40% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936793827 |
| 32057 | WASATCH GLOBAL VALUE FUND | 0.40% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936793843 |
| 32057 | WASATCH GLOBAL OPPORTUNITIES RETAIL | 0.40% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936793868 |
| 32057 | WASATCH EMERGING MARKETS SMALL CAP FD | 0.40% | USADDRESS | 505 WAKARA WAY, SUITE 300 | SALT LAKE CITY | UT | 84108 | WASATCH FUNDS | 936793884 |
| 32057 | AMERICAN WASHNTN MUTUAL INVESTRS CL A | $18.00 | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN FUNDS GROUP | 939330106 |
| 32057 | AMERICAN WASHINGTON MUTUAL INVESTORS F1 | 0.37% | USADDRESS | 3500 WISEMAN BLVD | SAN ANTONIO | TX | 782514321 | AMERICAN CLASS F | 939330403 |
| 32057 | ALLSPRING INDEX FUND ADMIN | 0.10% | USADDRESS | 525 MARKET ST., MAC #A0103-122 | SAN FRANCISCO | CA | 94105 | ALLSPRING FUNDS | 94975G686 |
| 32057 | ALLSPRING DIVRSFD CAP BUILDER FD A | 0.40% | USADDRESS | 525 MARKET ST., MAC #A0103-122 | SAN FRANCISCO | CA | 94105 | ALLSPRING FUNDS | 94985D384 |
| 32057 | ALLSPRING PRECIOUS METALS FUND INST | 0.10% | USADDRESS | 525 MARKET ST., MAC #A0103-122 | SAN FRANCISCO | CA | 94105 | ALLSPRING FUNDS | 94985D491 |
| 32057 | ALLSPRING PRECIOUS METALS FUND A | 0.40% | USADDRESS | 525 MARKET ST., MAC #A0103-122 | SAN FRANCISCO | CA | 94105 | ALLSPRING FUNDS | 94985D533 |
| 32057 | ALLSPRING ENDEAVOR SELECT FD A | 0.40% | USADDRESS | 525 MARKET ST., MAC #A0103-122 | SAN FRANCISCO | CA | 94105 | ALLSPRING FUNDS | 949915599 |
| 32057 | ALLSPRING GROWTH FUND A | 0.40% | USADDRESS | 525 MARKET ST., MAC #A0103-122 | SAN FRANCISCO | CA | 94105 | ALLSPRING FUNDS | 949915672 |
| 32057 | ALLSPRING SHORT TERMHIGH YIELD BD A | 0.40% | USADDRESS | 525 MARKET ST., MAC #A0103-122 | SAN FRANCISCO | CA | 94105 | ALLSPRING FUNDS | 949917611 |
| 32057 | ALLSPRING SPECIAL MID CAP VLUE FD A | 0.40% | USADDRESS | 525 MARKET ST., MAC #A0103-122 | SAN FRANCISCO | CA | 94105 | ALLSPRING FUNDS | 949921308 |
| 32057 | ALLSPRING DISCOVERY FUND A | 0.40% | USADDRESS | 525 MARKET ST., MAC #A0103-122 | SAN FRANCISCO | CA | 94105 | ALLSPRING FUNDS | 949921506 |
| 32057 | VIRTUS WESTCHESTER EVENT DRIVEN A | 0.40% | USADDRESS | 100 SUMMIT LAKE DRIVE #201 | VALHALLA | NY | 10595 | WESTCHESTER FUNDS | 95737C509 |
| 32057 | WESTERN ASSET CORE BOND FUND CL I | 0.15% | USADDRESS | 620 8TH AVENUE, 49TH FL. | NEW YORK | NY | 10018 | LEGG MASON | 957663305 |
| 32057 | WESTERN ASSET CORE BOND FUND CL A | 0.40% | USADDRESS | 620 8TH AVENUE, 49TH FL. | NEW YORK | NY | 10018 | LEGG MASON | 957663495 |
| 32057 | WESTERN ASSET CORE PLUS BOND FUND INSTL | 0.15% | USADDRESS | 620 8TH AVENUE, 49TH FL. | NEW YORK | NY | 10018 | LEGG MASON | 957663503 |
| 32057 | WILLIAM BLAIR SMALL CAP VALUE CLASS N | 0.40% | USADDRESS | 222 WEST ADAMS STREET, 12TH FLOOR | CHICAGO | IL | 60606 | WILLIAM BLAIR MUTUAL FUNDS | 969251479 |
| 32057 | WILLIAM BLAIR INTNATLEADERS FUND CL N | 0.40% | USADDRESS | 222 WEST ADAMS STREET, 12TH FLOOR | CHICAGO | IL | 60606 | WILLIAM BLAIR MUTUAL FUNDS | 969251693 |
| 32057 | PLUMB BALANCED | 0.40% | USADDRESS | PO BOX 44966 | MADISON | WI | 53717 | PLUMB FUNDS | 976586107 |
| 32057 | APPLIED FIN EXPLORERFUND INVESTOR | 0.40% | USADDRESS | 8730 STONY POINT PARKWAY SUITE 205 | RICHMOND | VA | 23235 | WORLD FUNDS | 98147A295 |

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|---|---|---|---|---|---|---|---|---|---|---|
| 32057 | CBOE VEST S&P 500 BUFFER STRATEGY Y | 0.10% | USADDRESS | 8730 STONY POINT PARKWAY SUITE 205 | RICHMOND | VA | 23235 | WORLD CBOE | | 98148J162 |
| 32057 | APPLIED FIN SELECT FUND INSTL | 0.08% | USADDRESS | 8730 STONY POINT PARKWAY SUITE 205 | RICHMOND | VA | 23235 | WORLD FUNDS | | 98148J188 |

| | |
|---|---|
| **Plan Name** | **UnitedHealth Group 401(k) Savings Plan** |
| **Plan Sponsor EIN** | **41-1321939** |
| **ERISA Plan #** | **001** |
| **Plan Year Ending** | **12/31/2021** |

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

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