

Form 5500 Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Annual Return/Report of Employee Benefit Plan This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code). <p style="text-align: center;">▶ Complete all entries in accordance with the instructions to the Form 5500.</p>	OMB Nos. 1210-0110 1210-0089 <div style="text-align: center; font-size: 1.2em; font-weight: bold;">2020</div> <div style="text-align: center; font-weight: bold;">This Form is Open to Public Inspection</div>
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Part I	Annual Report Identification Information
For calendar plan year 2020 or fiscal plan year beginning <u>10/01/2020</u> and ending <u>09/30/2021</u>	
A	This return/report is for: <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div> ☐ a multiemployer plan </div> <div> ☐ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.) </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div> ☒ a single-employer plan </div> <div> ☐ a DFE (specify) ____ </div> </div>
B	This return/report is: <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div> ☐ the first return/report </div> <div> ☐ the final return/report </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div> ☐ an amended return/report </div> <div> ☐ a short plan year return/report (less than 12 months) </div> </div>
C	If the plan is a collectively-bargained plan, check here. ☒
D	Check box if filing under: <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div> ☒ Form 5558 </div> <div> ☐ automatic extension </div> <div> ☐ the DFVC program </div> </div> <div style="margin-top: 5px;"> ☐ special extension (enter description) </div>

Part II	Basic Plan Information—enter all requested information		
1a	Name of plan <u>ALLISON TRANSMISSION HOURLY-RATE EMPLOYEES PENSION PLAN</u>	1b	Three-digit plan number (PN) ▶ <u>004</u>
1c	Effective date of plan <u>08/07/2007</u>		
2a	Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) <u>ALLISON TRANSMISSION, INC.</u> <u>ONE ALLISON WAY</u> <u>INDIANAPOLIS, IN 46222-3271</u>	2b	Employer Identification Number (EIN) <u>26-0413897</u>
2c	Plan Sponsor's telephone number <u>317-242-3561</u>	2d	Business code (see instructions) <u>336300</u>

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

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

SIGN HERE	Filed with authorized/valid electronic signature.	<u>07/13/2022</u>	<u>DOUG R. BOLTON</u>
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

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

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3a Plan administrator's name and address ☒ Same as Plan Sponsor		3b Administrator's EIN	
		3c Administrator's telephone number	
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	1161
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)	431
a(2) Total number of active participants at the end of the plan year		6a(2)	315
b Retired or separated participants receiving benefits.....		6b	663
c Other retired or separated participants entitled to future benefits		6c	119
d Subtotal. Add lines 6a(2) , 6b , and 6c		6d	1097
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.		6e	58
f Total. Add lines 6d and 6e		6f	1155
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)		6g	
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested		6h	0
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item).....		7	
8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions: 1B 3H			
b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:			
9a Plan funding arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor		9b Plan benefit arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor	
10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)			
a Pension Schedules (1) ☒ R (Retirement Plan Information) (2) ☐ MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary (3) ☒ SB (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary		b General Schedules (1) ☒ H (Financial Information) (2) ☐ I (Financial Information – Small Plan) (3) ☐ <u>0</u> A (Insurance Information) (4) ☒ C (Service Provider Information) (5) ☒ D (DFE/Participating Plan Information) (6) ☐ G (Financial Transaction Schedules)	

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

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

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

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

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

Receipt Confirmation Code _____

SCHEDULE SB (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Single-Employer Defined Benefit Plan Actuarial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code). ▶ File as an attachment to Form 5500 or 5500-SF.	OMB No. 1210-0110 2020 This Form is Open to Public Inspection
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For calendar plan year 2020 or fiscal plan year beginning 10/01/2020 and ending 09/30/2021

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

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

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

E Type of plan: ☒ Single ☐ Multiple-A ☐ Multiple-B	F Prior year plan size: ☐ 100 or fewer ☐ 101-500 ☒ More than 500
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Part I	Basic Information
1 Enter the valuation date: Month <u>10</u> Day <u>01</u> Year <u>2020</u>	
2 Assets:	
a Market value	2a <u>114248677</u>
b Actuarial value	2b <u>114248677</u>
3 Funding target/participant count breakdown	
a For retired participants and beneficiaries receiving payment.....	(1) Number of participants <u>605</u> (2) Vested Funding Target <u>43418310</u> (3) Total Funding Target <u>43418310</u>
b For terminated vested participants.....	<u>128</u> <u>3336416</u> <u>3336416</u>
c For active participants	<u>431</u> <u>30449296</u> <u>31724738</u>
d Total.....	<u>1164</u> <u>77204022</u> <u>78479464</u>
4 If the plan is in at-risk status, check the box and complete lines (a) and (b)..... ☐	
a Funding target disregarding prescribed at-risk assumptions	4a
b Funding target reflecting at-risk assumptions, but disregarding transition rule for plans that have been in at-risk status for fewer than five consecutive years and disregarding loading factor.....	4b
5 Effective interest rate	5 <u>5.75</u> %
6 Target normal cost.....	6 <u>1966313</u>

Statement by Enrolled Actuary

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

SIGN HERE		<u>06/28/2022</u>
Signature of actuary		Date
<u>DAVID L. JAKES, FSA, EA, MAAA</u>		<u>20-05110</u>
Type or print name of actuary		Most recent enrollment number
<u>MERCER</u>		<u>614-227-5555</u>
Firm name		Telephone number (including area code)
<u>325 JOHN H MCCONNELL BLVD</u> <u>SUITE 350</u> <u>COLUMBUS, OH 43215</u>		
Address of the firm		

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

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

Schedule SB (Form 5500) 2020
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Part II Beginning of Year Carryover and Prefunding Balances		(a) Carryover balance	(b) Prefunding balance
7	Balance at beginning of prior year after applicable adjustments (line 13 from prior year)	0	0
8	Portion elected for use to offset prior year's funding requirement (line 35 from prior year)	0	0
9	Amount remaining (line 7 minus line 8)	0	0
10	Interest on line 9 using prior year's actual return of <u>10.64</u> %	0	0
11	Prior year's excess contributions to be added to prefunding balance:		
a	Present value of excess contributions (line 38a from prior year)		0
b(1)	Interest on the excess, if any, of line 38a over line 38b from prior year Schedule SB, using prior year's effective interest rate of <u>5.57</u> %		0
b(2)	Interest on line 38b from prior year Schedule SB, using prior year's actual return		0
c	Total available at beginning of current plan year to add to prefunding balance		0
d	Portion of (c) to be added to prefunding balance		0
12	Other reductions in balances due to elections or deemed elections	0	0
13	Balance at beginning of current year (line 9 + line 10 + line 11d – line 12)	0	0

Part III Funding Percentages			
14	Funding target attainment percentage	14	145.57 %
15	Adjusted funding target attainment percentage	15	145.57 %
16	Prior year's funding percentage for purposes of determining whether carryover/prefunding balances may be used to reduce current year's funding requirement	16	137.88 %
17	If the current value of the assets of the plan is less than 70 percent of the funding target, enter such percentage	17	%

Part IV Contributions and Liquidity Shortfalls					
18 Contributions made to the plan for the plan year by employer(s) and employees:					
(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees
05/20/2022	1200000	0			
Totals ►			18(b)	1200000	18(c) 0

19 Discounted employer contributions – see instructions for small plan with a valuation date after the beginning of the year:	
a Contributions allocated toward unpaid minimum required contributions from prior years	19a 0
b Contributions made to avoid restrictions adjusted to valuation date	19b 0
c Contributions allocated toward minimum required contribution for current year adjusted to valuation date	19c 1095303
20 Quarterly contributions and liquidity shortfalls:	
a Did the plan have a "funding shortfall" for the prior year?	☐ Yes ☒ No
b If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner?	☐ Yes ☐ No
c If line 20a is "Yes," see instructions and complete the following table as applicable:	
Liquidity shortfall as of end of quarter of this plan year	
(1) 1st	(2) 2nd
(3) 3rd	(4) 4th

Part V Assumptions Used to Determine Funding Target and Target Normal Cost**21** Discount rate:**a** Segment rates:1st segment:
4.75 %2nd segment:
5.50 %3rd segment:
6.27 %☐ N/A, full yield curve used**b** Applicable month (enter code)**21b**

0

22 Weighted average retirement age**22**

62

23 Mortality table(s) (see instructions) ☐ Prescribed - combined☒ Prescribed - separate☐ Substitute**Part VI Miscellaneous Items****24** Has a change been made in the non-prescribed actuarial assumptions for the current plan year? If "Yes," see instructions regarding required attachment. ☒ Yes ☐ No**25** Has a method change been made for the current plan year? If "Yes," see instructions regarding required attachment. ☐ Yes ☒ No**26** Is the plan required to provide a Schedule of Active Participants? If "Yes," see instructions regarding required attachment. ☒ Yes ☐ No**27** If the plan is subject to alternative funding rules, enter applicable code and see instructions regarding attachment.**27****Part VII Reconciliation of Unpaid Minimum Required Contributions For Prior Years****28** Unpaid minimum required contributions for all prior years **28** 0**29** Discounted employer contributions allocated toward unpaid minimum required contributions from prior years (line 19a) **29** 0**30** Remaining amount of unpaid minimum required contributions (line 28 minus line 29) **30** 0**Part VIII Minimum Required Contribution For Current Year****31** Target normal cost and excess assets (see instructions):**a** Target normal cost (line 6) **31a** 1966313**b** Excess assets, if applicable, but not greater than line 31a **31b** 1966313**32** Amortization installments:**a** Net shortfall amortization installment Outstanding Balance 0 Installment 0**b** Waiver amortization installment 0 0**33** If a waiver has been approved for this plan year, enter the date of the ruling letter granting the approval (Month _____ Day _____ Year _____) and the waived amount **33****34** Total funding requirement before reflecting carryover/prefunding balances (lines 31a - 31b + 32a + 32b - 33) **34** 0**35** Balances elected for use to offset funding requirement Carryover balance Prefunding balance Total balance 0**36** Additional cash requirement (line 34 minus line 35) **36** 0**37** Contributions allocated toward minimum required contribution for current year adjusted to valuation date (line 19c) **37** 1095303**38** Present value of excess contributions for current year (see instructions)**a** Total (excess, if any, of line 37 over line 36) **38a** 1095303**b** Portion included in line 38a attributable to use of prefunding and funding standard carryover balances **38b** 0**39** Unpaid minimum required contribution for current year (excess, if any, of line 36 over line 37) **39** 0**40** Unpaid minimum required contributions for all years **40** 0**Part IX Pension Funding Relief Under Pension Relief Act of 2010 (See Instructions)****41** If an election was made to use PRA 2010 funding relief for this plan:**a** Schedule elected ☐ 2 plus 7 years ☐ 15 years**b** Eligible plan year(s) for which the election in line 41a was made ☐ 2008 ☐ 2009 ☐ 2010 ☐ 2011

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

For calendar plan year 2020 or fiscal plan year beginning 10/01/2020 and ending 09/30/2021		
A Name of plan ALLISON TRANSMISSION HOURLY-RATE EMPLOYEES PENSION PLAN	B Three-digit plan number (PN) ▶	004
C Plan sponsor's name as shown on line 2a of Form 5500 ALLISON TRANSMISSION, INC.	D Employer Identification Number (EIN) 26-0413897	

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

1 Information on Persons Receiving Only Eligible Indirect Compensation

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

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
AMERICAN CENTURY INVESTMENT MGMT
44-0640487

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
AMERICAN CENTURY INVESTMENT SVCS
43-0821857

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
EATON VANCE MANAGEMENT (EVM)
TWO INTERNATIONAL PLACE BOSTON, MA 02110

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
HARTFORD FUNDS MANAGEMENT COMPANY
46-1470670

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

PIMCO

33-0629048

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

DIMENSIONAL FUND ADVISORS LP

30-0447847

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

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

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

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

SLC MANAGEMENT

68-0635051

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
51	NONE	183364	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

WELLS FARGO BANK NA

94-1347393

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
21 15	NONE	87377	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

CAPFINANCIAL PARTNERS, LLC

26-0058143

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
51	NONE	37090	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)

WELLS FARGO FUND MANAGEMENT, LLC

71-0828842

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

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

PRINCIPAL GLOBAL INVESTORS

711 HIGH STREET
DES MOINES, IA 50392

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

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

BLACKSTONE ALTERNATIVE INV ADVISORS

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

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

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
WELLS FARGO FUNDS MANAGEMENT, LLC	52	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
WELLS FARGO TREASURY PLUS MONEY MKT 71-0828842	0.20% INVESTMENT MANAGEMENT FEE	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
PRINCIPAL GLOBAL INVESTORS	52	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
PRINCIPAL REAL ESTATE SECURITIES 711 HIGH STREET DES MOINES, IA 50392	0.86% INVESTMENT MANAGEMENT FEE	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
BLACKSTONE ALTERNATIVE INV ADVISORS	52	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
BLACKSTONE ALTERNATIVE MULTI-STRAT 345 PARK AVENUE, 28TH FLOOR NEW YORK, NY 10154	2.79% INVESTMENT MANAGEMENT FEE	

Part II Service Providers Who Fail or Refuse to Provide Information

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

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

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

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

Explanation:

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

Explanation:

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

Explanation:

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

Explanation:

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

Explanation:

SCHEDULE D (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small>	DFE/Participating Plan Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ► File as an attachment to Form 5500.	<small>OMB No. 1210-0110</small> 2020 This Form is Open to Public Inspection.
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For calendar plan year 2020 or fiscal plan year beginning 10/01/2020 and ending 09/30/2021

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

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

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

b Name of sponsor of entity listed in (a): NORTHERN TRUST INVESTMENTS, INC.

c EIN-PN <u>26-0413897-001</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>4560336</u>
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a Name of MTIA, CCT, PSA, or 103-12 IE: CASH

b Name of sponsor of entity listed in (a): NORTHERN TRUST INVESTMENTS, INC.

c EIN-PN <u>26-0413897-002</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>17</u>
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a Name of MTIA, CCT, PSA, or 103-12 IE:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

SCHEDULE H (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	<small>OMB No. 1210-0110</small> 2020 This Form is Open to Public Inspection
For calendar plan year 2020 or fiscal plan year beginning 10/01/2020 and ending 09/30/2021		
A Name of plan ALLISON TRANSMISSION HOURLY-RATE EMPLOYEES PENSION PLAN	B Three-digit plan number (PN) ►	004
C Plan sponsor's name as shown on line 2a of Form 5500 ALLISON TRANSMISSION, INC.	D Employer Identification Number (EIN) 26-0413897	

Part I	Asset and Liability Statement	
1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.		
	Assets	
		(a) Beginning of Year (b) End of Year
a Total noninterest-bearing cash.....	1a	0 0
b Receivables (less allowance for doubtful accounts):		
(1) Employer contributions	1b(1)	0 1200000
(2) Participant contributions.....	1b(2)	
(3) Other	1b(3)	597971 556056
c General investments:		
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	1704199 2515281
(2) U.S. Government securities	1c(2)	23675500 21307890
(3) Corporate debt instruments (other than employer securities):		
(A) Preferred	1c(3)(A)	59760919 57807067
(B) All other	1c(3)(B)	9531864 11701326
(4) Corporate stocks (other than employer securities):		
(A) Preferred	1c(4)(A)	
(B) Common	1c(4)(B)	
(5) Partnership/joint venture interests	1c(5)	
(6) Real estate (other than employer real property)	1c(6)	
(7) Loans (other than to participants)	1c(7)	
(8) Participant loans	1c(8)	
(9) Value of interest in common/collective trusts	1c(9)	4885214 4560353
(10) Value of interest in pooled separate accounts	1c(10)	
(11) Value of interest in master trust investment accounts	1c(11)	
(12) Value of interest in 103-12 investment entities	1c(12)	
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	13237774 11993893
(14) Value of funds held in insurance company general account (unallocated contracts).....	1c(14)	
(15) Other.....	1c(15)	855236 818162

		(a) Beginning of Year	(b) End of Year
1d	Employer-related investments:		
(1)	Employer securities.....	1d(1)	
(2)	Employer real property.....	1d(2)	
e	Buildings and other property used in plan operation	1e	
f	Total assets (add all amounts in lines 1a through 1e)	1f	114248677 112460028
Liabilities			
g	Benefit claims payable	1g	
h	Operating payables	1h	
i	Acquisition indebtedness.....	1i	
j	Other liabilities.....	1j	
k	Total liabilities (add all amounts in lines 1g through 1j)	1k	0 0
Net Assets			
l	Net assets (subtract line 1k from line 1f)	1l	114248677 112460028

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)	1200000
	(B) Participants	2a(1)(B)	
	(C) Others (including rollovers).....	2a(1)(C)	
(2)	Noncash contributions	2a(2)	
(3)	Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)	1200000
b	Earnings on investments:		
(1)	Interest:		
	(A) Interest-bearing cash (including money market accounts and certificates of deposit).....	2b(1)(A)	196
	(B) U.S. Government securities	2b(1)(B)	781081
	(C) Corporate debt instruments	2b(1)(C)	2062577
	(D) Loans (other than to participants)	2b(1)(D)	
	(E) Participant loans.....	2b(1)(E)	
	(F) Other	2b(1)(F)	185618
	(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)	3029472
(2)	Dividends: (A) Preferred stock.....	2b(2)(A)	
	(B) Common stock	2b(2)(B)	
	(C) Registered investment company shares (e.g. mutual funds).....	2b(2)(C)	377504
	(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)	377504
(3)	Rents	2b(3)	
(4)	Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)	54615980
	(B) Aggregate carrying amount (see instructions).....	2b(4)(B)	55828893
	(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)	-1212913
(5)	Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)	-4589055
	(B) Other	2b(5)(B)	
	(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)	-4589055

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts.....	2b(6)		1255139
(7) Net investment gain (loss) from pooled separate accounts.....	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		2906495
c Other income	2c		59668
d Total income. Add all income amounts in column (b) and enter total.....	2d		3026310

Expenses**e** Benefit payment and payments to provide benefits:

(1) Directly to participants or beneficiaries, including direct rollovers.....	2e(1)	4410717	
(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)		4410717
f Corrective distributions (see instructions)	2f		
g Certain deemed distributions of participant loans (see instructions).....	2g		
h Interest expense.....	2h		
i Administrative expenses: (1) Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)	87377	
(3) Investment advisory and management fees	2i(3)	220502	
(4) Other.....	2i(4)	96363	
(5) Total administrative expenses. Add lines 2i(1) through (4)	2i(5)		404242
j Total expenses. Add all expense amounts in column (b) and enter total.....	2j		4814959

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d	2k		-1788649
l Transfers of assets:			
(1) To this plan.....	2l(1)		
(2) From this plan	2l(2)		

Part III Accountant's Opinion

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

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

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

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

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

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

(1) Name: **FORVIS LLP**

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

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

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

Part IV Compliance Questions

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

During the plan year:

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

	Yes	No	Amount
4a		X	

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

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

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

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

5c 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 420584.

<div>SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation</div>	<div>Retirement Plan Information</div> <div>This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).</div> <div>▶ File as an attachment to Form 5500.</div>	<div>OMB No. 1210-0110</div> <div>2020</div> <div>This Form is Open to Public Inspection.</div>
For calendar plan year 2020 or fiscal plan year beginning 10/01/2020 and ending 09/30/2021		
A Name of plan ALLISON TRANSMISSION HOURLY-RATE EMPLOYEES PENSION PLAN		B Three-digit plan number (PN) ▶ 004
C Plan sponsor's name as shown on line 2a of Form 5500 ALLISON TRANSMISSION, INC.		D Employer Identification Number (EIN) 26-0413897
Part I	Distributions	
All references to distributions relate only to payments of benefits during the plan year.		
1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....		1 0
2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits): EIN(s): 41-6257133		
Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.		
3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year		3 0
Part II	Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)	
4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ☐ Yes ☐ No ☒ N/A If the plan is a defined benefit plan, go to line 8.		
5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. Date: Month _____ Day _____ Year _____ If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.		
6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived)		6a
b Enter the amount contributed by the employer to the plan for this plan year		6b
c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount).....		6c
If you completed line 6c, skip lines 8 and 9.		
7 Will the minimum funding amount reported on line 6c be met by the funding deadline? ☐ Yes ☐ No ☐ N/A		
8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change? ☐ Yes ☐ No ☒ N/A		
Part III	Amendments	
9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box..... ☐ Increase ☐ Decrease ☐ Both ☒ No		
Part IV	ESOPs (see instructions). If this is not a plan described under section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.	
10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? ☐ Yes ☐ No		
11 a Does the ESOP hold any preferred stock? ☐ Yes ☐ No		
b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.) ☐ Yes ☐ No		
12 Does the ESOP hold any stock that is not readily tradable on an established securities market? ☐ Yes ☐ No		
For Paperwork Reduction Act Notice, see the Instructions for Form 5500.		
Schedule R (Form 5500) 2020 v. 200204		

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

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

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

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

14 Enter the number of deferred vested and retired participants (inactive participants), as of the beginning of the plan year, whose contributing employer is no longer making contributions to the plan for:		
a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment).....	14a	
b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....	14b	
c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....	14c	
15 Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:		
a The corresponding number for the plan year immediately preceding the current plan year	15a	
b The corresponding number for the second preceding plan year	15b	
16 Information with respect to any employers who withdrew from the plan during the preceding plan year:		
a Enter the number of employers who withdrew during the preceding plan year	16a	
b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers	16b	
17 If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐		

Part VI	Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans
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18 If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐	
19 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: <u>11.8</u> % Investment-Grade Debt: <u>85.1</u> % High-Yield Debt: _____ % Real Estate: _____ % Other: <u>3.1</u> %	
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 _____	

**Allison Transmission Hourly-Rate Employees
Pension Plan**

EIN 26-0413897 PN 004

Independent Auditor's Report and Financial Statements

September 30, 2021 and 2020

Allison Transmission Hourly-Rate Employees Pension Plan

September 30, 2021 and 2020

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Independent Auditor's Report

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

Scope and Nature of the ERISA Section 103(a)(3)(C) Audit for the 2021 Financial Statements

We have performed an audit of the financial statements of Allison Transmission Hourly-Rate Employees Pension Plan (the Plan), an employee benefit plan subject to the *Employee Retirement Income Security Act of 1974* (ERISA), as permitted by ERISA Section 103(a)(3)(C) (ERISA Section 103(a)(3)(C) audit). The financial statements comprise the statement of net assets available for benefits as of September 30, 2021, and the related statement of changes in net assets available for benefits for the year then ended, and the statement of accumulated plan benefits as of October 1, 2020 and the related statement of changes in accumulated plan benefits for the year ended, and the related notes to the financial statements (2021 Financial Statements).

Management, having determined it is permissible in the circumstances, has elected to have the audit of the 2021 financial statements performed in accordance with ERISA Section 103(a)(3)(C) pursuant to 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. As permitted by ERISA Section 103(a)(3)(C), our audit need not extend to any statements or information related to assets held for investment of the plan (investment information) by a bank or similar institution or insurance carrier that is regulated, supervised, and subject to periodic examination by a state or federal agency, provided that the statements or information regarding assets so held are prepared and certified to by the bank or similar institution or insurance carrier in accordance with 29 CFR 2520.103-5 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA (qualified institution).

Management has obtained a certification from a qualified institution as of and for the year ended September 30, 2021, stating that the certified investment information, as described in Note 3 to the financial statements, is complete and accurate.

Opinion on the 2021 Financial Statements

In our opinion, based on our audit and on the procedures performed as described in the Auditor's Responsibilities for the Audit of the 2021 Financial Statements section:

- The amounts and disclosures in the accompanying 2021 financial statements, other than those agreed to or derived from the certified investment information, are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.
- The information in the accompanying 2021 financial statements related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

Basis for Opinion on the 2021 Financial Statements

We conducted our audit 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 2021 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 audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our ERISA Section 103(a)(3)(C) audit opinion.

Responsibilities of Management for the 2021 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. Management's election of the ERISA Section 103(a)(3)(C) audit does not affect management's responsibility for the financial statements.

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 within one year after the date that these financial statements are available to be 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 2021 Financial Statements

Except as described in the Scope and Nature of the ERISA Section 103(a)(3)(C) Audit of the 2021 Financial Statements section of our report, 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.

Our audit did not extend to the certified investment information, except for obtaining and reading the certification, comparing the certified investment information with the related information presented and disclosed in the financial statements, and reading the disclosures relating to the certified investment information to assess whether they are in accordance with the presentation and disclosure requirements of accounting principles generally accepted in the United States of America.

Accordingly, the objective of an ERISA Section 103(a)(3)(C) audit is not to express an opinion about whether the financial statements as a whole are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.

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.

Other Matters

2021 Supplemental Schedules Required by ERISA

The supplemental schedules listed in the table of contents are presented for purposes of additional analysis and are not a required part of the financial statements but are 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 included in the supplemental schedules, other than that agreed to or derived from the certified investment information, has been subjected to auditing procedures applied in the audit 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. For information included in the supplemental schedules that agreed to or is derived from the certified investment information, we compared such information to the related certified investment information.

In forming our opinion on the supplemental schedules, we evaluated whether the supplemental schedules, other than the information agreed to or derived from the certified investment information, including their form and content, are presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion:

- The form and content of the supplemental schedules, other than the information in the supplemental schedules that agreed to or is derived from the certified investment information, are presented, in all material respects, in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.
- The information in the supplemental schedules related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

Auditor's Report on the 2020 Financial Statements

We were engaged to audit the 2020 financial statements of Allison Transmission Hourly-Rate Employees Pension Plan. As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA, the Plan Administrator instructed us not to perform and we did not perform any auditing procedures with respect to the information certified by a qualified institution. In our report dated July 6, 2021, we indicated that (a) because of the significance of the information that we did not audit, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion and accordingly, we did not express an opinion on the 2020 financial statements, and (b) the form and content of the information included in the 2020 financial statements other than that derived from the certified information were presented in compliance with the Department of Labor's Rules and Regulations under ERISA.

FORVIS,LLP

Indianapolis, Indiana
July 11, 2022

Federal Employer Identification Number: 44-0160260

Allison Transmission Hourly-Rate Employees Pension Plan

Statements of Net Assets Available for Benefits

September 30, 2021 and 2020

Assets

	2021	2020
Investments, at fair value	\$ 110,703,972	\$ 113,650,707
Receivables		
Employer contributions	1,200,000	-
Accrued interest income	556,056	597,971
	1,756,056	597,971
Net Assets Available for Benefits	\$ 112,460,028	\$ 114,248,678

Allison Transmission Hourly-Rate Employees Pension Plan

Statements of Changes in Net Assets Available for Benefits

Years Ended September 30, 2021 and 2020

	2021	2020
Additions		
Investment Income (Loss)		
Net appreciation (depreciation) in fair value of investments	\$ (1,640,335)	\$ 6,451,162
Interest and dividends	3,459,489	4,716,450
Net investment income	1,819,154	11,167,612
Employer Contribution	1,200,000	-
Total additions	3,019,154	11,167,612
Deductions		
Benefits paid to participants	4,410,717	3,462,231
Administrative expenses	300,724	287,851
Pension Benefit Guaranty Corporation premium	96,363	93,360
Total deductions	4,807,804	3,843,442
Net Increase (Decrease)	(1,788,650)	7,324,170
Net Assets Available for Benefits, Beginning of Year	114,248,678	106,924,508
Net Assets Available for Benefits, End of Year	\$ 112,460,028	\$ 114,248,678

Allison Transmission Hourly-Rate Employees Pension Plan

Statement of Accumulated Plan Benefits and Changes in Accumulated Plan Benefits

October 1, 2020

Statement of Accumulated Plan Benefits

	<u>October 1, 2020</u>
Vested benefits	
Participants and beneficiaries currently receiving payments	\$ 50,475,775
Other participants	44,356,843
	<u>94,832,618</u>
Nonvested benefits	<u>1,876,593</u>
Total actuarial present value of accumulated plan benefits	<u>\$ 96,709,211</u>

Statement of Changes in Accumulated Plan Benefits

	<u>Year Ended October 1, 2020</u>
Actuarial present value of accumulated plan benefits, beginning of year	\$ 90,698,826
Increase (decrease) during the year and period attributable to	
Benefits accumulated	2,601,228
Increase for interest due to the decrease in the discount period	3,552,938
Benefits paid	(3,462,231)
Change in actuarial assumptions (interest and mortality)	3,318,450
Net increase	<u>6,010,385</u>
Actuarial present value of accumulated plan benefits, end of year	<u>\$ 96,709,211</u>

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2021 and 2020

Note 1: Description of the Plan

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

General

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

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

Contributions

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

Pension Benefits

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

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2021 and 2020

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

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

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

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

Death Benefits

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

Vesting

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

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2021 and 2020

Plan Termination

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

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

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

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

Reclassifications

Certain reclassifications have been made to the 2020 financial statements to conform to the 2021 financial statement presentation. These reclassifications had no effect on changes in net assets available for benefits.

Subsequent Events

Wells Fargo Bank, N.A. was acquired by Principal Financial Custody Solutions and as a result, during February 2022, all Plan assets were transferred to the Principal Financial Custody Solutions platform.

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2021 and 2020

Subsequent events have been evaluated through July 11, 2022, which is the date the financial statements were available to be issued.

Note 2: Summary of Significant Accounting Policies

Method of Accounting

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

Use of Estimates

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

Valuation of Investments and Income Recognition

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

Payment of Benefits

Benefit payments to participants are recorded upon distribution.

Administrative Expenses

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

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2021 and 2020

Accumulated Plan Benefits

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

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

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

Plan Tax Status

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

Note 3: Certification of Plan Trustee

The Plan Administrator has elected the method of annual reporting compliance permitted by ERISA Section 103(a)(3)(C) pursuant to 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Accordingly, Wells Fargo, a qualified institution, has certified the following information included in the accompanying financial statements and ERISA-required supplemental schedules is complete and accurate:

- Investments and accrued interest income as shown in the statements of net assets available for benefits as of September 30, 2021 and 2020
- Investment income (loss) as shown in the statements of changes in net assets available for benefits for the years ended September 30, 2021 and 2020
- Investment information included in the accompanying schedule of assets (held at year end) as of September 30, 2021 and schedule of reportable transactions for the year ended September 30, 2021

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

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2021 and 2020

Note 4: Accumulated Plan Benefits

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

Significant assumptions underlying the actuarial computations are:

Assumed rate of return of investments	3.7 percent, compounded annually
Mortality basis	Pri-2012 Private Retirement Plans Mortality Tables for employees and annuitants with blue collar adjustment projected generationally for mortality improvements according to MSS-2019 for healthy and disabled lives
Retirement age	Varies by age and service
	Age 65 for deferred vested participants
	Average age of retirees in pay status is age 68
Asset valuation	Market

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

Note 5: Disclosures About Fair Value of Assets

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

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

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2021 and 2020

Recurring Measurements

The following tables present the fair value measurements of assets recognized in the accompanying statements of net assets available for benefits measured at fair value on a recurring basis and the level within the fair value hierarchy in which the fair value measurements fall at September 30, 2021 and 2020:

	2021				
	Fair Value Measurements Using				
	Quoted Prices				
	Fair Value	in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)	
Money market fund	\$ 2,515,281	\$ 2,515,281	\$ -	\$ -	-
Pooled, common and collective fund	4,560,353	-	4,560,353	-	-
U.S. Governmental securities	21,307,890	8,099,976	13,207,914	-	-
Bonds and notes	70,326,555	-	70,326,555	-	-
Mutual funds	11,993,893	11,993,893	-	-	-
	<u>\$ 110,703,972</u>	<u>\$ 22,609,150</u>	<u>\$ 88,094,822</u>	<u>\$ -</u>	<u>-</u>

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

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2021 and 2020

Following is a description of the valuation methodologies and inputs used for assets measured at fair value on a recurring basis and recognized in the accompanying statements of net assets available for benefits, as well as the general classification of such assets pursuant to the valuation hierarchy. There have been no significant changes in the valuation techniques during the year ended September 30, 2021. The Plan had no liabilities measured at fair value on a recurring basis. In addition, the Plan had no assets or liabilities measured at fair value on a nonrecurring basis.

Investments

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

Note 6: Party-in-Interest Transactions

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

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

The Plan paid PBGC premiums totaling \$96,363 and \$93,360 during 2021 and 2020, respectively. The Plan paid \$87,376 and \$80,884 of administrative fees to the trustee during 2021 and 2020, respectively. The Plan paid \$220,502 and \$214,123 of investment management fees during 2021 and 2020, respectively. The revenue sharing credits received from certain investments of \$7,154 and \$7,156 for the years ended September 30, 2021 and 2020, respectively, is netted with administrative expenses. The Company provides certain administrative services at no cost to the Plan.

Allison Transmission Hourly-Rate Employees Pension Plan

Notes to Financial Statements

September 30, 2021 and 2020

Note 7: Risk and Uncertainties

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

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

Supplementary Schedules

Allison Transmission Hourly-Rate Employees Pension Plan

EIN 26-0413897 PN 004

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) September 30, 2021

(a)(b) Identity of Issuer		(c) Description of Investment	(d) Cost	(e) Current Value
Money Market Fund				
*Wells Fargo Advantage Treasury Plus				
Money Market Fund		2,515,281 shares	\$ 2,515,281	\$ 2,515,281
Pooled, Common and Collective Fund				
Northern Trust Investments, Inc.				
		289 shares	2,348,032	4,560,353
U.S. Governmental Securities				
U.S. Treasury Bond 2/15/2041		140,000 par value	131,414	136,938
U.S. Treasury Bond 5/15/2041		175,000 par value	188,224	181,972
U.S. Treasury Bond 8/15/2041		885,000 par value	859,141	846,007
U.S. Treasury Bond 11/15/2046		700,000 par value	281,631	403,151
U.S. Treasury Bond 5/15/2048		2,100,000 par value	1,081,353	1,167,285
U.S. Treasury Bond 11/15/2049		5,775,000 par value	3,740,179	3,128,664
U.S. Treasury Bond 11/15/2050		335,000 par value	289,471	300,964
U.S. Treasury Bond 8/15/2050		1,865,000 par value	1,733,695	1,573,743
U.S. Treasury Bond 05/15/2050		145,000 par value	135,235	118,623
U.S. Treasury Bond 02/15/2050		115,000 par value	134,902	112,978
U.S. Treasury Note 05/15/2040 1.125		150,000 par value	154,811	129,651
U.S. Treasury Bond/Note Stripped Zero		1,235,000 par value	573,377	845,592
U.S. Treasury SEC Stripped 08/15/2047		3,800,000 par value	1,493,666	2,146,696
U.S. Treasury SEC Stripped Zero Cpn 11/15/2041		3,230,000 par value	1,399,364	2,084,642
U.S. Treasury SEC Stripped Zero Cpn 05/15/2046		270,000 par value	116,602	156,770
U.S. Treasury SEC Stripped Zero Cpn 05/15/2044		2,000,000 par value	824,140	1,215,040
U.S. Treasury Bond Stripped Zero Cpn 05/15/2044		1,680,000 par value	653,744	1,008,773
U.S. Treasury Bond Stripped Zero Cpn 11/15/2045		2,510,000 par value	1,081,113	1,471,638
U.S. Treasury Bond Stripped Zero Cpn 11/15/2040		3,450,000 par value	1,541,947	2,290,352
U.S. Treasury Bond Zero Cpn 11/15/2042		3,165,000 par value	1,325,150	1,988,411
			17,739,159	21,307,890
Bonds and Notes				
Abbvie, Inc.		305,000 par value	328,613	328,640
Ace INA Holdings		95,000 par value	113,845	119,479
Aflac, Inc.		210,000 par value	213,484	234,837
Alibaba Group Holding 11/28/2024		410,000 par value	421,207	439,262
Allstate Corp.		395,000 par value	404,115	481,438
Amazon.com Inc.		730,000 par value	728,920	683,681
Ameren Illinois Co.		775,000 par value	767,647	880,578
America Movil SAB DE CV		505,000 par value	527,481	515,605
American Honda Finance 09/08/2023		130,000 par value	129,943	130,498
American Honda Finance 09/10/2025		130,000 par value	129,994	129,349
American Intl Group		315,000 par value	326,972	343,725
American Tower Corp.		440,000 par value	440,022	461,991
Ameriprise Financial, Inc.		255,000 par value	256,701	272,608
Anheuser-Busch INBEV		330,000 par value	388,100	388,502
Anthem, Inc.		390,000 par value	395,363	433,239
Apple, Inc. 05/13/2045		940,000 par value	1,010,722	1,184,268
Apple, Inc. 09/12/2047		470,000 par value	467,316	543,405
AT&T, Inc. 03/01/2029		95,000 par value	111,123	108,929
AT&T, Inc. 02/01/2028		190,000 par value	192,516	188,478
Avalonbay Communities		265,000 par value	280,288	269,025
Banco Santander SA 04/12/2023		425,000 par value	430,563	446,309

Allison Transmission Hourly-Rate Employees Pension Plan

EIN 26-0413897 PN 004

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) (Continued) September 30, 2021

(a)(b) Identity of Issuer	(c) Description of Investment	(d) Cost	(e) Current Value
Bank of America Corp. 06/19/2041	235,000 par value	\$ 228,662	\$ 226,874
Bank of America Corp. 06/14/2029	905,000 par value	910,873	903,552
Barclays PLC	450,000 par value	450,666	452,070
Berkshire Hathaway ENERG	485,000 par value	515,773	520,914
Berkshire Hathaway FIN	385,000 par value	400,649	467,910
Boeing Co.	380,000 par value	520,695	452,515
BP Capital Markets PLC 05/04/2026	400,000 par value	382,964	432,544
BP Capital Markets PLC 06/04/2051	290,000 par value	261,589	274,195
Branch Banking & Trust	450,000 par value	449,154	470,416
Burlington North Santa Fe 09/01/2043	375,000 par value	460,284	506,554
Canadian Natl Railway	470,000 par value	447,294	431,883
CenterPoint Energy	245,000 par value	228,852	235,362
Charles Schwab Corp.	295,000 par value	294,802	322,854
CIGNA Corp.	285,000 par value	302,547	289,728
CISCO Systems, Inc.	125,000 par value	180,011	174,685
Citigroup, Inc.	450,000 par value	441,343	453,784
Comcast Corp. 01/15/2027	355,000 par value	334,843	372,345
Comcast Corp. 01/15/2033	567,000 par value	572,063	662,806
Comcast Corp. 07/15/2046	220,000 par value	239,221	233,314
Commonwealth Edison Co. 03/01/2045	510,000 par value	461,417	574,739
Commonwealth Edison Co. 11/15/2049	145,000 par value	153,778	149,621
Conagra Brands, Inc.	185,000 par value	184,390	180,181
Conoco, Inc.	330,000 par value	444,200	440,863
Cons Edison Co. of NY	520,000 par value	569,775	625,347
Consumers Energy Co.	465,000 par value	458,950	480,401
CVS Health Corp 08/15/2026	445,000 par value	446,842	477,752
CVS Health Corp 08/21/2030	235,000 par value	234,443	225,252
Deere & Company	240,000 par value	266,491	261,062
Dow Dupont, Inc.	395,000 par value	404,472	444,146
DTE Electric Co.	640,000 par value	677,510	641,210
Duke Energy Indiana LLC	615,000 par value	664,842	682,066
Eli Lilly & Co.	235,000 par value	232,126	212,440
Equinor ASA	300,000 par value	295,245	317,889
Exxon Mobil Corporate	365,000 par value	367,566	380,673
Fifth Third Bancorp	150,000 par value	165,767	161,248
Florida Power & Light Co. 02/01/2041	365,000 par value	453,162	493,615
Franklin Resources, Inc.	615,000 par value	594,531	585,314
General Dynamics Corp.	180,000 par value	224,068	219,388
Georgia Power Company	445,000 par value	469,755	518,825
Gilead Sciences, Inc.	425,000 par value	448,783	488,771
Goldman Sachs Group, Inc.	700,000 par value	675,061	675,031
Home Depot, Inc. 12/06/2048	630,000 par value	724,094	808,277
HSBC Holdings PLC	500,000 par value	563,650	557,290
Intel Corp. 12/08/2047	660,000 par value	653,777	736,283
Intercontinental Exchange	460,000 par value	475,307	459,926
John Deere Capital Corp. 07/18/2029	360,000 par value	370,103	385,913
Johnson & Johnson 12/05/2033	225,000 par value	245,862	276,782
Johnson & Johnson 01/15/2048	415,000 par value	419,104	481,886
Johnson & Johnson 09/1/2040	220,000 par value	220,350	206,846
JPMorgan Chase & Co. 07/15/2025	700,000 par value	725,900	765,429
JPMorgan Chase & Co. 07/24/2038	630,000 par value	579,858	725,155

Allison Transmission Hourly-Rate Employees Pension Plan

EIN 26-0413897 PN 004

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) (Continued) September 30, 2021

(a)(b) Identity of Issuer	(c) Description of Investment	(d) Cost	(e) Current Value
Kimberly-Clark Corp.	245,000 par value	\$ 249,092	\$ 293,542
Kimco Realty Corp.	355,000 par value	350,942	376,531
Kinder Morgan Ener Part 02/01/2024	425,000 par value	433,857	454,563
Kinder Morgan Ener Part 09/01/2024	425,000 par value	466,217	462,336
Lloyds Banking Group PLC	335,000 par value	363,669	356,671
Lockheed Martin Corp.	230,000 par value	272,612	266,789
Loews Corp.	480,000 par value	498,945	529,200
Lowe's Cos Inc. 4/15/2030	235,000 par value	294,927	275,476
Lowe's Cos Inc. 10/15/2030	160,000 par value	159,518	152,973
Manuf & Traders Trust Co.	345,000 par value	348,504	377,692
Manulife Financial Corp	260,000 par value	287,862	285,041
Marathon Petroleum	500,000 par value	546,428	540,495
MasterCard, Inc.	685,000 par value	731,588	789,463
Medtronic, Inc.	386,000 par value	432,884	474,564
Merck & Co., Inc.	285,000 par value	275,592	265,435
Microsoft Corp. 06/01/2050	495,000 par value	489,828	476,319
Microsoft Corp. 03/17/2052	435,000 par value	472,899	449,703
MidAmerican Energy Co. 09/15/2043	355,000 par value	384,631	457,038
Mitsubishi UFJ Financial Group	455,000 par value	455,323	470,638
Mizuho Financial 07/16/2023	270,000 par value	271,320	274,917
National Rural Utility Coop	665,000 par value	665,000	716,917
Natwest Group PLC	240,000 par value	240,322	239,983
Oncor Electric Delivery	415,000 par value	412,510	485,297
Oracle Corp. 04/15/2038	180,000 par value	226,433	250,670
Oracle Corp. 11/15/2037	695,000 par value	828,857	749,995
PacifiCorp	305,000 par value	391,330	430,578
PepsiCo, Inc.	400,000 par value	446,972	505,608
Pfizer, Inc.	555,000 par value	590,857	671,467
PNC Bank NA	435,000 par value	443,363	495,556
PPL Electric Utilities	355,000 par value	389,534	456,523
Princeton University	185,000 par value	192,478	182,721
Prologis LP	405,000 par value	402,274	412,274
Prudential Financial Inc.	275,000 par value	291,635	282,873
Public Service Electric	775,000 par value	775,744	867,357
Raytheon Tech Corp	180,000 par value	211,100	230,546
Simon Property Group LP	365,000 par value	366,756	398,554
Southern Cal Edison 10/01/2043	190,000 par value	200,681	219,260
Southwestern Public Serv 08/15/2041	440,000 par value	451,079	535,933
Southwestern Public Serv 11/15/2048	335,000 par value	332,839	418,321
Spectra Energy Partners	385,000 par value	406,506	418,372
State Street Corp.	435,000 par value	433,975	451,343
Statoil ASA	350,000 par value	337,793	402,794
Sunoco Logistics	600,000 par value	655,781	655,044
Telefonica Emisiones Sau	405,000 par value	466,674	455,009
Total Capital Intl SA	280,000 par value	310,481	298,586
Travelers Cos. Inc.	245,000 par value	276,799	296,002
Trinity Health Corp	147,000 par value	148,739	144,000
Union Electric Co.	200,000 par value	189,032	213,692
United Parcel Service 11/15/2047	440,000 par value	407,348	510,880
UnitedHealth Group, Inc. 3/15/2042	310,000 par value	417,729	378,491
UnitedHealth Group, Inc. 7/15/2035	185,000 par value	184,978	229,837
Ventas Realty LP 04/15/2024	580,000 par value	607,933	617,352
Verizon Communications 11/1/2034	350,000 par value	353,031	414,498

Allison Transmission Hourly-Rate Employees Pension Plan

EIN 26-0413897 PN 004

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

September 30, 2021

(a)(b) Identity of Issuer	(c) Description of Investment	(d) Cost	(e) Current Value
Verizon Communications 12/03/2029	424,000 par value	\$	\$ 480,439
VMWare, Inc.	225,000 par value		250,612
Walmart Inc. 06/29/2048	65,000 par value		81,769
Walmart Inc. 09/22/2041	625,000 par value		622,281
Walt Disney Company 09/01/2029	375,000 par value		373,330
Walt Disney Company 09/01/2049	245,000 par value		235,244
Wells Fargo & Company	600,000 par value		681,714
Welltower, Inc.	590,000 par value		629,070
Westar Energy, Inc.	330,000 par value		354,489
Westpac Banking Corp 05/13/2026	450,000 par value		484,128
3M Company	400,000 par value		440,500
CF Hippolyta Issuer LLC	283,330 par value		285,189
Finance Amer Stru	293,676 par value		317,899
Magnetite CLO LTD	700,000 par value		700,433
Sound Point CLO LTD	640,000 par value		640,004
Benchmark Mortgage Trust 08162NAM8	430,000 par value		438,940
Benchmark Mortgage Trust 08162QBL2	270,000 par value		277,722
Credit Suisse Mortgage Trust	230,000 par value		218,875
Fed Home Ln Mortgage Corp.	250,000 par value		266,237
FREMF Mortgage Trust 12/25/2049	230,000 par value		239,504
FREMF Mortgage Trust 04/25/2051	475,000 par value		519,303
JPMorgan Chase Commercial Mor	430,000 par value		435,702
New Residential Mortgage Loan 2/25/2058	228,091 par value		245,369
New Residential Mortgage Loan 7/25/2059	290,000 par value		305,405
Sfave Commercial Mortgage Secu	410,000 par value		414,875
SLG Office Trust	645,000 par value		666,704
Soho Trust	340,000 par value		335,917
*Wells Fargo Commercial Mortgage 12/15/2059	95,000 par value		103,483
California St.	335,000 par value		529,471
University Calif Revs	205,000 par value		288,691
Aviation Capital Group	400,000 par value		417,380
Belrose Funding Trust	225,000 par value		221,949
BNP Paribas	420,000 par value		440,000
Boston Gas Company	430,000 par value		448,206
Cameron LNG LLC	215,000 par value		227,956
Electricite De France Sa	165,000 par value		210,311
Enel Finance Intl NV	340,000 par value		372,106
Hyundai Capital Amera	240,000 par value		239,150
Mars Inc.	305,000 par value		289,222
Met Life Glob Funding I	410,000 par value		441,230
New York Life Insurance	415,000 par value		868,357
Penske Truck Leasing	215,000 par value		216,178
Siemens Financiering mat	820,000 par value		897,720
		67,065,703	70,326,555
Mutual Funds			
American Century Emerging Markets	72,247 shares	1,017,182	1,052,644
Blackstone Alternative	207,910 shares	2,135,260	2,253,741
Eaton Vance Atlanta Capital Smid-Cap	76,510 shares	2,198,344	3,228,728
Hartford International Opportunities	148,147 shares	2,303,356	3,195,534
PIMCO Commodity Real Return	184,649 shares	1,210,430	1,179,909
Principal Investors Real Estate	34,523 shares	764,621	1,083,337
		9,629,193	11,993,893
		\$ 99,297,368	\$ 110,703,972

* Parties-in-interest

Allison Transmission Hourly-Rate Employees Pension Plan

EIN 26-0413897 PN 004

Schedule H, Line 4j - Schedule of Reportable Transactions Year Ended September 30, 2021

Identity	Description	Purchase Price	Selling Price	Lease Rental	Expenses Incurred With Transaction	Cost of Asset	Current Value of Asset on Transaction Date	Net Gain (Loss)
Issuer	Wells Fargo Advantage Treasury Plus Money Market Fund							
	Purchases	\$ 29,800,238				\$ 29,800,238	\$ 29,800,238	
	Sales		\$ 28,989,157			28,989,157	28,989,157	\$ -

Schedule SB, line 26 — Schedule of Active Participant Data

Attained age	Years of credited service										
	Under 1	1–4	5–9	10–14	15–19	20–24	25–29	30–34	35–39	40 & up	Total
Under 25											
25–29											
30–34				2							2
35–39				14							14
40–44				11	3	6					20
45–49				13	5	17	6				41
50–54				16	3	16	4	1			40
55–59				2		14	7	5	4	1	33
60–64				2	2	11	3	7	19	100	144
65–69						2		3	9	101	115
70 & up							1	1	2	18	22
Total				60	13	66	21	17	34	220	431

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

Schedule SB, Part V — Statement of Actuarial Assumptions/Methods**Actuarial assumptions for October 1, 2020 Funding Valuation**

	10/1/2020	10/1/2020
Discount rate sponsor elections		
• Segment rates or full yield curve	Segment rates	Segment rates
• Look-back months	0	0
	Stabilized (ARPA)	Nonstabilized rates
• First 5 years	4.75%	2.11%
• Next 15 years	5.50%	3.30%
• Over 20 years	6.27%	3.86%
	Rationale: Interest rate prescribed by IRS. Plan sponsor has elected to adopt ARPA rates effective 10/1/2020.	
Mortality sponsor elections		
• Healthy participants	Section 430(h)(3) prescribed separate generational annuitant and nonannuitant mortality tables. These tables are based on the RP-2014 mortality tables backed off to 2006 and then projected with mortality improvements using scale MP-2018 in accordance with IRS regulation.	
• Disabled participants	Same as healthy participants	
	Rationale: Mortality prescribed by IRS	
Other economic assumptions		
• Flat-dollar benefit increases	None assumed	
• Inflation	Not applicable	
• Expenses	\$390,000 added to current year normal cost	
	Rationale: Expenses are assumed to be equal to the prior Plan Year administration expenses (excluding PBGC premiums) plus expected PBGC Premiums for the current Plan Year rounded to the nearest \$10,000	
• Late retirement increases	Active participants over age 70 and deferred vested participants over age 65 receive late retirement increases based on Actuarial Value	
• Actuarial value	Based on applicable 417(e) mortality and interest rates for the current plan year	

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

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

Schedule SB, Part V — Statement of Actuarial Assumptions/Methods**Table of Sample Rates**

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

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

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

*Schedule SB, Part V — Statement of Actuarial Assumptions/Methods***Actuarial Methods for Funding****Participant methods**

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

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

Minimum funding methods

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

A detailed description of the calculation follows:

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

Asset methods

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



Allison Transmission Hourly-Rate Employees Pension Plan (EIN/PN: 26-0413897/004)
 Attachments to Schedule H (2020 Form 5500)
 Schedule H, Line 4j - Schedule of Reportable Transactions

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**REPORTABLE TRANSACTIONS - SINGLE / BY ISSUE
FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021**

ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
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	BEGINNING MARKET VALUE			114,248,676.91			
	COMPARATIVE VALUE (5%)			5,712,433.85			
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*** NO TRANSACTIONS QUALIFIED ***

**REPORTABLE TRANSACTIONS - SERIES / BY BROKER
 FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021**

**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
BEGINNING MARKET VALUE			114,248,676.91				
COMPARATIVE VALUE (5%)			5,712,433.85				
BROKER: GOLDMAN SACHS							
22831106	ISSUE: 038222AP0 - APPLIED MATERIALS IN 2.75% 6/01/50 11/23/20 S	230,000	1.093	0	251,466	231,021	20,445
22831106	ISSUE: 912810SP4 - US TREASURY BOND 1.375% 8/15/50 11/23/20 B	220,000	0.955	0	209,980-	209,980	
22831106	ISSUE: 912810SP4 - US TREASURY BOND 1.375% 8/15/50 12/04/20 B	700,000	0.916	0	641,129-	641,129	
22831106	ISSUE: 91282CAV3 - US TREASURY NOTE 0.875% 11/15/30 01/04/21 S	70,000	0.996	0	69,718	70,033	-314
22831106	ISSUE: 38141GXRO - VR GOLDMAN SACHS GRO 1.992% 1/27/32 01/20/21 B	225,000	1.003	0	225,754-	225,754	
22831106	ISSUE: 91282CAV3 - US TREASURY NOTE 0.875% 11/15/30 01/22/21 S	220,000	0.980	0	215,634	215,514	120
22831106	ISSUE: 12530MAE5 - CF HIPPOLYTA ISSUER 1.53% 3/15/61 03/10/21 B	285,000	1.000	0	284,946-	284,946	
22831106	ISSUE: 912834TP3 - US TREASURY BOND 5/15/48 03/15/21 B	2,100,000	0.515	0	1,081,353-	1,081,353	
22831106	ISSUE: 38141GXRO - VR GOLDMAN SACHS GRO 1.992% 1/27/32 03/30/21 B	475,000	0.946	0	449,307-	449,307	
22831106	ISSUE: 15189YAF3 - CENTERPOINT ENERGY 1.75% 10/01/30 04/13/21 B	245,000	0.934	0	228,852-	228,852	
22831106	ISSUE: 94974BGL8 - WELLS FARGO & COMPAN 4.3% 7/22/27 04/20/21 B	350,000	1.135	0	397,397-	397,397	
22831106	ISSUE: 91282CBW0 - US TREASURY NOTE 0.75% 4/30/26 05/17/21 B	500,000	0.996	0	498,086-	498,086	
22831106	ISSUE: 12625GAC8 - CNOOC FINANCE 2013 3% 5/09/23 05/17/21 S	650,000	1.037	0	673,855	634,763	39,093
22831106	ISSUE: 035240AQ3 - ANHEUSER-BUSCH INBEV 4.75% 1/23/29 05/19/21 B	330,000	1.176	0	388,100-	388,100	
22831106	ISSUE: 06051GJZ3 - VR BANK OF AMERICA 2.087% 6/14/29 06/08/21 B	450,000	1.005	0	452,142-	452,142	
22831106	ISSUE: 912810SW9 - US TREASURY BOND 1.875% 2/15/41 07/01/21 S	210,000	0.979	0	205,513	197,121	8,392
22831106	ISSUE: 91282CCE9 - US TREASURY NOTE 1.25% 5/31/28 07/06/21 B	240,000	1.010	0	242,334-	242,334	
22831106	ISSUE: 912810SRO - US TREASURY BOND 1.125% 5/15/40 08/09/21 S	200,000	0.883	0	176,648	206,414	-29,766

REPORTABLE TRANSACTIONS - SERIES / BY BROKER
 FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021

ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	ISSUE: 912810SRO - US TREASURY BOND 1.125% 5/15/40 09/08/21 S	400,000	0.887	0	354,828	412,828	-58,000
22831106	ISSUE: 91282CCE9 - US TREASURY NOTE 1.25% 5/31/28 09/30/21 S	240,000	0.997	0	239,334	242,334	-3,000
	SUB-TOTAL			0	7,286,376	7,309,408	-23,031
BROKER: BANC OF AMERICA SECURITIES LLC							
22831106	ISSUE: 912810SP4 - US TREASURY BOND 1.375% 8/15/50 11/13/20 B	2,500,000	0.936	0	2,338,770-	2,338,770	
22831106	ISSUE: 912834EV6 - US TREAS SEC STRIPPED 11/13/20 S	2,500,000	0.752	0	1,160,683	1,160,683	0
22831106	ISSUE: 912810SP4 - US TREASURY BOND 1.375% 8/15/50 01/06/21 B	195,000	0.898	0	175,089-	175,089	
22831106	ISSUE: 081620BL2 - VR BENCHMARK MORTG 3.22991% 9/15/48 01/25/21 B	270,000	1.077	0	290,682-	290,682	
22831106	ISSUE: 55954KAL9 - VR MAGNETITE CLO LTD 1% 4/17/34 03/24/21 B	700,000	1.000	0	700,000-	700,000	
22831106	ISSUE: 585055BT2 - MEDTRONIC INC 4.375% 3/15/35 03/30/21 B	85,000	1.199	0	101,890-	101,890	
22831106	ISSUE: 302975BE6 - VR FREMF MORTGAGE TR 3.53% 3/25/53 03/31/21 S	220,000	1.041	0	228,929	231,629	-2,700
22831106	ISSUE: 354613AL5 - FRANKLIN RESOURCES 1.6% 10/30/30 04/08/21 B	315,000	0.936	0	294,739-	294,739	
22831106	ISSUE: 91282CAV3 - US TREASURY NOTE 0.875% 11/15/30 04/08/21 S	245,000	0.933	0	228,549	226,644	1,904
22831106	ISSUE: 91282CBW0 - US TREASURY NOTE 0.75% 4/30/26 05/19/21 S	250,000	0.997	0	249,199	249,043	156
22831106	ISSUE: 91282CBZ3 - US TREASURY NOTE 1.125% 4/30/28 06/15/21 B	460,000	1.005	0	462,156-	462,156	
22831106	ISSUE: 06051GHC6 - BANK OF AMERICA CORP 3.004% 12/20/23 06/17/21 S	65,000	1.038	0	67,460	67,067	392
22831106	ISSUE: 912810SY5 - US TREASURY BOND 2.25% 5/15/41 07/19/21 B	450,000	1.085	0	488,268-	488,268	
22831106	ISSUE: 912810SN9 - US TREASURY BOND 1.25% 5/15/50 08/04/21 S	300,000	0.862	0	258,480	279,797	-21,317
22831106	ISSUE: 023135BT2 - AMAZON.COM INC 2.5% 6/03/50 08/06/21 B	225,000	0.956	0	215,152-	215,152	
22831106	ISSUE: 912810SP4 - US TREASURY BOND 1.375% 8/15/50 08/06/21 S	225,000	0.870	0	195,785	209,159	-13,374
22831106	ISSUE: 912810SY5 - US TREASURY BOND 2.25% 5/15/41 09/30/21 S	650,000	1.038	0	674,832	699,118	-24,286



Allison Transmission Hourly-Rate Employees Pension Plan (EIN/PN: 26-0413897/004)
Attachments to Schedule H (2020 Form 5500)
Schedule H, Line 4j - Schedule of Reportable Transactions

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REPORTABLE TRANSACTIONS - SERIES / BY BROKER
FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021

ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
				0	8,130,663	8,189,886	-59,224
				0	15,417,039	15,499,294	-82,255

F O O T N O T E S

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

REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
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BEGINNING MARKET VALUE	114,248,676.91
COMPARATIVE VALUE (5%)	5,712,433.85

ISSUE: VP7000061 - WF TREAS PLUS MM FD-INST #793

22831100	10/05/20 B	311	1.000	0	311-	311	
22831100	11/02/20 B	689	1.000	0	689-	689	
22831100	11/03/20 B	1,460,311	1.000	0	1,460,311-	1,460,311	
22831100	12/01/20 B	1,574	1.000	0	1,574-	1,574	
22831100	12/24/20 B	1,493	1.000	0	1,493-	1,493	
22831100	12/28/20 B	929	1.000	0	929-	929	
22831100	12/29/20 B	1,727	1.000	0	1,727-	1,727	
22831100	01/06/21 B	748	1.000	0	748-	748	
22831100	01/22/21 B	252	1.000	0	252-	252	
22831100	01/28/21 B	1,920	1.000	0	1,920-	1,920	
22831100	02/03/21 B	480	1.000	0	480-	480	
22831100	02/22/21 B	299	1.000	0	299-	299	
22831100	03/10/21 B	893	1.000	0	893-	893	
22831100	03/12/21 B	1,837,000	1.000	0	1,837,000-	1,837,000	
22831100	03/19/21 B	27	1.000	0	27-	27	
22831100	03/23/21 B	162	1.000	0	162-	162	
22831100	03/31/21 B	375	1.000	0	375-	375	
22831100	04/01/21 B	35	1.000	0	35-	35	
22831100	04/06/21 B	3,899	1.000	0	3,899-	3,899	
22831100	04/21/21 B	61	1.000	0	61-	61	
22831100	06/22/21 B	1,245,000	1.000	0	1,245,000-	1,245,000	
22831100	07/02/21 B	298	1.000	0	298-	298	
22831100	07/06/21 B	517	1.000	0	517-	517	
22831100	08/02/21 B	390	1.000	0	390-	390	
22831104	11/03/20 B	560,000	1.000	0	560,000-	560,000	
22831104	11/25/20 B	1,296,462	1.000	0	1,296,462-	1,296,462	
22831104	11/25/20 B	11,418	1.000	0	11,418-	11,418	
22831104	12/01/20 B	1	1.000	0	1-	1	
22831104	01/04/21 B	1	1.000	0	1-	1	
22831104	02/01/21 B	0	1.000	0	0-	0	
22831104	03/01/21 B	0	1.000	0	0-	0	
22831104	03/12/21 B	3,190,000	1.000	0	3,190,000-	3,190,000	
22831104	04/01/21 B	0	1.000	0	0-	0	
22831104	05/03/21 B	0	1.000	0	0-	0	
22831104	06/01/21 B	0	1.000	0	0-	0	
22831104	06/21/21 B	730,000	1.000	0	730,000-	730,000	
22831104	07/01/21 B	0	1.000	0	0-	0	

REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831104	08/02/21 B	0	1.000	0	0-	0	
22831104	09/01/21 B	0	1.000	0	0-	0	
22831106	10/01/20 B	59,844	1.000	0	59,844-	59,844	
22831106	10/07/20 B	7,449	1.000	0	7,449-	7,449	
22831106	10/08/20 B	1,094	1.000	0	1,094-	1,094	
22831106	10/13/20 B	370,580	1.000	0	370,580-	370,580	
22831106	10/14/20 B	94,496	1.000	0	94,496-	94,496	
22831106	10/15/20 B	64,132	1.000	0	64,132-	64,132	
22831106	10/16/20 B	838	1.000	0	838-	838	
22831106	10/19/20 B	1,366	1.000	0	1,366-	1,366	
22831106	10/26/20 B	16,278	1.000	0	16,278-	16,278	
22831106	10/26/20 B	785	1.000	0	785-	785	
22831106	10/27/20 B	2,455	1.000	0	2,455-	2,455	
22831106	10/29/20 B	1,020	1.000	0	1,020-	1,020	
22831106	10/29/20 B	171,099	1.000	0	171,099-	171,099	
22831106	10/30/20 B	410,000	1.000	0	410,000-	410,000	
22831106	10/30/20 B	6,150	1.000	0	6,150-	6,150	
22831106	11/02/20 B	55,043	1.000	0	55,043-	55,043	
22831106	11/03/20 B	304,448	1.000	0	304,448-	304,448	
22831106	11/04/20 B	11,016	1.000	0	11,016-	11,016	
22831106	11/06/20 B	4,909	1.000	0	4,909-	4,909	
22831106	11/06/20 B	1,131	1.000	0	1,131-	1,131	
22831106	11/09/20 B	363,489	1.000	0	363,489-	363,489	
22831106	11/10/20 B	9,750	1.000	0	9,750-	9,750	
22831106	11/13/20 B	16,188	1.000	0	16,188-	16,188	
22831106	11/16/20 B	385,515	1.000	0	385,515-	385,515	
22831106	11/17/20 B	6,913	1.000	0	6,913-	6,913	
22831106	11/17/20 B	838	1.000	0	838-	838	
22831106	11/18/20 B	2,535	1.000	0	2,535-	2,535	
22831106	11/19/20 B	26,183	1.000	0	26,183-	26,183	
22831106	11/23/20 B	7,604	1.000	0	7,604-	7,604	
22831106	11/25/20 B	202,555	1.000	0	202,555-	202,555	
22831106	11/30/20 B	3,600	1.000	0	3,600-	3,600	
22831106	12/01/20 B	55,311	1.000	0	55,311-	55,311	
22831106	12/03/20 B	14,826	1.000	0	14,826-	14,826	
22831106	12/03/20 B	38,776	1.000	0	38,776-	38,776	
22831106	12/07/20 B	14,746	1.000	0	14,746-	14,746	
22831106	12/08/20 B	157,385	1.000	0	157,385-	157,385	
22831106	12/09/20 B	688,149	1.000	0	688,149-	688,149	
22831106	12/14/20 B	3,623	1.000	0	3,623-	3,623	
22831106	12/15/20 B	49,126	1.000	0	49,126-	49,126	
22831106	12/17/20 B	6,253	1.000	0	6,253-	6,253	
22831106	12/17/20 B	42	1.000	0	42-	42	
22831106	12/17/20 B	350	1.000	0	350-	350	
22831106	12/18/20 B	1,568	1.000	0	1,568-	1,568	
22831106	12/21/20 B	14,419	1.000	0	14,419-	14,419	

REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	12/22/20 B	41,563	1.000	0	41,563-	41,563	
22831106	12/24/20 B	2,756	1.000	0	2,756-	2,756	
22831106	12/28/20 B	8,226	1.000	0	8,226-	8,226	
22831106	12/29/20 B	6,694	1.000	0	6,694-	6,694	
22831106	12/30/20 B	6,813	1.000	0	6,813-	6,813	
22831106	12/30/20 B	1,017	1.000	0	1,017-	1,017	
22831106	01/04/21 B	2,539	1.000	0	2,539-	2,539	
22831106	01/08/21 B	104,307	1.000	0	104,307-	104,307	
22831106	01/12/21 B	3,961	1.000	0	3,961-	3,961	
22831106	01/14/21 B	3,281	1.000	0	3,281-	3,281	
22831106	01/15/21 B	60,562	1.000	0	60,562-	60,562	
22831106	01/19/21 B	11,178	1.000	0	11,178-	11,178	
22831106	01/20/21 B	15,075	1.000	0	15,075-	15,075	
22831106	01/21/21 B	41,981	1.000	0	41,981-	41,981	
22831106	01/22/21 B	173,984	1.000	0	173,984-	173,984	
22831106	01/25/21 B	45,222	1.000	0	45,222-	45,222	
22831106	01/26/21 B	267,339	1.000	0	267,339-	267,339	
22831106	01/26/21 B	2,957	1.000	0	2,957-	2,957	
22831106	01/26/21 B	647	1.000	0	647-	647	
22831106	01/28/21 B	10,183	1.000	0	10,183-	10,183	
22831106	01/29/21 B	10,483	1.000	0	10,483-	10,483	
22831106	02/01/21 B	28,084	1.000	0	28,084-	28,084	
22831106	02/01/21 B	163,088	1.000	0	163,088-	163,088	
22831106	02/04/21 B	292,653	1.000	0	292,653-	292,653	
22831106	02/05/21 B	189,691	1.000	0	189,691-	189,691	
22831106	02/08/21 B	9,244	1.000	0	9,244-	9,244	
22831106	02/11/21 B	231,182	1.000	0	231,182-	231,182	
22831106	02/16/21 B	45,627	1.000	0	45,627-	45,627	
22831106	02/17/21 B	22,189	1.000	0	22,189-	22,189	
22831106	02/18/21 B	80,942	1.000	0	80,942-	80,942	
22831106	02/18/21 B	730	1.000	0	730-	730	
22831106	02/19/21 B	1,891	1.000	0	1,891-	1,891	
22831106	02/22/21 B	2,056	1.000	0	2,056-	2,056	
22831106	02/25/21 B	6,909	1.000	0	6,909-	6,909	
22831106	02/26/21 B	11,244	1.000	0	11,244-	11,244	
22831106	03/01/21 B	59,523	1.000	0	59,523-	59,523	
22831106	03/02/21 B	1,014	1.000	0	1,014-	1,014	
22831106	03/03/21 B	119,591	1.000	0	119,591-	119,591	
22831106	03/04/21 B	90,005	1.000	0	90,005-	90,005	
22831106	03/05/21 B	1,499	1.000	0	1,499-	1,499	
22831106	03/08/21 B	418	1.000	0	418-	418	
22831106	03/09/21 B	7,454	1.000	0	7,454-	7,454	
22831106	03/10/21 B	4,775	1.000	0	4,775-	4,775	
22831106	03/10/21 B	30,545	1.000	0	30,545-	30,545	
22831106	03/12/21 B	124,516	1.000	0	124,516-	124,516	
22831106	03/12/21 B	2,050,000	1.000	0	2,050,000-	2,050,000	

**REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
 FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021**

**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	03/15/21 B	89,376	1.000	0	89,376-	89,376	
22831106	03/16/21 B	105,395	1.000	0	105,395-	105,395	
22831106	03/17/21 B	13,940	1.000	0	13,940-	13,940	
22831106	03/17/21 B	1,180	1.000	0	1,180-	1,180	
22831106	03/18/21 B	5,931	1.000	0	5,931-	5,931	
22831106	03/19/21 B	151,271	1.000	0	151,271-	151,271	
22831106	03/22/21 B	1,047	1.000	0	1,047-	1,047	
22831106	03/22/21 B	35,632	1.000	0	35,632-	35,632	
22831106	03/25/21 B	64,371	1.000	0	64,371-	64,371	
22831106	03/26/21 B	615,002	1.000	0	615,002-	615,002	
22831106	03/30/21 B	1,013	1.000	0	1,013-	1,013	
22831106	04/01/21 B	247,161	1.000	0	247,161-	247,161	
22831106	04/05/21 B	229,015	1.000	0	229,015-	229,015	
22831106	04/06/21 B	9,571	1.000	0	9,571-	9,571	
22831106	04/07/21 B	5,950	1.000	0	5,950-	5,950	
22831106	04/08/21 B	1,549	1.000	0	1,549-	1,549	
22831106	04/09/21 B	1,131	1.000	0	1,131-	1,131	
22831106	04/12/21 B	126,908	1.000	0	126,908-	126,908	
22831106	04/12/21 B	229,425	1.000	0	229,425-	229,425	
22831106	04/14/21 B	104,807	1.000	0	104,807-	104,807	
22831106	04/15/21 B	327	1.000	0	327-	327	
22831106	04/16/21 B	838	1.000	0	838-	838	
22831106	04/16/21 B	1,120	1.000	0	1,120-	1,120	
22831106	04/23/21 B	181,209	1.000	0	181,209-	181,209	
22831106	04/26/21 B	16,507	1.000	0	16,507-	16,507	
22831106	04/26/21 B	6,482	1.000	0	6,482-	6,482	
22831106	04/27/21 B	647	1.000	0	647-	647	
22831106	04/28/21 B	1,011	1.000	0	1,011-	1,011	
22831106	04/30/21 B	5,221	1.000	0	5,221-	5,221	
22831106	05/03/21 B	47,976	1.000	0	47,976-	47,976	
22831106	05/04/21 B	16,773	1.000	0	16,773-	16,773	
22831106	05/07/21 B	1,499	1.000	0	1,499-	1,499	
22831106	05/14/21 B	6,413	1.000	0	6,413-	6,413	
22831106	05/17/21 B	94,381	1.000	0	94,381-	94,381	
22831106	05/17/21 B	350	1.000	0	350-	350	
22831106	05/18/21 B	10,751	1.000	0	10,751-	10,751	
22831106	05/19/21 B	679,272	1.000	0	679,272-	679,272	
22831106	05/24/21 B	209,022	1.000	0	209,022-	209,022	
22831106	05/25/21 B	6,254	1.000	0	6,254-	6,254	
22831106	05/26/21 B	6,840	1.000	0	6,840-	6,840	
22831106	05/27/21 B	41,306	1.000	0	41,306-	41,306	
22831106	05/28/21 B	1,010	1.000	0	1,010-	1,010	
22831106	06/01/21 B	56,880	1.000	0	56,880-	56,880	
22831106	06/03/21 B	14,826	1.000	0	14,826-	14,826	
22831106	06/07/21 B	275,241	1.000	0	275,241-	275,241	
22831106	06/08/21 B	12,322	1.000	0	12,322-	12,322	

**REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
 FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021**

**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	06/09/21 B	1,131	1.000	0	1,131-	1,131	
22831106	06/10/21 B	476,725	1.000	0	476,725-	476,725	
22831106	06/11/21 B	483,710	1.000	0	483,710-	483,710	
22831106	06/15/21 B	339	1.000	0	339-	339	
22831106	06/17/21 B	546,427	1.000	0	546,427-	546,427	
22831106	06/17/21 B	361	1.000	0	361-	361	
22831106	06/18/21 B	3,543	1.000	0	3,543-	3,543	
22831106	06/21/21 B	146,754	1.000	0	146,754-	146,754	
22831106	06/21/21 B	976	1.000	0	976-	976	
22831106	06/22/21 B	41,563	1.000	0	41,563-	41,563	
22831106	06/23/21 B	164,247	1.000	0	164,247-	164,247	
22831106	06/25/21 B	4,618	1.000	0	4,618-	4,618	
22831106	06/25/21 B	14,694	1.000	0	14,694-	14,694	
22831106	06/28/21 B	107,128	1.000	0	107,128-	107,128	
22831106	06/30/21 B	6,363	1.000	0	6,363-	6,363	
22831106	07/01/21 B	22,609	1.000	0	22,609-	22,609	
22831106	07/01/21 B	552,451	1.000	0	552,451-	552,451	
22831106	07/08/21 B	257,229	1.000	0	257,229-	257,229	
22831106	07/13/21 B	3,961	1.000	0	3,961-	3,961	
22831106	07/14/21 B	6,409	1.000	0	6,409-	6,409	
22831106	07/15/21 B	74,149	1.000	0	74,149-	74,149	
22831106	07/16/21 B	6,067	1.000	0	6,067-	6,067	
22831106	07/16/21 B	2,233	1.000	0	2,233-	2,233	
22831106	07/19/21 B	20,423	1.000	0	20,423-	20,423	
22831106	07/20/21 B	2,194	1.000	0	2,194-	2,194	
22831106	07/20/21 B	2,893	1.000	0	2,893-	2,893	
22831106	07/22/21 B	12,900	1.000	0	12,900-	12,900	
22831106	07/23/21 B	7,838	1.000	0	7,838-	7,838	
22831106	07/26/21 B	38,784	1.000	0	38,784-	38,784	
22831106	07/26/21 B	9,778	1.000	0	9,778-	9,778	
22831106	07/26/21 B	785	1.000	0	785-	785	
22831106	07/27/21 B	6,972	1.000	0	6,972-	6,972	
22831106	07/30/21 B	1,007	1.000	0	1,007-	1,007	
22831106	08/02/21 B	34,912	1.000	0	34,912-	34,912	
22831106	08/06/21 B	1,549	1.000	0	1,549-	1,549	
22831106	08/06/21 B	259,326	1.000	0	259,326-	259,326	
22831106	08/09/21 B	58,218	1.000	0	58,218-	58,218	
22831106	08/10/21 B	403,717	1.000	0	403,717-	403,717	
22831106	08/11/21 B	177,186	1.000	0	177,186-	177,186	
22831106	08/13/21 B	208,528	1.000	0	208,528-	208,528	
22831106	08/16/21 B	46,141	1.000	0	46,141-	46,141	
22831106	08/16/21 B	1,183	1.000	0	1,183-	1,183	
22831106	08/17/21 B	12,649	1.000	0	12,649-	12,649	
22831106	08/18/21 B	4,535	1.000	0	4,535-	4,535	
22831106	08/20/21 B	41,795	1.000	0	41,795-	41,795	
22831106	08/23/21 B	2,056	1.000	0	2,056-	2,056	

**REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
 FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021**

**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831106	08/25/21 B	10,845	1.000	0	10,845-	10,845	
22831106	08/25/21 B	7,307	1.000	0	7,307-	7,307	
22831106	08/26/21 B	4,989	1.000	0	4,989-	4,989	
22831106	08/27/21 B	1,005	1.000	0	1,005-	1,005	
22831106	08/31/21 B	216,595	1.000	0	216,595-	216,595	
22831106	09/01/21 B	71,678	1.000	0	71,678-	71,678	
22831106	09/03/21 B	134,880	1.000	0	134,880-	134,880	
22831106	09/08/21 B	423	1.000	0	423-	423	
22831106	09/08/21 B	1,549	1.000	0	1,549-	1,549	
22831106	09/09/21 B	8,309	1.000	0	8,309-	8,309	
22831106	09/10/21 B	4,775	1.000	0	4,775-	4,775	
22831106	09/10/21 B	356,271	1.000	0	356,271-	356,271	
22831106	09/13/21 B	8,813	1.000	0	8,813-	8,813	
22831106	09/14/21 B	790	1.000	0	790-	790	
22831106	09/15/21 B	89,266	1.000	0	89,266-	89,266	
22831106	09/15/21 B	349	1.000	0	349-	349	
22831106	09/17/21 B	6,292	1.000	0	6,292-	6,292	
22831106	09/20/21 B	408,815	1.000	0	408,815-	408,815	
22831106	09/20/21 B	727	1.000	0	727-	727	
22831106	09/24/21 B	1,113,808	1.000	0	1,113,808-	1,113,808	
22831106	09/27/21 B	6,348	1.000	0	6,348-	6,348	
22831106	09/27/21 B	14,753	1.000	0	14,753-	14,753	
22831106	09/29/21 B	1,004	1.000	0	1,004-	1,004	
22831106	09/30/21 B	920,651	1.000	0	920,651-	920,651	
SUB-TOTAL OF BUYS # 245				0	29,800,238	29,800,238	
22831100	10/01/20 S	301,377	1.000	0	301,377	301,377	0
22831100	10/02/20 S	4,151	1.000	0	4,151	4,151	0
22831100	10/06/20 S	7,829	1.000	0	7,829	7,829	0
22831100	10/07/20 S	311	1.000	0	311	311	0
22831100	10/14/20 S	4,219	1.000	0	4,219	4,219	0
22831100	10/14/20 S	11	1.000	0	11	11	0
22831100	10/15/20 S	7,653	1.000	0	7,653	7,653	0
22831100	10/15/20 S	9,250	1.000	0	9,250	9,250	0
22831100	10/20/20 S	19,263	1.000	0	19,263	19,263	0
22831100	10/23/20 S	14,040	1.000	0	14,040	14,040	0
22831100	11/02/20 S	314,010	1.000	0	314,010	314,010	0
22831100	11/04/20 S	4,163	1.000	0	4,163	4,163	0
22831100	11/05/20 S	311	1.000	0	311	311	0
22831100	11/10/20 S	46,257	1.000	0	46,257	46,257	0
22831100	11/16/20 S	3,450	1.000	0	3,450	3,450	0
22831100	11/19/20 S	3,234	1.000	0	3,234	3,234	0
22831100	11/20/20 S	10,290	1.000	0	10,290	10,290	0
22831100	12/01/20 S	320,958	1.000	0	320,958	320,958	0
22831100	12/02/20 S	6,099	1.000	0	6,099	6,099	0

REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
 FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021

ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831100	12/03/20 S	1,574	1.000	0	1,574	1,574	0
22831100	12/11/20 S	4,086	1.000	0	4,086	4,086	0
22831100	12/22/20 S	5,634	1.000	0	5,634	5,634	0
22831100	12/24/20 S	125,856	1.000	0	125,856	125,856	0
22831100	12/29/20 S	1,493	1.000	0	1,493	1,493	0
22831100	01/04/21 S	328,183	1.000	0	328,183	328,183	0
22831100	01/08/21 S	1,677	1.000	0	1,677	1,677	0
22831100	01/12/21 S	2,769	1.000	0	2,769	2,769	0
22831100	01/19/21 S	9,262	1.000	0	9,262	9,262	0
22831100	01/20/21 S	19,841	1.000	0	19,841	19,841	0
22831100	01/25/21 S	18,639	1.000	0	18,639	18,639	0
22831100	01/26/21 S	3,208	1.000	0	3,208	3,208	0
22831100	02/01/21 S	334,777	1.000	0	334,777	334,777	0
22831100	02/05/21 S	480	1.000	0	480	480	0
22831100	02/10/21 S	238	1.000	0	238	238	0
22831100	02/23/21 S	3,453	1.000	0	3,453	3,453	0
22831100	02/23/21 S	46,578	1.000	0	46,578	46,578	0
22831100	02/24/21 S	299	1.000	0	299	299	0
22831100	03/01/21 S	333,285	1.000	0	333,285	333,285	0
22831100	03/02/21 S	23,004	1.000	0	23,004	23,004	0
22831100	03/11/21 S	1,466	1.000	0	1,466	1,466	0
22831100	03/25/21 S	10,075	1.000	0	10,075	10,075	0
22831100	03/25/21 S	162	1.000	0	162	162	0
22831100	03/29/21 S	35	1.000	0	35	35	0
22831100	04/01/21 S	346,660	1.000	0	346,660	346,660	0
22831100	04/05/21 S	2,140	1.000	0	2,140	2,140	0
22831100	04/15/21 S	9,250	1.000	0	9,250	9,250	0
22831100	04/20/21 S	21,389	1.000	0	21,389	21,389	0
22831100	04/21/21 S	13	1.000	0	13	13	0
22831100	04/22/21 S	3,088	1.000	0	3,088	3,088	0
22831100	04/27/21 S	2,161	1.000	0	2,161	2,161	0
22831100	04/28/21 S	27	1.000	0	27	27	0
22831100	04/30/21 S	375	1.000	0	375	375	0
22831100	05/03/21 S	349,381	1.000	0	349,381	349,381	0
22831100	05/19/21 S	44,466	1.000	0	44,466	44,466	0
22831100	06/01/21 S	347,901	1.000	0	347,901	347,901	0
22831100	06/02/21 S	8,397	1.000	0	8,397	8,397	0
22831100	06/22/21 S	1,427	1.000	0	1,427	1,427	0
22831100	06/25/21 S	3,337	1.000	0	3,337	3,337	0
22831100	07/01/21 S	352,898	1.000	0	352,898	352,898	0
22831100	07/06/21 S	2,204	1.000	0	2,204	2,204	0
22831100	07/07/21 S	6,022	1.000	0	6,022	6,022	0
22831100	07/07/21 S	96,363	1.000	0	96,363	96,363	0
22831100	07/08/21 S	517	1.000	0	517	517	0
22831100	07/08/21 S	12	1.000	0	12	12	0
22831100	07/19/21 S	9,340	1.000	0	9,340	9,340	0

REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
22831100	07/20/21 S	19,729	1.000	0	19,729	19,729	0
22831100	07/26/21 S	4,536	1.000	0	4,536	4,536	0
22831100	08/02/21 S	359,789	1.000	0	359,789	359,789	0
22831100	08/04/21 S	2,939	1.000	0	2,939	2,939	0
22831100	08/12/21 S	11,876	1.000	0	11,876	11,876	0
22831100	08/13/21 S	1,480	1.000	0	1,480	1,480	0
22831100	08/17/21 S	1,494	1.000	0	1,494	1,494	0
22831100	08/18/21 S	3,190	1.000	0	3,190	3,190	0
22831100	08/18/21 S	46,063	1.000	0	46,063	46,063	0
22831100	08/26/21 S	22,241	1.000	0	22,241	22,241	0
22831100	09/01/21 S	377,612	1.000	0	377,612	377,612	0
22831100	09/03/21 S	3,236	1.000	0	3,236	3,236	0
22831100	09/24/21 S	10,577	1.000	0	10,577	10,577	0
22831104	11/03/20 S	560,000	1.000	0	560,000	560,000	0
22831104	11/27/20 S	1,260,000	1.000	0	1,260,000	1,260,000	0
22831104	03/12/21 S	3,237,000	1.000	0	3,237,000	3,237,000	0
22831104	06/22/21 S	730,000	1.000	0	730,000	730,000	0
22831106	10/16/20 S	184,390	1.000	0	184,390	184,390	0
22831106	10/19/20 S	299,792	1.000	0	299,792	299,792	0
22831106	10/19/20 S	88	1.000	0	88	88	0
22831106	10/20/20 S	194,723	1.000	0	194,723	194,723	0
22831106	10/22/20 S	159,518	1.000	0	159,518	159,518	0
22831106	10/29/20 S	110,142	1.000	0	110,142	110,142	0
22831106	11/03/20 S	485,000	1.000	0	485,000	485,000	0
22831106	11/16/20 S	192,741	1.000	0	192,741	192,741	0
22831106	11/16/20 S	299,379	1.000	0	299,379	299,379	0
22831106	11/17/20 S	467,550	1.000	0	467,550	467,550	0
22831106	11/25/20 S	192,242	1.000	0	192,242	192,242	0
22831106	12/08/20 S	644,137	1.000	0	644,137	644,137	0
22831106	12/09/20 S	193,633	1.000	0	193,633	193,633	0
22831106	12/10/20 S	450,666	1.000	0	450,666	450,666	0
22831106	12/11/20 S	78,892	1.000	0	78,892	78,892	0
22831106	12/11/20 S	487	1.000	0	487	487	0
22831106	12/16/20 S	36,933	1.000	0	36,933	36,933	0
22831106	01/06/21 S	169,554	1.000	0	169,554	169,554	0
22831106	01/08/21 S	101,152	1.000	0	101,152	101,152	0
22831106	01/25/21 S	148,793	1.000	0	148,793	148,793	0
22831106	01/26/21 S	146,857	1.000	0	146,857	146,857	0
22831106	01/27/21 S	202,127	1.000	0	202,127	202,127	0
22831106	02/01/21 S	253,382	1.000	0	253,382	253,382	0
22831106	02/04/21 S	46,290	1.000	0	46,290	46,290	0
22831106	02/05/21 S	274,852	1.000	0	274,852	274,852	0
22831106	02/08/21 S	273,525	1.000	0	273,525	273,525	0
22831106	02/09/21 S	51	1.000	0	51	51	0
22831106	02/18/21 S	279,402	1.000	0	279,402	279,402	0
22831106	03/04/21 S	123,857	1.000	0	123,857	123,857	0

**REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
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**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
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22831106	03/17/21 S	1,975,310	1.000	0	1,975,310	1,975,310	0
22831106	03/18/21 S	268,778	1.000	0	268,778	268,778	0
22831106	03/19/21 S	277,129	1.000	0	277,129	277,129	0
22831106	03/24/21 S	52,712	1.000	0	52,712	52,712	0
22831106	04/05/21 S	227,479	1.000	0	227,479	227,479	0
22831106	04/12/21 S	297,161	1.000	0	297,161	297,161	0
22831106	04/13/21 S	206,778	1.000	0	206,778	206,778	0
22831106	04/15/21 S	141,559	1.000	0	141,559	141,559	0
22831106	04/19/21 S	698,054	1.000	0	698,054	698,054	0
22831106	04/22/21 S	401,160	1.000	0	401,160	401,160	0
22831106	04/23/21 S	72,733	1.000	0	72,733	72,733	0
22831106	05/10/21 S	114,027	1.000	0	114,027	114,027	0
22831106	05/11/21 S	68,623	1.000	0	68,623	68,623	0
22831106	05/13/21 S	45,168	1.000	0	45,168	45,168	0
22831106	05/19/21 S	498,280	1.000	0	498,280	498,280	0
22831106	05/21/21 S	342,395	1.000	0	342,395	342,395	0
22831106	06/01/21 S	35,414	1.000	0	35,414	35,414	0
22831106	06/04/21 S	81,889	1.000	0	81,889	81,889	0
22831106	06/07/21 S	218,835	1.000	0	218,835	218,835	0
22831106	06/14/21 S	910,873	1.000	0	910,873	910,873	0
22831106	06/15/21 S	191,206	1.000	0	191,206	191,206	0
22831106	06/16/21 S	147,389	1.000	0	147,389	147,389	0
22831106	06/21/21 S	160,534	1.000	0	160,534	160,534	0
22831106	06/23/21 S	193,318	1.000	0	193,318	193,318	0
22831106	06/24/21 S	457,742	1.000	0	457,742	457,742	0
22831106	06/28/21 S	111,590	1.000	0	111,590	111,590	0
22831106	07/08/21 S	242,646	1.000	0	242,646	242,646	0
22831106	07/21/21 S	490,111	1.000	0	490,111	490,111	0
22831106	08/06/21 S	342,183	1.000	0	342,183	342,183	0
22831106	08/09/21 S	43,423	1.000	0	43,423	43,423	0
22831106	08/10/21 S	322,080	1.000	0	322,080	322,080	0
22831106	08/11/21 S	191,801	1.000	0	191,801	191,801	0
22831106	08/13/21 S	339,962	1.000	0	339,962	339,962	0
22831106	08/19/21 S	239,928	1.000	0	239,928	239,928	0
22831106	09/07/21 S	249,885	1.000	0	249,885	249,885	0
22831106	09/17/21 S	218,437	1.000	0	218,437	218,437	0
22831106	09/22/21 S	629,337	1.000	0	629,337	629,337	0
22831106	09/28/21 S	860,993	1.000	0	860,993	860,993	0
SUB-TOTAL OF SALES # 149				0	28,989,157	28,989,157	0
SUB-TOTAL				0	58,789,395	58,789,395	0
GRAND TOTAL				0	58,789,395	58,789,395	0



Allison Transmission Hourly-Rate Employees Pension Plan (EIN/PN: 26-0413897/004)
Attachments to Schedule H (2020 Form 5500)
Schedule H, Line 4j - Schedule of Reportable Transactions

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REPORTABLE TRANSACTIONS - SERIES / BY ISSUE
FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021

ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

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

F O O T N O T E S

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



Allison Transmission Hourly-Rate Employees Pension Plan (EIN/PN: 26-0413897/004)
 Attachments to Schedule H (2020 Form 5500)
 Schedule H, Line 4j - Schedule of Reportable Transactions

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**REPORTABLE TRANSACTIONS - SINGLE / BY BROKER
FOR THE PERIOD OCTOBER 1, 2020 THROUGH SEPTEMBER 30, 2021**

**ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199**

TRANSACTION ACCOUNT	DATE BOUGHT/SOLD	SHARES/ PAR VALUE	UNIT PRICE	EXPENSE INCURRED	PRINCIPAL CASH	TRANSACTION COST	REALIZED GAIN/LOSS
	BEGINNING MARKET VALUE		114,248,676.91				
	COMPARATIVE VALUE (5%)		5,712,433.85				

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

F O O T N O T E S

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

SCHEDULE SB (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Single-Employer Defined Benefit Plan Actuarial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code). File as an attachment to Form 5500 or 5500-SF.	OMB No. 1210-0110 2020 This Form is Open to Public Inspection
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For calendar plan year 2020 or fiscal plan year beginning 10/01/2020 and ending 09/30/2021

▶ Round off amounts to nearest dollar.

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

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

E Type of plan: ☒ Single ☐ Multiple-A ☐ Multiple-B	F Prior year plan size: ☐ 100 or fewer ☐ 101-500 ☒ More than 500
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Part I	Basic Information
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1	Enter the valuation date: Month <u>10</u> Day <u>01</u> Year <u>2020</u>	
2	Assets:	
	a Market value.....	114,248,677
	b Actuarial value.....	114,248,677
3	Funding target/participant count breakdown	
	a For retired participants and beneficiaries receiving payment.....	43,418,310
	b For terminated vested participants	3,336,416
	c For active participants.....	31,724,738
	d Total.....	78,479,464
4	If the plan is in at-risk status, check the box and complete lines (a) and (b)..... ☐	
	a Funding target disregarding prescribed at-risk assumptions	5.75%
	b Funding target reflecting at-risk assumptions, but disregarding transition rule for plans that have been in at-risk status for fewer than five consecutive years and disregarding loading factor.....	1,966,313
5	Effective interest rate.....	5.75%
6	Target normal cost.....	1,966,313

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

SIGN HERE	David L Jakes ⁰²⁹ Signature of actuary DAVID L. JAKES, FSA, EA, MAAA Type or print name of actuary MERCER Firm name 325 JOHN H MCCONNELL BLVD SUITE 350 COLUMBUS OH 43215 Address of the firm	6/28/2022 Date 2005110 Most recent enrollment number 614-227-5555 Telephone number (including area code)
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If the actuary has not fully reflected any regulation or ruling promulgated under the statute in completing this schedule, check the box and see instructions ☐

Part II Beginning of Year Carryover and Prefunding Balances

	(a) Carryover balance	(b) Prefunding balance
7 Balance at beginning of prior year after applicable adjustments (line 13 from prior year)	0	0
8 Portion elected for use to offset prior year's funding requirement (line 35 from prior year)	0	0
9 Amount remaining (line 7 minus line 8)	0	0
10 Interest on line 9 using prior year's actual return of <u>10.64%</u>	0	0
11 Prior year's excess contributions to be added to prefunding balance:		
a Present value of excess contributions (line 38a from prior year)		0
b(1) Interest on the excess, if any, of line 38a over line 38b from prior year Schedule SB, using prior year's effective interest rate of <u>5.57%</u>		0
b(2) Interest on line 38b from prior year Schedule SB, using prior year's actual return		0
c Total available at beginning of current plan year to add to prefunding balance		0
d Portion of (c) to be added to prefunding balance		0
12 Other reductions in balances due to elections or deemed elections	0	0
13 Balance at beginning of current year (line 9 + line 10 + line 11d - line 12)	0	0

Part III Funding Percentages

14 Funding target attainment percentage	14	145.57%
15 Adjusted funding target attainment percentage	15	145.57%
16 Prior year's funding percentage for purposes of determining whether carryover/prefunding balances may be used to reduce current year's funding requirement	16	137.88%
17 If the current value of the assets of the plan is less than 70 percent of the funding target, enter such percentage	17	%

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

(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees
05/20/2022	1,200,000	0			
Totals ▶			18(b)	1,200,000	18(c) 0

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

a Contributions allocated toward unpaid minimum required contributions from prior years	19a	0
b Contributions made to avoid restrictions adjusted to valuation date	19b	0
c Contributions allocated toward minimum required contribution for current year adjusted to valuation date	19c	1,095,303

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

Liquidity shortfall as of end of quarter of this plan year

(1) 1st	(2) 2nd	(3) 3rd	(4) 4th

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

21 Discount rate:			
a Segment rates:	1st segment: 4.75 %	2nd segment: 5.50 %	3rd segment: 6.27 %
			☐ N/A, full yield curve used
b Applicable month (enter code).....			21b 0
22 Weighted average retirement age			22 62
23 Mortality table(s) (see instructions) ☐ Prescribed - combined ☒ Prescribed - separate ☐ Substitute			

Part VI Miscellaneous Items

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

Part VII Reconciliation of Unpaid Minimum Required Contributions For Prior Years

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

Part VIII Minimum Required Contribution For Current Year

31 Target normal cost and excess assets (see instructions):			
a Target normal cost (line 6)	31a	1,966,313	
b Excess assets, if applicable, but not greater than line 31a	31b	1,966,313	
32 Amortization installments:	Outstanding Balance	Installment	
a Net shortfall amortization installment	0	0	
b Waiver amortization installment	0	0	
33 If a waiver has been approved for this plan year, enter the date of the ruling letter granting the approval (Month _____ Day _____ Year _____) and the waived amount	33		
34 Total funding requirement before reflecting carryover/prefunding balances (lines 31a - 31b + 32a + 32b - 33).....	34	0	
	Carryover balance	Prefunding balance	Total balance
35 Balances elected for use to offset funding requirement			0
36 Additional cash requirement (line 34 minus line 35).....	36	0	
37 Contributions allocated toward minimum required contribution for current year adjusted to valuation date (line 19c).....	37	1,095,303	
38 Present value of excess contributions for current year (see instructions)			
a Total (excess, if any, of line 37 over line 36)	38a	1,095,303	
b Portion included in line 38a attributable to use of prefunding and funding standard carryover balances	38b	0	
39 Unpaid minimum required contribution for current year (excess, if any, of line 36 over line 37)	39	0	
40 Unpaid minimum required contributions for all years	40	0	

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

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

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

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

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

Schedule SB, Part V — Summary of Plan Provisions**Summary of Major Plan Provisions**

Effective date and plan year	Original plan: August 7, 2007 Restated: ATI-UAW Collective Bargaining Agreement (effective December 18, 2017) Plan year: October 1 – September 30 (first plan year is 8/7/2007 – 9/30/2007)
Most recent amendment	Amendment Number Two (executed September 17, 2018)

Definitions

• Covered employees	Tier I hourly-rate employees covered by the collective bargaining agreement who have attained seniority. Hourly-rate employees hired after February 1, 2008 (Tier II) are not covered by this plan.
• Participation	Participants become vested at the earlier of 5 elapsed years (from date of hire) in which at least 750 hours are worked during the year or 5 years of credited service.
• Credited service	Participants receive 1/10th of a year of Credited Service for every 170 hours worked in a calendar year to a maximum annual credit of 1 year of Credited Service per year. Credited Service with GM counts toward eligibility and vesting, but not benefit accrual.

Normal Retirement

• Eligibility	Age 65 with one year of service					
• Benefit	Applicable Job Classification Code multiplier times Credited Service					
	Benefit Class Code	8/7/2007 through 9/1/2007	10/1/2007 through 9/1/2008	10/1/2008 through 9/1/2009	10/1/2009 through 9/1/2010	10/1/2010 through 9/1/2011 and after
	A	\$50.90	\$52.90	\$53.10	\$53.30	\$53.55
	B	\$51.15	\$53.15	\$53.35	\$53.55	\$53.80
	C	\$51.40	\$53.40	\$53.60	\$53.80	\$54.05
	D	\$51.65	\$53.65	\$53.85	\$54.05	\$54.30

Early retirement

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

Schedule SB, Part V — Summary of Plan Provisions

- Early retirement factors

Retirees with 30 years or more of service or 85 points have their benefits redetermined after age 62 and one month without any reduction.

Age	Percentage
42	21.0%
43	22.6%
44	24.3%
45	26.1%
46	28.2%
47	30.4%
48	32.8%
49	35.4%
50	38.3%
51	41.5%
52	45.0%
53	48.9%
54	53.2%
55	57.9%
56	63.5%
57	69.4%
58	75.2%
59	80.8%
60	86.7%
61	93.3%
62 or over	100.0%

Prorated for intermediate ages computed on the basis of the number of completed calendar months by which the participant is under the age attained at the participant's next birthday.

Schedule SB, Part V — Summary of Plan Provisions**Lump-sum payments**

- **Eligibility** Retired after October 1, 2011 under normal, early, or disability retirement
- **Benefit** A maximum payment of \$700 will be made to retired employees with 30 or more years of credited service. The payment to retirees with less than 30 years of credited service will be \$23.3333 per year of credited service with Allison Transmission, Inc. (with a proportional amount for fractional years). Eligible surviving spouses will receive 65% of the amount payable to retiree. Payments are to be made December 2017, 2018, 2019, 2020, 2021, and 2022.

Deferred vested

- **Eligibility** Vested upon termination.
- **Benefit** Normal Retirement Benefit payable at Normal Retirement Age (reduced for early commencement)

Early retirement factors are as follows

Age	Percentage
55	42.8%
56	46.8%
57	51.2%
58	55.5%
59	59.6%
60	64.0%
61	71.2%
62	78.4%
63	85.6%
64	92.8%
65	100.0%

Prorated for intermediate ages computed on the basis of the number of complete calendar months by which the participant is under the age attained at the participant's next birthday.

Schedule SB, Part V — Summary of Plan Provisions

Disability						
• Eligibility	Disabled after 10 years of service					
• Benefit	Normal Retirement Benefit as of the date of disability payable immediately (without reduction). In addition, a temporary benefit is paid until age 62 and one month based on the temporary multiplier times years of service.					
	8/7/2007 through 9/1/2007	10/1/2007 through 9/1/2008	10/1/2008 through 9/1/2009	10/1/2009 through 9/1/2010	10/1/2010 through 9/1/2011	10/1/2011 and after
Temporary benefit	\$49.80	\$50.80	\$51.00	\$51.20	\$51.40	\$53.45
Pre-retirement death						
• Eligibility	Vested upon Participant's death					
• Benefit prior to early retirement	50% of the Normal Retirement Benefit is paid to the surviving spouse commencing on the first of the month following the month in which the employee would have been eligible to retire at the option of the employee.					
• Benefit after early but before normal retirement	65% of the Normal Retirement Benefit is paid to the surviving spouse commencing on the first of the month following the month in which the employee would have been eligible to retire at the option of the employee.					
Form of benefits						
• Automatic form for unmarried participants	Life annuity					
• Automatic form for married participants	65% joint and survivor annuity					
	Benefit is 95% of the monthly basic benefit if the spouse's age is within 5 years of the participant's age. Such percentage is increased by one half of one percent (1/2%) (up to a maximum of 100%) for each 12 months in excess of 5 years that the spouse's age exceeds the participant's age and decreased by one-half of one percent (1/2%) for each 12 months in excess of 5 years that the spouse's age is less than the participant's age.					
• Optional forms	Contingent Annuitant annuity in any designated percentage (in 5% increments) up to 100%					
• Optional form conversion factors	Fixed factors based on the age difference between the participant and contingent beneficiary are used to convert the accrued benefit to the optional form					
Miscellaneous						
• Maximum benefits	Annual benefits may not exceed the limits in IRC Section 415. This limit is indexed annually. For 2020, the limit is \$230,000.					
• Actuarial equivalence	Based on IRC Section 417(e)(3) interest rates and mortality.					

Schedule SB, Part V — Summary of Plan Provisions**Benefits included or excluded**

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

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

Additional benefits included or excluded

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

Plan Provision Changes Since Prior Valuation

For all purposes, maximum benefit amounts under IRS rules were updated from 2019 to 2020.

ASSET DETAIL REVALUED COST
AS OF SEPTEMBER 30, 2021ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
2,100,000.000	US TREASURY BOND DTD 05/15/18 0.000 05/15/2048 CUSIP 912834TP3 ALLISON TRANS-RYAN LABS	51.4930	1,081,353.00	55.5850 9/30/21	1,167,285.00	85,932.00
2,100,000.000	TOTAL US TREASURY BOND	5/15/48	1,081,353.00		1,167,285.00	85,932.00
700,000.000	US TREASURY BOND DTD 11/15/16 0.000 11/15/2046 CUSIP 912834QV3 ALLISON TRANS-RYAN LABS	66.4880	465,416.00	57.5930 9/30/21	403,151.00	62,265.00-
700,000.000	TOTAL US TREASURY BOND	11/15/46	465,416.00		403,151.00	62,265.00-
5,775,000.000	US TREASURY BOND DTD 11/15/19 0.000 11/15/2049 CUSIP 912834VE5 ALLISON TRANS-RYAN LABS	63.4820	3,666,085.50	54.1760 9/30/21	3,128,664.00	537,421.50-
5,775,000.000	TOTAL US TREASURY BOND	11/15/49	3,666,085.50		3,128,664.00	537,421.50-
150,000.000	US TREASURY BOND DTD 06/01/20 1.125 05/15/2040 CUSIP 912810SR0 ALLISON TRANS-RYAN LABS	98.6090	147,913.50	86.4340 9/30/21	129,651.00	18,262.50-
150,000.000	TOTAL US TREASURY BOND 1.125%	5/15/40	147,913.50		129,651.00	18,262.50-
145,000.000	US TREASURY BOND DTD 05/15/20 1.250 05/15/2050 CUSIP 912810SN9 ALLISON TRANS-RYAN LABS	93.3865	135,410.39	81.8090 9/30/21	118,623.05	16,787.34-
145,000.000	TOTAL US TREASURY BOND 1.250%	5/15/50	135,410.39		118,623.05	16,787.34-

ASSET DETAIL REVALUED COST
 AS OF SEPTEMBER 30, 2021

ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199

PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
1,865,000.000	US TREASURY BOND DTD 08/17/20 1.375 08/15/2050 CUSIP 912810SP4 ALLISON TRANS-RYAN LABS	92.9595	1,733,695.19	84.3830 9/30/21	1,573,742.95	159,952.24-
1,865,000.000	TOTAL US TREASURY BOND 1.375% 8/15/50		1,733,695.19		1,573,742.95	159,952.24-
335,000.000	US TREASURY BOND DTD 11/16/20 1.625 11/15/2050 CUSIP 912810SS8 ALLISON TRANS-RYAN LABS	86.4093	289,471.28	89.8400 9/30/21	300,964.00	11,492.72
335,000.000	TOTAL US TREASURY BOND 1.625% 11/15/50		289,471.28		300,964.00	11,492.72
885,000.000	US TREASURY BOND DTD 08/31/21 1.750 08/15/2041 CUSIP 912810TA6 ALLISON TRANS-RYAN LABS	97.0781	859,141.41	95.5940 9/30/21	846,006.90	13,134.51-
885,000.000	TOTAL US TREASURY BOND 1.750% 8/15/41		859,141.41		846,006.90	13,134.51-
140,000.000	US TREASURY BOND DTD 03/01/21 1.875 02/15/2041 CUSIP 912810SW9 ALLISON TRANS-RYAN LABS	93.8672	131,414.06	97.8130 9/30/21	136,938.20	5,524.14
140,000.000	TOTAL US TREASURY BOND 1.875% 2/15/41		131,414.06		136,938.20	5,524.14
115,000.000	US TREASURY BOND DTD 02/18/20 2.000 02/15/2050 CUSIP 912810SL3 ALLISON TRANS-RYAN LABS	113.4530	130,470.95	98.2420 9/30/21	112,978.30	17,492.65-
115,000.000	TOTAL US TREASURY BOND 2.000% 2/15/50		130,470.95		112,978.30	17,492.65-



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

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ASSET DETAIL REVALUED COST
 AS OF SEPTEMBER 30, 2021

ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199

PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
	US TREASURY BOND DTD 06/01/21 2.250 05/15/2041 CUSIP 912810SY5					
175,000.000	ALLISON TRANS-RYAN LABS	107.5566	188,224.02	103.9840 9/30/21	181,972.00	6,252.02-
175,000.000	TOTAL US TREASURY BOND 2.250% 5/15/41		188,224.02		181,972.00	6,252.02-
	TOTAL US TREASURY NOTES AND BONDS		8,828,595.30		8,099,976.40	728,618.90-
	GOVT STRIPPED AND ZERO-COUPON					
	US TREASURY BOND/NOTE STRIPPED ZERO DTD 11/16/09 11/15/2039 CUSIP 912834EV6					
1,235,000.000	ALLISON TRANS-RYAN LABS	77.5710	958,001.85	68.4690	845,592.15	112,409.70-
3,230,000.000	ALLISON TRANS-RYAN LABS	74.2040	2,396,789.20	64.5400 9/30/21	2,084,642.00	312,147.20-
4,465,000.000	TOTAL US TREAS SEC STRIPPED		3,354,791.05		2,930,234.15	424,556.90-
	US TREASURY BOND STRIPPED ZERO CPN DTD 05/15/14 05/15/2044 CUSIP 912834NP9					
2,000,000.000	ALLISON TRANS-RYAN LABS	69.9380	1,398,760.00	60.7520 9/30/21	1,215,040.00	183,720.00-
2,000,000.000	TOTAL US TREAS SEC STRIPPED 5/15/44		1,398,760.00		1,215,040.00	183,720.00-
	US TREAS SEC STRIPPED ZERO CPN DTD 05/16/16 05/15/2046 CUSIP 912834QH4					
270,000.000	ALLISON TRANS-RYAN LABS	67.1950	181,426.50	58.0630 9/30/21	156,770.10	24,656.40-
270,000.000	TOTAL US TREAS SEC STRIPPED 5/15/46		181,426.50		156,770.10	24,656.40-

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ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
3,800,000.000	US TREAS SEC STRIPPED DTD 08/15/17 08/15/2047 CUSIP 912834RR1 ALLISON TRANS-RYAN LABS	65.4320	2,486,416.00	56.4920 9/30/21	2,146,696.00	339,720.00-
3,800,000.000	TOTAL US TREAS SEC STRIPPED	8/15/47	2,486,416.00		2,146,696.00	339,720.00-
1,680,000.000	US TREASURY BOND STRIPPED ZERO CPN DTD 11/17/14 11/15/2044 CUSIP 912834PB8 ALLISON TRANS-RYAN LABS	69.5330	1,168,154.40	60.0460 9/30/21	1,008,772.80	159,381.60-
1,680,000.000	TOTAL US TREAS SEC STRIPPED	11/15/44	1,168,154.40		1,008,772.80	159,381.60-
2,510,000.000	US TREASURY BOND STRIPPED ZERO CPN DTD 11/16/15 11/15/2045 CUSIP 912834PT9 ALLISON TRANS-RYAN LABS	67.9110	1,704,566.10	58.6310 9/30/21	1,471,638.10	232,928.00-
2,510,000.000	TOTAL US TREAS SEC STRIPPED	11/15/2045	1,704,566.10		1,471,638.10	232,928.00-
3,450,000.000	US TREASURY BOND ZERO CPN DTD 11/15/10 11/15/2040 CUSIP 912834JH2 ALLISON TRANS-RYAN LABS	75.8440	2,616,618.00	66.3870 9/30/21	2,290,351.50	326,266.50-
3,450,000.000	TOTAL US TREASURY BOND	11/15/40	2,616,618.00		2,290,351.50	326,266.50-
3,165,000.000	US TREASURY BOND ZERO CPN DTD 11/15/12 0.000 11/15/2042 CUSIP 912834LX4 ALLISON TRANS-RYAN LABS	73.4880	2,325,895.20	62.8250 9/30/21	1,988,411.25	337,483.95-
3,165,000.000	TOTAL US TREASURY BOND	11/15/42	2,325,895.20		1,988,411.25	337,483.95-
	TOTAL GOVT STRIPPED AND ZERO-COUPON MUNICIPAL TAXABLE BONDS		15,236,627.25		13,207,913.90	2,028,713.35-

ASSET DETAIL REVALUED COST
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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
335,000.000	CALIFORNIA ST BUILD AMERICA BONDS DTD 10/15/09 7.300 10/01/2039 CUSIP 13063A7D0 ALLISON TRANS-RYAN LABS	164.2260	550,157.10	158.0510 9/30/21	529,470.85	20,686.25-
335,000.000	TOTAL CALIFORNIA ST 7.300% 10/01/39		550,157.10		529,470.85	20,686.25-
205,000.000	UNIVERSITY CALIF REVS BUILD AMERICA BONDS DTD 09/30/10 5.946 05/15/2045 CUSIP 91412GDZ5 ALLISON TRANS-RYAN LABS	148.8190	305,078.95	140.8250 9/30/21	288,691.25	16,387.70-
205,000.000	TOTAL UNIVERSITY CALIF REV 5.946% 5/15/45		305,078.95		288,691.25	16,387.70-
	TOTAL MUNICIPAL TAXABLE BONDS		855,236.05		818,162.10	37,073.95-
	CORPORATE BONDS					
305,000.000	ABBVIE INC DTD 05/21/20 3.200 11/21/2029 CUSIP 00287YBX6 ALLISON TRANS-RYAN LABS	107.7420	328,613.10	107.7510 9/30/21	328,640.55	27.45
305,000.000	TOTAL ABBVIE INC 3.200% 11/21/29		328,613.10		328,640.55	27.45
95,000.000	ACE INA HOLDINGS DTD 11/03/15 4.350 11/03/2045 CUSIP 00440EAW7 ALLISON TRANS-RYAN LABS	131.0430	124,490.85	125.7670 9/30/21	119,478.65	5,012.20-
95,000.000	TOTAL ACE INA HOLDINGS 4.350% 11/03/45		124,490.85		119,478.65	5,012.20-

ASSET DETAIL REVALUED COST
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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
210,000.000	AFLAC INC DTD 04/01/20 3.600 04/01/2030 CUSIP 001055BJ0 ALLISON TRANS-RYAN LABS	117.3540	246,443.40	111.8270 9/30/21	234,836.70	11,606.70-
210,000.000	TOTAL AFLAC INC 3.600% 4/01/30		246,443.40		234,836.70	11,606.70-
410,000.000	ALIBABA GROUP HOLDING DTD 05/28/15 3.600 11/28/2024 CUSIP 01609WAQ5 ALLISON TRANS-RYAN LABS	109.8320	450,311.20	107.1370 9/30/21	439,261.70	11,049.50-
410,000.000	TOTAL ALIBABA GROUP HOLDIN 3.600% 11/28/24		450,311.20		439,261.70	11,049.50-
395,000.000	ALLSTATE CORP DTD 12/08/16 4.200 12/15/2046 CUSIP 020002BC4 ALLISON TRANS-RYAN LABS	124.8800	493,276.00	121.8830 9/30/21	481,437.85	11,838.15-
395,000.000	TOTAL ALLSTATE CORP 4.200% 12/15/46		493,276.00		481,437.85	11,838.15-
730,000.000	AMAZON.COM INC DTD 06/03/20 2.500 06/03/2050 CUSIP 023135BT2 ALLISON TRANS-RYAN LABS	100.0359	730,261.85	93.6550 9/30/21	683,681.50	46,580.35-
730,000.000	TOTAL AMAZON.COM INC 2.500% 6/03/50		730,261.85		683,681.50	46,580.35-
775,000.000	AMEREN ILLINOIS CO DTD 11/28/17 3.700 12/01/2047 CUSIP 02361DAR1 ALLISON TRANS-RYAN LABS	117.6690	911,934.75	113.6230 9/30/21	880,578.25	31,356.50-
775,000.000	TOTAL AMEREN ILLINOIS CO 3.700% 12/01/47		911,934.75		880,578.25	31,356.50-

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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
505,000.000	AMERICA MOVIL SAB DE CV DTD 07/16/12 3.125 07/16/2022 CUSIP 02364WBD6 ALLISON TRANS-RYAN LABS	103.8070	524,225.35	102.1000 9/30/21	515,605.00	8,620.35-
505,000.000	TOTAL AMERICA MOVIL SAB DE 3.125% 7/16/22		524,225.35		515,605.00	8,620.35-
130,000.000	AMERICAN HONDA FINANCE MED TERM NOTE DTD 09/10/20 0.650 09/08/2023 CUSIP 02665WDM0 ALLISON TRANS-RYAN LABS	100.0340	130,044.20	100.3830 9/30/21	130,497.90	453.70
130,000.000	TOTAL AMERICAN HONDA FINAN 0.650% 9/08/23		130,044.20		130,497.90	453.70
130,000.000	AMERICAN HONDA FINANCE MED TERM NOTE DTD 09/10/20 1.000 09/10/2025 CUSIP 02665WDN8 ALLISON TRANS-RYAN LABS	99.9930	129,990.90	99.4990 9/30/21	129,348.70	642.20-
130,000.000	TOTAL AMERICAN HONDA FINAN 1.000% 9/10/25		129,990.90		129,348.70	642.20-
315,000.000	AMERICAN INTL GROUP DTD 05/11/20 3.400 06/30/2030 CUSIP 026874DR5 ALLISON TRANS-RYAN LABS	110.7360	348,818.40	109.1190 9/30/21	343,724.85	5,093.55-
315,000.000	TOTAL AMERICAN INTL GROUP 3.400% 6/30/30		348,818.40		343,724.85	5,093.55-
440,000.000	AMERICAN TOWER CORP DTD 10/03/19 2.750 01/15/2027 CUSIP 03027XAX8 ALLISON TRANS-RYAN LABS	107.8740	474,645.60	104.9980 9/30/21	461,991.20	12,654.40-
440,000.000	TOTAL AMERICAN TOWER CORP 2.750% 1/15/27		474,645.60		461,991.20	12,654.40-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
255,000.000	AMERIPRISE FINANCIAL INC DTD 08/11/16 2.875 09/15/2026 CUSIP 03076CAH9	109.8510	280,120.05	106.9050 9/30/21	272,607.75	7,512.30-
255,000.000	ALLISON TRANS-RYAN LABS					
255,000.000	TOTAL AMERIPRISE FINANCIAL 2.875% 9/15/26		280,120.05		272,607.75	7,512.30-
330,000.000	ANHEUSER-BUSCH INBEV WOR DTD 01/23/19 4.750 01/23/2029 CUSIP 035240AQ3	117.6060	388,099.80	117.7280 9/30/21	388,502.40	402.60
330,000.000	ALLISON TRANS-RYAN LABS					
330,000.000	TOTAL ANHEUSER-BUSCH INBEV 4.750% 1/23/29		388,099.80		388,502.40	402.60
390,000.000	ANTHEM INC DTD 11/21/17 3.650 12/01/2027 CUSIP 036752AB9	113.9450	444,385.50	111.0870 9/30/21	433,239.30	11,146.20-
390,000.000	ALLISON TRANS-RYAN LABS					
390,000.000	TOTAL ANTHEM INC 3.650% 12/01/27		444,385.50		433,239.30	11,146.20-
470,000.000	APPLE INC DTD 09/12/17 3.750 09/12/2047 CUSIP 037833DD9	123.5310	580,595.70	115.6180 9/30/21	543,404.60	37,191.10-
470,000.000	ALLISON TRANS-RYAN LABS					
470,000.000	TOTAL APPLE INC 3.750% 9/12/47		580,595.70		543,404.60	37,191.10-
940,000.000	APPLE INC DTD 05/13/15 4.375 05/13/2045 CUSIP 037833BH2	131.8147	1,239,058.40	125.9860 9/30/21	1,184,268.40	54,790.00-
940,000.000	ALLISON TRANS-RYAN LABS					
940,000.000	TOTAL APPLE INC 4.375% 5/13/45		1,239,058.40		1,184,268.40	54,790.00-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
190,000.000	AT&T INC DTD 08/04/20 1.650 02/01/2028 CUSIP 00206RKG6 ALLISON TRANS-RYAN LABS	100.1890	190,359.10	99.1990 9/30/21	188,478.10	1,881.00-
190,000.000	TOTAL AT&T INC 1.650% 2/01/28		190,359.10		188,478.10	1,881.00-
95,000.000	AT&T INC DTD 02/19/19 4.350 03/01/2029 CUSIP 00206RHJ4 ALLISON TRANS-RYAN LABS	116.9720	111,123.40	114.6620 9/30/21	108,928.90	2,194.50-
95,000.000	TOTAL AT&T INC 4.350% 3/01/29		111,123.40		108,928.90	2,194.50-
265,000.000	AVALONBAY COMMUNITIES DTD 02/25/20 2.300 03/01/2030 CUSIP 05348EBG3 ALLISON TRANS-RYAN LABS	105.7690	280,287.85	101.5190 9/30/21	269,025.35	11,262.50-
265,000.000	TOTAL AVALONBAY COMMUNITIE 2.300% 3/01/30		280,287.85		269,025.35	11,262.50-
425,000.000	BANCO SANTANDER SA DTD 04/12/18 3.848 04/12/2023 CUSIP 05964HAG0 ALLISON TRANS-RYAN LABS	106.7610	453,734.25	105.0140 9/30/21	446,309.50	7,424.75-
425,000.000	TOTAL BANCO SANTANDER SA 3.848% 4/12/23		453,734.25		446,309.50	7,424.75-
450,000.000	BARCLAYS PLC DTD 12/10/20 1.007 12/10/2024 CUSIP 06738EBQ7 ALLISON TRANS-RYAN LABS	100.1480	450,666.00	100.4600 9/30/21	452,070.00	1,404.00
450,000.000	TOTAL BARCLAYS PLC 1.007% 12/10/24		450,666.00		452,070.00	1,404.00

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
485,000.000	BERKSHIRE HATHAWAY ENERG DTD 12/04/14 3.500 02/01/2025 CUSIP 084659AD3	111.2960	539,785.60	107.4050 9/30/21	520,914.25	18,871.35-
485,000.000	ALLISON TRANS-RYAN LABS					
485,000.000	TOTAL BERKSHIRE HATHAWAY 3.500% 2/01/25		539,785.60		520,914.25	18,871.35-
385,000.000	BERKSHIRE HATHAWAY FIN DTD 05/15/13 4.300 05/15/2043 CUSIP 084664BV2	129.9520	500,315.20	121.5350 9/30/21	467,909.75	32,405.45-
385,000.000	ALLISON TRANS-RYAN LABS					
385,000.000	TOTAL BERKSHIRE HATHAWAY 4.300% 5/15/43		500,315.20		467,909.75	32,405.45-
380,000.000	BOEING CO DEB DTD 07/07/93 7.2500 06/15/2025 CUSIP 097023AM7	119.4230	453,807.40	119.0830 9/30/21	452,515.40	1,292.00-
380,000.000	ALLISON TRANS-RYAN LABS					
380,000.000	TOTAL BOEING CO DEB DTD 7.250% 6/15/25		453,807.40		452,515.40	1,292.00-
290,000.000	BP CAP MARKETS AMERICA DTD 12/04/20 2.939 06/04/2051 CUSIP 103730BP4	90.2030	261,588.70	94.5500 9/30/21	274,195.00	12,606.30
290,000.000	ALLISON TRANS-RYAN LABS					
290,000.000	TOTAL BP CAP MARKETS AMERI 2.939% 6/04/51		261,588.70		274,195.00	12,606.30
400,000.000	BP CAP MARKETS AMERICA DTD 11/04/18 3.119 05/04/2026 CUSIP 103730AT7	110.4000	441,600.00	108.1360 9/30/21	432,544.00	9,056.00-
400,000.000	ALLISON TRANS-RYAN LABS					
400,000.000	TOTAL BP CAP MARKETS AMERI 3.119% 5/04/26		441,600.00		432,544.00	9,056.00-



Allison Transmission Hourly-Rate Employees Pension Plan (EIN/PN: 26-0413897/004)
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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
375,000.000	BURLINGTN NORTH SANTA FE DTD 08/22/13 5.150 09/01/2043 CUSIP 12189LAP6	136.3235	511,213.00	135.0810 9/30/21	506,553.75	4,659.25-
375,000.000	TOTAL BURLINGTN NORTH SANT 5.150% 9/01/43		511,213.00		506,553.75	4,659.25-
470,000.000	CANADIAN NATL RAILWAY DTD 05/01/20 2.450 05/01/2050 CUSIP 136375CZ3	99.4450	467,391.50	91.8900 9/30/21	431,883.00	35,508.50-
470,000.000	TOTAL CANADIAN NATL RAILWA 2.450% 5/01/50		467,391.50		431,883.00	35,508.50-
245,000.000	CENTERPOINT ENERGY RES DTD 10/01/20 1.750 10/01/2030 CUSIP 15189YAF3	93.4090	228,852.05	96.0660 9/30/21	235,361.70	6,509.65
245,000.000	TOTAL CENTERPOINT ENERGY 1.750% 10/01/30		228,852.05		235,361.70	6,509.65
295,000.000	CHARLES SCHWAB CORP DTD 05/22/18 3.850 05/21/2025 CUSIP 808513AX3	113.2410	334,060.95	109.4420 9/30/21	322,853.90	11,207.05-
295,000.000	TOTAL CHARLES SCHWAB CORP 3.850% 5/21/25		334,060.95		322,853.90	11,207.05-
285,000.000	CIGNA CORP DTD 03/16/20 2.400 03/15/2030 CUSIP 125523CL2	103.7120	295,579.20	101.6590 9/30/21	289,728.15	5,851.05-
285,000.000	TOTAL CIGNA CORP 2.400% 3/15/30		295,579.20		289,728.15	5,851.05-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
125,000.000	CISCO SYSTEMS INC DTD 11/17/09 5.500 01/15/2040 CUSIP 17275RAF9 ALLISON TRANS-RYAN LABS	144.0090	180,011.25	139.7480 9/30/21	174,685.00	5,326.25-
125,000.000	TOTAL CISCO SYSTEMS INC 5.500% 1/15/40		180,011.25		174,685.00	5,326.25-
355,000.000	COMCAST CORP DTD 07/19/16 2.350 01/15/2027 CUSIP 20030NBW0 ALLISON TRANS-RYAN LABS	107.2810	380,847.55	104.8860 9/30/21	372,345.30	8,502.25-
355,000.000	TOTAL COMCAST CORP 2.350% 1/15/27		380,847.55		372,345.30	8,502.25-
220,000.000	COMCAST CORP DTD 07/19/16 3.400 07/15/2046 CUSIP 20030NBU4 ALLISON TRANS-RYAN LABS	108.7370	239,221.40	106.0520 9/30/21	233,314.40	5,907.00-
220,000.000	TOTAL COMCAST CORP 3.400% 7/15/46		239,221.40		233,314.40	5,907.00-
567,000.000	COMCAST CORP DTD 01/14/13 4.250 01/15/2033 CUSIP 20030NBH3 ALLISON TRANS-RYAN LABS	124.2510	704,503.17	116.8970 9/30/21	662,805.99	41,697.18-
567,000.000	TOTAL COMCAST CORP 4.250% 1/15/33		704,503.17		662,805.99	41,697.18-
145,000.000	COMMONWEALTH EDISON CO DTD 11/12/19 3.200 11/15/2049 CUSIP 202795JQ4 ALLISON TRANS-RYAN LABS	109.4030	158,634.35	103.1870 9/30/21	149,621.15	9,013.20-
145,000.000	TOTAL COMMONWEALTH EDISON 3.200% 11/15/49		158,634.35		149,621.15	9,013.20-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
510,000.000	COMMONWEALTH EDISON CO DTD 03/02/15 3.700 03/01/2045 CUSIP 202795JF8	116.0730	591,972.30	112.6940 9/30/21	574,739.40	17,232.90-
510,000.000	TOTAL COMMONWEALTH EDISON 3.700% 3/01/45		591,972.30		574,739.40	17,232.90-
185,000.000	CONAGRA BRANDS INC DTD 10/16/20 1.375 11/01/2027 CUSIP 205887CF7	99.6700	184,389.50	97.3950 9/30/21	180,180.75	4,208.75-
185,000.000	TOTAL CONAGRA BRANDS INC 1.375% 11/01/27		184,389.50		180,180.75	4,208.75-
330,000.000	CONOCO INC DTD 04/20/99 6.950 04/15/2029 CUSIP 208251AE8	138.8590	458,234.70	133.5950 9/30/21	440,863.50	17,371.20-
330,000.000	TOTAL CONOCO INC 6.950% 4/15/29		458,234.70		440,863.50	17,371.20-
520,000.000	CONS EDISON CO OF NY DTD 03/06/14 4.450 03/15/2044 CUSIP 209111FD0	124.0260	644,935.20	120.2590 9/30/21	625,346.80	19,588.40-
520,000.000	TOTAL CONS EDISON CO OF NY 4.450% 3/15/44		644,935.20		625,346.80	19,588.40-
465,000.000	CONSUMERS ENERGY CO DTD 09/03/19 3.100 08/15/2050 CUSIP 210518DF0	102.9367	478,655.80	103.3120 9/30/21	480,400.80	1,745.00
465,000.000	TOTAL CONSUMERS ENERGY CO 3.100% 8/15/50		478,655.80		480,400.80	1,745.00

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
235,000.000	CVS HEALTH CORP DTD 08/21/20 1.750 08/21/2030 CUSIP 126650DN7 ALLISON TRANS-RYAN LABS	97.7240	229,651.40	95.8520 9/30/21	225,252.20	4,399.20-
235,000.000	TOTAL CVS HEALTH CORP 1.750% 8/21/30		229,651.40		225,252.20	4,399.20-
445,000.000	CVS HEALTH CORP DTD 08/15/19 3.000 08/15/2026 CUSIP 126650DF4 ALLISON TRANS-RYAN LABS	109.4850	487,208.25	107.3600 9/30/21	477,752.00	9,456.25-
445,000.000	TOTAL CVS HEALTH CORP 3.000% 8/15/26		487,208.25		477,752.00	9,456.25-
240,000.000	DEERE & COMPANY DTD 03/30/20 3.100 04/15/2030 CUSIP 244199BJ3 ALLISON TRANS-RYAN LABS	111.0380	266,491.20	108.7760 9/30/21	261,062.40	5,428.80-
240,000.000	TOTAL DEERE & COMPANY 3.100% 4/15/30		266,491.20		261,062.40	5,428.80-
395,000.000	DOWDUPONT INC DTD 11/28/18 4.493 11/15/2025 CUSIP 26078JAC4 ALLISON TRANS-RYAN LABS	115.2660	455,300.70	112.4420 9/30/21	444,145.90	11,154.80-
395,000.000	TOTAL DOWDUPONT INC 4.493% 11/15/25		455,300.70		444,145.90	11,154.80-
640,000.000	DTE ELECTRIC CO DTD 02/26/20 2.950 03/01/2050 CUSIP 23338VAL0 ALLISON TRANS-RYAN LABS	105.4950	675,168.00	100.1890 9/30/21	641,209.60	33,958.40-
640,000.000	TOTAL DTE ELECTRIC CO 2.950% 3/01/50		675,168.00		641,209.60	33,958.40-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
615,000.000	DUKE ENERGY INDIANA LLC DTD 05/12/16 3.750 05/15/2046 CUSIP 26443TAA4 ALLISON TRANS-RYAN LABS	117.4937	722,586.15	110.9050 9/30/21	682,065.75	40,520.40-
615,000.000	TOTAL DUKE ENERGY INDIANA 3.750% 5/15/46		722,586.15		682,065.75	40,520.40-
235,000.000	ELI LILLY & CO DTD 05/05/20 2.250 05/15/2050 CUSIP 532457BY3 ALLISON TRANS-RYAN LABS	94.2240	221,426.40	90.4000 9/30/21	212,440.00	8,986.40-
235,000.000	TOTAL ELI LILLY & CO 2.250% 5/15/50		221,426.40		212,440.00	8,986.40-
300,000.000	EQUINOR ASA DTD 11/18/19 3.250 11/18/2049 CUSIP 29446MAC6 ALLISON TRANS-RYAN LABS	106.0410	318,123.00	105.9630 9/30/21	317,889.00	234.00-
300,000.000	TOTAL EQUINOR ASA 3.250% 11/18/49		318,123.00		317,889.00	234.00-
365,000.000	EXXON MOBIL CORPORATION DTD 08/16/19 2.440 08/16/2029 CUSIP 30231GBE1 ALLISON TRANS-RYAN LABS	107.3820	391,944.30	104.2940 9/30/21	380,673.10	11,271.20-
365,000.000	TOTAL EXXON MOBIL CORPORAT 2.440% 8/16/29		391,944.30		380,673.10	11,271.20-
150,000.000	FIFTH THIRD BANCORP DTD 11/20/13 4.300 01/16/2024 CUSIP 316773CP3 ALLISON TRANS-RYAN LABS	110.3230	165,484.50	107.4990 9/30/21	161,248.50	4,236.00-
150,000.000	TOTAL FIFTH THIRD BANCORP 4.300% 1/16/24		165,484.50		161,248.50	4,236.00-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
365,000.000	FLORIDA POWER & LIGHT DTD 12/09/10 5.250 02/01/2041 CUSIP 341081FD4 ALLISON TRANS-RYAN LABS	139.4690	509,061.85	135.2370 9/30/21	493,615.05	15,446.80-
365,000.000	TOTAL FLORIDA POWER & LIGH 5.250% 2/01/41		509,061.85		493,615.05	15,446.80-
615,000.000	FRANKLIN RESOURCES INC DTD 10/19/20 1.600 10/30/2030 CUSIP 354613AL5 ALLISON TRANS-RYAN LABS	96.6717	594,531.15	95.1730 9/30/21	585,313.95	9,217.20-
615,000.000	TOTAL FRANKLIN RESOURCES 1.600% 10/30/30		594,531.15		585,313.95	9,217.20-
180,000.000	GENERAL DYNAMICS CORP DTD 03/25/20 4.250 04/01/2040 CUSIP 369550BH0 ALLISON TRANS-RYAN LABS	125.8120	226,461.60	121.8820 9/30/21	219,387.60	7,074.00-
180,000.000	TOTAL GENERAL DYNAMICS COR 4.250% 4/01/40		226,461.60		219,387.60	7,074.00-
445,000.000	GEORGIA POWER COMPANY DTD 03/06/12 4.300 03/15/2042 CUSIP 373334JW2 ALLISON TRANS-RYAN LABS	119.6920	532,629.40	116.5900 9/30/21	518,825.50	13,803.90-
445,000.000	TOTAL GEORGIA POWER COMPAN 4.300% 3/15/42		532,629.40		518,825.50	13,803.90-
425,000.000	GILEAD SCIENCES INC DTD 09/20/16 4.000 09/01/2036 CUSIP 375558BJ1 ALLISON TRANS-RYAN LABS	121.2581	515,347.00	115.0050 9/30/21	488,771.25	26,575.75-
425,000.000	TOTAL GILEAD SCIENCES INC 4.000% 9/01/36		515,347.00		488,771.25	26,575.75-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
630,000.000	HOME DEPOT INC DTD 12/06/18 4.500 12/06/2048 CUSIP 437076BX9 ALLISON TRANS-RYAN LABS	132.1206	832,359.50	128.2980 9/30/21	808,277.40	24,082.10-
630,000.000	TOTAL HOME DEPOT INC 4.500% 12/06/48		832,359.50		808,277.40	24,082.10-
500,000.000	HSBC HOLDINGS PLC DTD 11/23/16 4.375 11/23/2026 CUSIP 404280BH1 ALLISON TRANS-RYAN LABS	112.7300	563,650.00	111.4580 9/30/21	557,290.00	6,360.00-
500,000.000	TOTAL HSBC HOLDINGS PLC 4.375% 11/23/26		563,650.00		557,290.00	6,360.00-
660,000.000	INTEL CORP DTD 06/08/18 3.734 12/08/2047 CUSIP 458140BG4 ALLISON TRANS-RYAN LABS	119.4230	788,191.80	111.5580 9/30/21	736,282.80	51,909.00-
660,000.000	TOTAL INTEL CORP 3.734% 12/08/47		788,191.80		736,282.80	51,909.00-
480,000.000	INTERCONTINENTALEXCHANGE DTD 08/20/20 2.650 09/15/2040 CUSIP 45866FAP9 ALLISON TRANS-RYAN LABS	98.9077	474,757.05	95.8180 9/30/21	459,926.40	14,830.65-
480,000.000	TOTAL INTERCONTINENTALEXCH 2.650% 9/15/40		474,757.05		459,926.40	14,830.65-
360,000.000	JOHN DEERE CAPITAL CORP DTD 07/18/19 2.800 07/18/2029 CUSIP 24422EUY3 ALLISON TRANS-RYAN LABS	111.6390	401,900.40	107.1980 9/30/21	385,912.80	15,987.60-
360,000.000	TOTAL JOHN DEERE CAPITAL 2.800% 7/18/29		401,900.40		385,912.80	15,987.60-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
220,000.000	JOHNSON & JOHNSON DTD 08/25/20 2.100 09/01/2040 CUSIP 478160CR3 ALLISON TRANS-RYAN LABS	99.8400	219,648.00	94.0210 9/30/21	206,846.20	12,801.80-
220,000.000	TOTAL JOHNSON & JOHNSON 2.100% 9/01/40		219,648.00		206,846.20	12,801.80-
415,000.000	JOHNSON & JOHNSON DTD 11/10/17 3.500 01/15/2048 CUSIP 478160CM4 ALLISON TRANS-RYAN LABS	123.8430	513,948.45	116.1170 9/30/21	481,885.55	32,062.90-
415,000.000	TOTAL JOHNSON & JOHNSON 3.500% 1/15/48		513,948.45		481,885.55	32,062.90-
225,000.000	JOHNSON & JOHNSON DTD 12/05/13 4.375 12/05/2033 CUSIP 478160BJ2 ALLISON TRANS-RYAN LABS	130.7240	294,129.00	123.0140 9/30/21	276,781.50	17,347.50-
225,000.000	TOTAL JOHNSON & JOHNSON 4.375% 12/05/33		294,129.00		276,781.50	17,347.50-
700,000.000	JPMORGAN CHASE & CO DTD 07/21/15 3.900 07/15/2025 CUSIP 46625HMN7 ALLISON TRANS-RYAN LABS	113.1130	791,791.00	109.3470 9/30/21	765,429.00	26,362.00-
700,000.000	TOTAL JPMORGAN CHASE & CO 3.900% 7/15/25		791,791.00		765,429.00	26,362.00-
245,000.000	KIMBERLY-CLARK CORP DTD 05/04/17 3.900 05/04/2047 CUSIP 494368BW2 ALLISON TRANS-RYAN LABS	128.4160	314,619.20	119.8130 9/30/21	293,541.85	21,077.35-
245,000.000	TOTAL KIMBERLY-CLARK CORP 3.900% 5/04/47		314,619.20		293,541.85	21,077.35-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
355,000.000	KIMCO REALTY CORP DTD 08/18/16 2.800 10/01/2026 CUSIP 49446RAP4	106.8280	379,239.40	106.0650 9/30/21	376,530.75	2,708.65-
355,000.000	ALLISON TRANS-RYAN LABS					
355,000.000	TOTAL KIMCO REALTY CORP 2.800% 10/01/26		379,239.40		376,530.75	2,708.65-
425,000.000	KINDER MORGAN ENER PART DTD 08/05/13 4.150 02/01/2024 CUSIP 494550BS4	109.4250	465,056.25	106.9560 9/30/21	454,563.00	10,493.25-
425,000.000	ALLISON TRANS-RYAN LABS					
425,000.000	TOTAL KINDER MORGAN ENER 4.150% 2/01/24		465,056.25		454,563.00	10,493.25-
425,000.000	KINDER MORGAN ENER PART DTD 09/11/14 4.250 09/01/2024 CUSIP 494550BV7	109.6980	466,216.50	108.7850 9/30/21	462,336.25	3,880.25-
425,000.000	ALLISON TRANS-RYAN LABS					
425,000.000	TOTAL KINDER MORGAN ENER 4.250% 9/01/24		466,216.50		462,336.25	3,880.25-
335,000.000	LLOYDS BANKING GROUP PLC DTD 08/16/18 4.050 08/16/2023 CUSIP 539439AS8	108.2180	362,530.30	106.4690 9/30/21	356,671.15	5,859.15-
335,000.000	ALLISON TRANS-RYAN LABS					
335,000.000	TOTAL LLOYDS BANKING GROUP 4.050% 8/16/23		362,530.30		356,671.15	5,859.15-
230,000.000	LOCKHEED MARTIN CORP DTD 02/20/15 3.800 03/01/2045 CUSIP 539830BD0	118.5270	272,612.10	115.9950 9/30/21	266,788.50	5,823.60-
230,000.000	ALLISON TRANS-RYAN LABS					
230,000.000	TOTAL LOCKHEED MARTIN CORP 3.800% 3/01/45		272,612.10		266,788.50	5,823.60-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
480,000.000	LOEWS CORP DTD 03/22/16 3.750 04/01/2026 CUSIP 540424AS7 ALLISON TRANS-RYAN LABS	114.0240	547,315.20	110.2500 9/30/21	529,200.00	18,115.20-
480,000.000	TOTAL LOEWS CORP 3.750% 4/01/26		547,315.20		529,200.00	18,115.20-
160,000.000	LOWE'S COS INC DTD 10/22/20 1.700 10/15/2030 CUSIP 548661DY0 ALLISON TRANS-RYAN LABS	99.6990	159,518.40	95.6080 9/30/21	152,972.80	6,545.60-
160,000.000	TOTAL LOWE'S COS INC 1.700% 10/15/30		159,518.40		152,972.80	6,545.60-
235,000.000	LOWE'S COS INC DTD 03/26/20 4.500 04/15/2030 CUSIP 548661DU8 ALLISON TRANS-RYAN LABS	124.0560	291,531.60	117.2240 9/30/21	275,476.40	16,055.20-
235,000.000	TOTAL LOWE'S COS INC 4.500% 4/15/30		291,531.60		275,476.40	16,055.20-
345,000.000	MANUF & TRADERS TRUST CO DTD 08/17/17 3.400 08/17/2027 CUSIP 55279HAQ3 ALLISON TRANS-RYAN LABS	111.8930	386,030.85	109.4760 9/30/21	377,692.20	8,338.65-
345,000.000	TOTAL MANUF & TRADERS TRUS 3.400% 8/17/27		386,030.85		377,692.20	8,338.65-
500,000.000	MARATHON PETROLEUM CORP DTD 10/02/18 4.750 12/15/2023 CUSIP 56585ABA9 ALLISON TRANS-RYAN LABS	109.6010	548,005.00	108.0990 9/30/21	540,495.00	7,510.00-
500,000.000	TOTAL MARATHON PETROLEUM 4.750% 12/15/23		548,005.00		540,495.00	7,510.00-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
685,000.000	MASTERCARD INC DTD 05/31/19 3.650 06/01/2049 CUSIP 576360AL8 ALLISON TRANS-RYAN LABS	120.5837	825,998.40	115.2500 9/30/21	789,462.50	36,535.90-
685,000.000	TOTAL MASTERCARD INC 3.650% 6/01/49		825,998.40		789,462.50	36,535.90-
386,000.000	MEDTRONIC INC DTD 03/15/15 4.375 03/15/2035 CUSIP 585055BT2 ALLISON TRANS-RYAN LABS	130.5542	503,939.06	122.9440 9/30/21	474,563.84	29,375.22-
386,000.000	TOTAL MEDTRONIC INC 4.375% 3/15/35		503,939.06		474,563.84	29,375.22-
285,000.000	MERCK & CO INC DTD 06/24/20 2.450 06/24/2050 CUSIP 58933YBB0 ALLISON TRANS-RYAN LABS	97.6139	278,199.60	93.1350 9/30/21	265,434.75	12,764.85-
285,000.000	TOTAL MERCK & CO INC 2.450% 6/24/50		278,199.60		265,434.75	12,764.85-
495,000.000	MICROSOFT CORP DTD 06/01/20 2.525 06/01/2050 CUSIP 594918CC6 ALLISON TRANS-RYAN LABS	98.9552	489,828.10	96.2260 9/30/21	476,318.70	13,509.40-
495,000.000	TOTAL MICROSOFT CORP 2.525% 6/01/50		489,828.10		476,318.70	13,509.40-
435,000.000	MICROSOFT CORP DTD 03/17/21 2.921 03/17/2052 CUSIP 594918CE2 ALLISON TRANS-RYAN LABS	96.5550	420,014.25	103.3800 9/30/21	449,703.00	29,688.75
435,000.000	TOTAL MICROSOFT CORP 2.921% 3/17/52		420,014.25		449,703.00	29,688.75

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355,000.000	MIDAMERICAN ENERGY CO DTD 09/19/13 4.800 09/15/2043 CUSIP 595620AL9	134.0270	475,795.85	128.7430 9/30/21	457,037.65	18,758.20-
355,000.000	ALLISON TRANS-RYAN LABS					
355,000.000	TOTAL MIDAMERICAN ENERGY 4.800% 9/15/43		475,795.85		457,037.65	18,758.20-
455,000.000	ALLISON TRANS-RYAN LABS	104.7360	476,548.80	103.4370 9/30/21	470,638.35	5,910.45-
455,000.000	MITSUBISHI UFJ FIN GRP DTD 02/25/20 2.193 02/25/2025 CUSIP 606822BN3					
455,000.000	TOTAL MITSUBISHI UFJ FIN 2.193% 2/25/25		476,548.80		470,638.35	5,910.45-
665,000.000	NATIONAL RURAL UTIL COOP DTD 04/25/17 3.050 04/25/2027 CUSIP 637432NN1	111.5470	741,787.55	107.8070 9/30/21	716,916.55	24,871.00-
665,000.000	ALLISON TRANS-RYAN LABS					
665,000.000	TOTAL NATIONAL RURAL UTIL 3.050% 4/25/27		741,787.55		716,916.55	24,871.00-
415,000.000	ONCOR ELECTRIC DELIVERY DTD 05/23/19 3.800 06/01/2049 CUSIP 68233JBP8	121.6860	504,996.90	116.9390 9/30/21	485,296.85	19,700.05-
415,000.000	ALLISON TRANS-RYAN LABS					
415,000.000	TOTAL ONCOR ELECTRIC DELIV 3.800% 6/01/49		504,996.90		485,296.85	19,700.05-
695,000.000	ORACLE CORP DTD 11/09/17 3.800 11/15/2037 CUSIP 68389XBP9	117.3210	815,380.95	107.9130 9/30/21	749,995.35	65,385.60-
695,000.000	ALLISON TRANS-RYAN LABS					
695,000.000	TOTAL ORACLE CORP 3.800% 11/15/37		815,380.95		749,995.35	65,385.60-

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180,000.000	ORACLE CORP DTD 04/09/08 6.500 04/15/2038 CUSIP 68389XAE5 ALLISON TRANS-RYAN LABS	156.0850	280,953.00	139.2610 9/30/21	250,669.80	30,283.20-
180,000.000	TOTAL ORACLE CORP 6.500% 4/15/38		280,953.00		250,669.80	30,283.20-
305,000.000	PACIFICORP DTD 10/03/07 6.250 10/15/2037 CUSIP 695114CG1 ALLISON TRANS-RYAN LABS	145.0050	442,265.25	141.1730 9/30/21	430,577.65	11,687.60-
305,000.000	TOTAL PACIFICORP 6.250% 10/15/37		442,265.25		430,577.65	11,687.60-
400,000.000	PEPSICO INC DTD 10/14/15 4.450 04/14/2046 CUSIP 713448DD7 ALLISON TRANS-RYAN LABS	133.1050	532,420.00	126.4020 9/30/21	505,608.00	26,812.00-
400,000.000	TOTAL PEPSICO INC 4.450% 4/14/46		532,420.00		505,608.00	26,812.00-
555,000.000	PFIZER INC DTD 03/11/19 4.000 03/15/2049 CUSIP 717081EV1 ALLISON TRANS-RYAN LABS	127.1820	705,860.10	120.9850 9/30/21	671,466.75	34,393.35-
555,000.000	TOTAL PFIZER INC 4.000% 3/15/49		705,860.10		671,466.75	34,393.35-
435,000.000	PNC BANK NA DTD 07/26/18 4.050 07/26/2028 CUSIP 69349LAR9 ALLISON TRANS-RYAN LABS	116.9340	508,662.90	113.9210 9/30/21	495,556.35	13,106.55-
435,000.000	TOTAL PNC BANK NA 4.050% 7/26/28		508,662.90		495,556.35	13,106.55-



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

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ASSET DETAIL REVALUED COST
AS OF SEPTEMBER 30, 2021

ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
355,000.000	PPL ELECTRIC UTILITIES DTD 07/11/13 4.750 07/15/2043 CUSIP 69351UAR4 ALLISON TRANS-RYAN LABS	133.5650	474,155.75	128.5980 9/30/21	456,522.90	17,632.85-
355,000.000	TOTAL PPL ELECTRIC UTILITI 4.750% 7/15/43		474,155.75		456,522.90	17,632.85-
185,000.000	PRINCETON UNIVERSITY DTD 06/15/20 2.516 07/01/2050 CUSIP 89837LAG0 ALLISON TRANS-RYAN LABS	104.0420	192,477.70	98.7680 9/30/21	182,720.80	9,756.90-
185,000.000	TOTAL PRINCETON UNIVERSITY 2.516% 7/01/50		192,477.70		182,720.80	9,756.90-
405,000.000	PROLOGIS LP DTD 02/18/20 2.250 04/15/2030 CUSIP 74340XBM2 ALLISON TRANS-RYAN LABS	106.2880	430,466.40	101.7960 9/30/21	412,273.80	18,192.60-
405,000.000	TOTAL PROLOGIS LP 2.250% 4/15/30		430,466.40		412,273.80	18,192.60-
275,000.000	PRUDENTIAL FINANCIAL INC DTD 03/10/20 3.000 03/10/2040 CUSIP 74432QCJ2 ALLISON TRANS-RYAN LABS	107.2580	294,959.50	102.8630 9/30/21	282,873.25	12,086.25-
275,000.000	TOTAL PRUDENTIAL FINANCIAL 3.000% 3/10/40		294,959.50		282,873.25	12,086.25-
775,000.000	PUBLIC SERVICE ELECTRIC MED TERM NOTE DTD 05/04/18 3.700 05/01/2028 CUSIP 74456QBU9 ALLISON TRANS-RYAN LABS	117.0890	907,439.75	111.9170 9/30/21	867,356.75	40,083.00-
775,000.000	TOTAL PUBLIC SERVICE ELECT 3.700% 5/01/28		907,439.75		867,356.75	40,083.00-

ASSET DETAIL REVALUED COST
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ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199

PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
180,000.000	RAYTHEON TECH CORP DTD 10/15/20 4.875 10/15/2040 CUSIP 75513ECA7	131.6295	236,933.10	128.0810 9/30/21	230,545.80	6,387.30-
180,000.000	TOTAL RAYTHEON TECH CORP 4.875% 10/15/40		236,933.10		230,545.80	6,387.30-
365,000.000	SIMON PROPERTY GROUP LP DTD 06/01/17 3.375 06/15/2027 CUSIP 828807DC8	107.2160	391,338.40	109.1930 9/30/21	398,554.45	7,216.05
365,000.000	TOTAL SIMON PROPERTY GROUP 3.375% 6/15/27		391,338.40		398,554.45	7,216.05
190,000.000	SOUTHERN CAL EDISON DTD 10/02/13 4.650 10/01/2043 CUSIP 842400FZ1	115.4330	219,322.70	115.4000 9/30/21	219,260.00	62.70-
190,000.000	TOTAL SOUTHERN CAL EDISON 4.650% 10/01/43		219,322.70		219,260.00	62.70-
335,000.000	SOUTHWESTERN PUBLIC SERV DTD 11/05/18 4.400 11/15/2048 CUSIP 845743BS1	128.1080	429,161.80	124.8720 9/30/21	418,321.20	10,840.60-
335,000.000	TOTAL SOUTHWESTERN PUBLIC 4.400% 11/15/48		429,161.80		418,321.20	10,840.60-
440,000.000	SOUTHWESTERN PUBLIC SERV DTD 08/10/11 4.500 08/15/2041 CUSIP 845743BN2	125.8420	553,704.80	121.8030 9/30/21	535,933.20	17,771.60-
440,000.000	TOTAL SOUTHWESTERN PUBLIC 4.500% 8/15/41		553,704.80		535,933.20	17,771.60-



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ALLISON HOURLY CONSOLIDATED
ACCOUNT NUMBER 22831199

PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
385,000.000	SPECTRA ENERGY PARTNERS DTD 09/25/13 4.750 03/15/2024 CUSIP 84756NAD1 ALLISON TRANS-RYAN LABS	111.3640	428,751.40	108.6680 9/30/21	418,371.80	10,379.60-
385,000.000	TOTAL SPECTRA ENERGY PARTN 4.750% 3/15/24		428,751.40		418,371.80	10,379.60-
435,000.000	STATE STREET CORP DTD 01/24/20 2.400 01/24/2030 CUSIP 857477BG7 ALLISON TRANS-RYAN LABS	109.5210	476,416.35	103.7570 9/30/21	451,342.95	25,073.40-
435,000.000	TOTAL STATE STREET CORP 2.400% 1/24/30		476,416.35		451,342.95	25,073.40-
350,000.000	STATOIL ASA DTD 05/15/13 3.950 05/15/2043 CUSIP 85771PAL6 ALLISON TRANS-RYAN LABS	116.3560	407,246.00	115.0840 9/30/21	402,794.00	4,452.00-
350,000.000	TOTAL STATOIL ASA 3.950% 5/15/43		407,246.00		402,794.00	4,452.00-
600,000.000	SUNOCO LOGISTICS PARTNER DTD 07/12/16 3.900 07/15/2026 CUSIP 86765BAT6 ALLISON TRANS-RYAN LABS	109.2969	655,781.25	109.1740 9/30/21	655,044.00	737.25-
600,000.000	TOTAL SUNOCO LOGISTICS PAR 3.900% 7/15/26		655,781.25		655,044.00	737.25-
405,000.000	TELEFONICA EMISIONES SAU DTD 03/08/17 4.103 03/08/2027 CUSIP 87938WAT0 ALLISON TRANS-RYAN LABS	115.2282	466,674.35	112.3480 9/30/21	455,009.40	11,664.95-
405,000.000	TOTAL TELEFONICA EMISIONES 4.103% 3/08/27		466,674.35		455,009.40	11,664.95-

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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
280,000.000	TOTAL CAPITAL INTL SA DTD 07/10/19 2.829 01/10/2030 CUSIP 89153VAT6 ALLISON TRANS-RYAN LABS	110.7150	310,002.00	106.6380 9/30/21	298,586.40	11,415.60-
280,000.000	TOTAL TOTAL CAPITAL INTL 2.829% 1/10/30		310,002.00		298,586.40	11,415.60-
245,000.000	TRAVELERS COS INC DTD 03/07/18 4.050 03/07/2048 CUSIP 89417EAN9 ALLISON TRANS-RYAN LABS	112.9790	276,798.55	120.8170 9/30/21	296,001.65	19,203.10
245,000.000	TOTAL TRAVELERS COS INC 4.050% 3/07/48		276,798.55		296,001.65	19,203.10
147,000.000	TRINITY HEALTH CORP DTD 01/20/21 2.632 12/01/2040 CUSIP 896517AB5 ALLISON TRANS-RYAN LABS	101.1830	148,739.01	97.9590 9/30/21	143,999.73	4,739.28-
147,000.000	TOTAL TRINITY HEALTH CORP 2.632% 12/01/40		148,739.01		143,999.73	4,739.28-
200,000.000	UNION ELECTRIC CO DTD 06/15/17 2.950 06/15/2027 CUSIP 906548CM2 ALLISON TRANS-RYAN LABS	110.2740	220,548.00	106.8460 9/30/21	213,692.00	6,856.00-
200,000.000	TOTAL UNION ELECTRIC CO 2.950% 6/15/27		220,548.00		213,692.00	6,856.00-
440,000.000	UNITED PARCEL SERVICE DTD 11/14/17 3.750 11/15/2047 CUSIP 911312BN5 ALLISON TRANS-RYAN LABS	120.8400	531,696.00	116.1090 9/30/21	510,879.60	20,816.40-
440,000.000	TOTAL UNITED PARCEL SERVIC 3.750% 11/15/47		531,696.00		510,879.60	20,816.40-

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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
310,000.000	UNITEDHEALTH GROUP INC DTD 03/08/12 4.375 03/15/2042 CUSIP 91324PBW1 ALLISON TRANS-RYAN LABS	127.2540	394,487.40	122.0940 9/30/21	378,491.40	15,996.00-
310,000.000	TOTAL UNITEDHEALTH GROUP 4.375% 3/15/42		394,487.40		378,491.40	15,996.00-
185,000.000	UNITEDHEALTH GROUP INC DTD 07/23/15 4.625 07/15/2035 CUSIP 91324PCQ3 ALLISON TRANS-RYAN LABS	131.6990	243,643.15	124.2360 9/30/21	229,836.60	13,806.55-
185,000.000	TOTAL UNITEDHEALTH GROUP 4.625% 7/15/35		243,643.15		229,836.60	13,806.55-
580,000.000	VENTAS REALTY LP DTD 02/26/19 3.500 04/15/2024 CUSIP 92277GAP2 ALLISON TRANS-RYAN LABS	106.8870	619,944.60	106.4400 9/30/21	617,352.00	2,592.60-
580,000.000	TOTAL VENTAS REALTY LP 3.500% 4/15/24		619,944.60		617,352.00	2,592.60-
424,000.000	VERIZON COMMUNICATIONS DTD 06/03/19 4.016 12/03/2029 CUSIP 92343VEU4 ALLISON TRANS-RYAN LABS	119.7460	507,723.04	113.3110 9/30/21	480,438.64	27,284.40-
424,000.000	TOTAL VERIZON COMMUNICATIO 4.016% 12/03/29		507,723.04		480,438.64	27,284.40-
350,000.000	VERIZON COMMUNICATIONS DTD 10/29/14 4.400 11/01/2034 CUSIP 92343VCQ5 ALLISON TRANS-RYAN LABS	124.6680	436,338.00	118.4280 9/30/21	414,498.00	21,840.00-
350,000.000	TOTAL VERIZON COMMUNICATIO 4.400% 11/01/34		436,338.00		414,498.00	21,840.00-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
225,000.000	VMWARE INC DTD 04/07/20 4.500 05/15/2025 CUSIP 928563AD7 ALLISON TRANS-RYAN LABS	111.8650	251,696.25	111.3830 9/30/21	250,611.75	1,084.50-
225,000.000	TOTAL VMWARE INC 4.500% 5/15/25		251,696.25		250,611.75	1,084.50-
905,000.000	BANK OF AMERICA CORP DTD 06/14/21 06/14/2029 CUSIP 06051GJZ3 ALLISON TRANS-RYAN LABS	100.6490	910,873.00	99.8400 9/30/21	903,552.00	7,321.00-
905,000.000	TOTAL VR BANK OF AMERICA 2.087% 6/14/29		910,873.00		903,552.00	7,321.00-
235,000.000	BANK OF AMERICA CORP MED TERM NOTE DTD 06/19/20 06/19/2041 CUSIP 06051GJEO ALLISON TRANS-RYAN LABS	97.3030	228,662.05	96.5420 9/30/21	226,873.70	1,788.35-
235,000.000	TOTAL VR BANK OF AMERICA 2.676% 6/19/41		228,662.05		226,873.70	1,788.35-
450,000.000	BRANCH BANKING & TRUST DTD 09/16/19 09/17/2029 CUSIP 07330MAC1 ALLISON TRANS-RYAN LABS	103.7430	466,843.50	104.5370 9/30/21	470,416.50	3,573.00
450,000.000	TOTAL VR BRANCH BANKING 2.636% 9/17/29		466,843.50		470,416.50	3,573.00
450,000.000	CITIGROUP INC DTD 01/24/18 01/24/2023 CUSIP 172967LV1 ALLISON TRANS-RYAN LABS	103.1840	464,328.00	100.8410 9/30/21	453,784.50	10,543.50-
450,000.000	TOTAL VR CITIGROUP INC 3.142% 1/24/23		464,328.00		453,784.50	10,543.50-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
700,000.000	GOLDMAN SACHS GROUP INC DTD 01/27/21 01/27/2032 CUSIP 38141GXRO ALLISON TRANS-RYAN LABS	96.4373	675,061.00	96.4330 9/30/21	675,031.00	30.00-
700,000.000	TOTAL VR GOLDMAN SACHS GRO 1.992% 1/27/32		675,061.00		675,031.00	30.00-
630,000.000	JPMORGAN CHASE & CO DTD 07/24/17 07/24/2038 CUSIP 46647PAJ5 ALLISON TRANS-RYAN LABS	117.9100	742,833.00	115.1040 9/30/21	725,155.20	17,677.80-
630,000.000	TOTAL VR JPMORGAN CHASE & 3.882% 7/24/38		742,833.00		725,155.20	17,677.80-
260,000.000	MANULIFE FINANCIAL CORP DTD 02/24/17 02/24/2032 CUSIP 56501RAE6 ALLISON TRANS-RYAN LABS	110.7160	287,861.60	109.6310 9/30/21	285,040.60	2,821.00-
260,000.000	TOTAL VR MANULIFE FINANCIA 4.061% 2/24/32		287,861.60		285,040.60	2,821.00-
270,000.000	MIZUHO FINANCIAL GROUP DTD 07/16/19 07/16/2023 CUSIP 60687YAV1 ALLISON TRANS-RYAN LABS	103.5220	279,509.40	101.8210 9/30/21	274,916.70	4,592.70-
270,000.000	TOTAL VR MIZUHO FINANCIAL 2.721% 7/16/23		279,509.40		274,916.70	4,592.70-
240,000.000	NATWEST GROUP PLC DTD 06/14/21 06/14/2027 CUSIP 639057AC2 ALLISON TRANS-RYAN LABS	100.1340	240,321.60	99.9930 9/30/21	239,983.20	338.40-
240,000.000	TOTAL VR NATWEST GROUP PLC 1.642% 6/14/27		240,321.60		239,983.20	338.40-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
625,000.000	WALMART INC DTD 09/22/21 2.500 09/22/2041 CUSIP 931142EU3 ALLISON TRANS-RYAN LABS	100.6939	629,337.10	99.5650 9/30/21	622,281.25	7,055.85-
625,000.000	TOTAL WALMART INC 2.500% 9/22/41		629,337.10		622,281.25	7,055.85-
65,000.000	WALMART INC DTD 06/27/18 4.050 06/29/2048 CUSIP 931142EC3 ALLISON TRANS-RYAN LABS	130.5090	84,830.85	125.7980 9/30/21	81,768.70	3,062.15-
65,000.000	TOTAL WALMART INC 4.050% 6/29/48		84,830.85		81,768.70	3,062.15-
370,000.000	WALT DISNEY COMPANY/THE DTD 09/06/19 2.000 09/01/2029 CUSIP 254687FL5 ALLISON TRANS-RYAN LABS	99.7331	369,012.40	100.9000 9/30/21	373,330.00	4,317.60
370,000.000	TOTAL WALT DISNEY COMPANY/ 2.000% 9/01/29		369,012.40		373,330.00	4,317.60
245,000.000	WALT DISNEY COMPANY/THE DTD 09/06/19 2.750 09/01/2049 CUSIP 254687FM3 ALLISON TRANS-RYAN LABS	97.5110	238,901.95	96.0180 9/30/21	235,244.10	3,657.85-
245,000.000	TOTAL WALT DISNEY COMPANY/ 2.750% 9/01/49		238,901.95		235,244.10	3,657.85-
600,000.000	WELLS FARGO & COMPANY MED TERM NOTE DTD 07/22/15 4.300 07/22/2027 CUSIP 94974BGL8 ALLISON TRANS-RYAN LABS	113.9732	683,839.50	113.6190 9/30/21	681,714.00	2,125.50-
600,000.000	TOTAL WELLS FARGO & COMPAN 4.300% 7/22/27		683,839.50		681,714.00	2,125.50-

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
590,000.000	WELLTOWER INC DTD 02/15/19 3.625 03/15/2024 CUSIP 950400AG9	108.1670	638,185.30	106.6220 9/30/21	629,069.80	9,115.50-
590,000.000	ALLISON TRANS-RYAN LABS					
590,000.000	TOTAL WELLTOWER INC 3.625% 3/15/24		638,185.30		629,069.80	9,115.50-
330,000.000	WESTAR ENERGY INC DTD 03/06/17 3.100 04/01/2027 CUSIP 95709TAP5	110.6780	365,237.40	107.4210 9/30/21	354,489.30	10,748.10-
330,000.000	ALLISON TRANS-RYAN LABS					
330,000.000	TOTAL WESTAR ENERGY INC 3.100% 4/01/27		365,237.40		354,489.30	10,748.10-
450,000.000	WESTPAC BANKING CORP DTD 05/13/16 2.850 05/13/2026 CUSIP 961214CX9	111.0550	499,747.50	107.5840 9/30/21	484,128.00	15,619.50-
450,000.000	ALLISON TRANS-RYAN LABS					
450,000.000	TOTAL WESTPAC BANKING CORP 2.850% 5/13/26		499,747.50		484,128.00	15,619.50-
400,000.000	3M COMPANY MED TERM NOTE DTD 02/22/19 3.375 03/01/2029 CUSIP 88579YBG5	115.0000	460,000.00	110.1250 9/30/21	440,500.00	19,500.00-
400,000.000	ALLISON TRANS-RYAN LABS					
400,000.000	TOTAL 3M COMPANY 3.375% 3/01/29		460,000.00		440,500.00	19,500.00-
	TOTAL CORPORATE BONDS		59,526,030.48		57,807,067.20	1,718,963.28-
	CORPORATE BACKED OBLIGATION					

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283,330.370	CF HIPPOLYTA ISSUER LLC SER 2021-1A CL A1 *0 DAY DELAY* 144A PRIV PLCMT 1.530 03/15/2061 CUSIP 12530MAE5 ALLISON TRANS-RYAN LABS	99.9810	283,276.47	100.6560 9/30/21	285,189.02	1,912.55
283,330.370	TOTAL CF HIPPOLYTA ISSUER 1.530% 3/15/61		283,276.47		285,189.02	1,912.55
293,676.330	FINANCE AMER STRUCTURED SECS TR JR2 SER 2019-JR3 SER 2019-JR3 CL A *0 DAY DELAY* 144A PRIV PLCMT 09/25/2069 CUSIP 31739LAA4 ALLISON TRANS-RYAN LABS	104.5599	307,067.60	108.2480 9/30/21	317,898.75	10,831.15
293,676.330	TOTAL VR FINANCE AMER STRU 1.000% 9/25/69		307,067.60		317,898.75	10,831.15
700,000.000	MAGNETITE CLO LTD SER 2017-19A CL AR *0 DAY DELAY* 144A PRIV PLCMT 04/17/2034 CUSIP 55954KAL9 ALLISON TRANS-RYAN LABS	100.0000	700,000.00	100.0618 9/30/21	700,432.60	432.60
700,000.000	TOTAL VR MAGNETITE CLO LTD 1.000% 4/17/34		700,000.00		700,432.60	432.60
640,000.000	SOUND POINT CLO LTD SER 2017-3A CL A2 *0 DAY DELAY* 144A PRIV PLCMT 10/20/2030 CUSIP 83611GAC5 ALLISON TRANS-RYAN LABS	100.1250	640,800.00	100.0007 9/30/21	640,004.48	795.52-
640,000.000	TOTAL VR SOUND POINT CLO 1.80812% 10/20/30		640,800.00		640,004.48	795.52-
	TOTAL CORPORATE BACKED OBLIGATION		1,931,144.07		1,943,524.85	12,380.78
	MORTGAGE BACKED OBLIGATION					

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230,000.000	CREDIT SUISSE MORTGAGE TRUST SER 2014-USA CL D *14 DAY DELAY* 144A PRIV PLCMT 4.373 09/15/2037 CUSIP 12649AAN9 ALLISON TRANS-RYAN LABS	76.0360	174,882.80	95.1630 9/30/21	218,874.90	43,992.10
230,000.000	TOTAL CREDIT SUISSE MORTG 4.3733% 9/15/37		174,882.80		218,874.90	43,992.10
645,000.000	SLG OFFICE TRUST SER 2021-OVA CL A *14 DAY DELAY* 144A PRIV PLCMT 2.585 07/15/2041 CUSIP 78449RAA3 ALLISON TRANS-RYAN LABS	103.6092	668,279.53	103.3650 9/30/21	666,704.25	1,575.28-
645,000.000	TOTAL SLG OFFICE TRUST 2.5854% 7/15/41		668,279.53		666,704.25	1,575.28-
270,000.000	BENCHMARK MORTGAGE TRUST SER 2020-IG3 CL T33B *14 DAY DELAY* 144A PRIV PLCMT 09/15/2048 CUSIP 08162QBL2 ALLISON TRANS-RYAN LABS	107.6602	290,682.42	102.8600 9/30/21	277,722.00	12,960.42-
270,000.000	TOTAL VR BENCHMARK MORTG 3.22991% 9/15/48		290,682.42		277,722.00	12,960.42-
430,000.000	BENCHMARK MORTGAGE TRUST SER 2020-IG2 CL B *14 DAY DELAY* 144A PRIV PLCMT 09/15/2048 CUSIP 08162NAM8 ALLISON TRANS-RYAN LABS	105.6533	454,309.38	102.0790 9/30/21	438,939.70	15,369.68-
430,000.000	TOTAL VR BENCHMARK MORTG 3.29306% 9/15/48		454,309.38		438,939.70	15,369.68-
250,000.000	FED HOME LN MTG CORP SER 2016-K53 CL C *24 DAY DELAY* 144A PRIV PLCMT 03/25/2049 CUSIP 30288LAQ6 ALLISON TRANS-RYAN LABS	106.5650	266,412.50	106.4950	266,237.50	175.00-

**ASSET DETAIL REVALUED COST
 AS OF SEPTEMBER 30, 2021**

**ALLISON HOURLY CONSOLIDATED
 ACCOUNT NUMBER 22831199**

PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
250,000.000	TOTAL VR FED HOME LN MTG 4.15863% 3/25/49		266,412.50	9/30/21	266,237.50	175.00-
	FREMF MORTGAGE TRUST SER 2016-K60 CL C *24 DAY DELAY* 144A PRIV PLCMT 12/25/2049 CUSIP 302947AG1					
230,000.000	ALLISON TRANS-RYAN LABS	104.1130	239,459.90	104.1320 9/30/21	239,503.60	43.70
230,000.000	TOTAL VR FREMF MORTGAGE 3.6569% 12/25/49		239,459.90		239,503.60	43.70
	FREMF MORTGAGE TRUST SER 2019-K91 CL C *24 DAY DELAY* 144A PRIV PLCMT 04/25/2051 CUSIP 30309JAG8					
475,000.000	ALLISON TRANS-RYAN LABS	108.1410	513,669.75	109.3270 9/30/21	519,303.25	5,633.50
475,000.000	TOTAL VR FREMF MORTGAGE 4.2521% 4/25/51		513,669.75		519,303.25	5,633.50
	JP MORGAN CHASE COMMERCIAL MOR SER 2015-FRR2 CL AK39 *26 DAY DELAY* 144A PRIV PLCMT 08/27/2047 CUSIP 46644KAG5					
430,000.000	ALLISON TRANS-RYAN LABS	101.3560	435,830.80	101.3260 9/30/21	435,701.80	129.00-
430,000.000	TOTAL VR JP MORGAN CHASE 2.94032% 8/27/47		435,830.80		435,701.80	129.00-
	NEW RESIDENTIAL MORTGAGE LOAN SER 2019-RPL3 CL M1 *24 DAY DELAY* 144A PRIV PLCMT 07/25/2059 CUSIP 64830NAE1					
290,000.000	ALLISON TRANS-RYAN LABS	102.3580	296,838.20	105.3120 9/30/21	305,404.80	8,566.60
290,000.000	TOTAL VR NEW RESIDENTIAL 3.250% 7/25/59		296,838.20		305,404.80	8,566.60

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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
228,090.790	NEW RESIDENTIAL MORTGAGE LOAN SER 2018-2A CL B3 *24 DAY DELAY* 144A PRIV PLCMT 02/25/2058 CUSIP 64828CCL1 ALLISON TRANS-RYAN LABS	107.8990	246,107.69	107.5750 9/30/21	245,368.67	739.02-
228,090.790	TOTAL VR NEW RESIDENTIAL 5.000% 2/25/58		246,107.69		245,368.67	739.02-
410,000.000	SFAVE COMMERCIAL MORTGAGE SECU SER 2015-5AVE CL B *4 DAY DELAY* 144A PRIV PLCMT 01/05/2035 CUSIP 78413MAL2 ALLISON TRANS-RYAN LABS	83.3300	341,653.00	101.1890 9/30/21	414,874.90	73,221.90
410,000.000	TOTAL VR SFAVE COMMERCIA 4.38801% 1/05/35		341,653.00		414,874.90	73,221.90
340,000.000	SOHO TRUST 2021-SOHO SER 2021-SOHO CL A *9 DAY DELAY* 144A PRIV PLCMT 08/10/2038 CUSIP 83410JAA6 ALLISON TRANS-RYAN LABS	100.3711	341,261.74	98.7990 9/30/21	335,916.60	5,345.14-
340,000.000	TOTAL VR SOHO TRUST 2021 2.78648% 8/10/38		341,261.74		335,916.60	5,345.14-
95,000.000	WELLS FARGO COMMERCIAL MORTGAG SER 2016-LC25 CL B *14 DAY DELAY* DTD 12/01/16 4.437 12/15/2059 CUSIP 95000JBA5 ALLISON TRANS-RYAN LABS	107.0960	101,741.20	108.9300 9/30/21	103,483.50	1,742.30
95,000.000	TOTAL WELLS FARGO COMMERC 4.4367% 12/15/59		101,741.20		103,483.50	1,742.30
	TOTAL MORTGAGE BACKED OBLIGATION		4,371,128.91		4,468,035.47	96,906.56
	PRIVATE PLACEMENT					

ASSET DETAIL REVALUED COST
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ALLISON HOURLY CONSOLIDATED
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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
400,000.000	AVIATION CAPITAL GROUP 144A PRIV PLCMT 3.875 05/01/2023 CUSIP 05369AAC5 ALLISON TRANS-RYAN LABS	98.9630	395,852.00	104.3450 9/30/21	417,380.00	21,528.00
400,000.000	TOTAL P/P AVIATION CAPITAL 3.875% 5/01/23		395,852.00		417,380.00	21,528.00
225,000.000	BELROSE FUNDING TRUST 144A PRIV PLCMT 2.330 08/15/2030 CUSIP 080807AA8 ALLISON TRANS-RYAN LABS	98.8260	222,358.50	98.6440 9/30/21	221,949.00	409.50-
225,000.000	TOTAL P/P BELROSE FUNDING 2.330% 8/15/30		222,358.50		221,949.00	409.50-
430,000.000	BOSTON GAS COMPANY 144A PRIV PLCMT 3.001 08/01/2029 CUSIP 100743AL7 ALLISON TRANS-RYAN LABS	110.0320	473,137.60	104.2340 9/30/21	448,206.20	24,931.40-
430,000.000	TOTAL P/P BOSTON GAS COMPA 3.001% 8/01/29		473,137.60		448,206.20	24,931.40-
215,000.000	CAMERON LNG LLC 144A PRIV PLCMT 2.902 07/15/2031 CUSIP 133434AA8 ALLISON TRANS-RYAN LABS	110.0050	236,510.75	106.0260 9/30/21	227,955.90	8,554.85-
215,000.000	TOTAL P/P CAMERON LNG LLC 2.902% 7/15/31		236,510.75		227,955.90	8,554.85-
165,000.000	ELECTRICITE DE FRANCE SA 144A PRIV PLCMT 4.950 10/13/2045 CUSIP 268317AQ7 ALLISON TRANS-RYAN LABS	122.7070	202,466.55	127.4610 9/30/21	210,310.65	7,844.10
165,000.000	TOTAL P/P ELECTRICITE DE 4.950% 10/13/45		202,466.55		210,310.65	7,844.10

ASSET DETAIL REVALUED COST
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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
340,000.000	ENEL FINANCE INTL NV 144A PRIV PLCMT 3.500 04/06/2028 CUSIP 29278GAF5 ALLISON TRANS-RYAN LABS	111.4320	378,868.80	109.4430 9/30/21	372,106.20	6,762.60-
340,000.000	TOTAL P/P ENEL FINANCE INT 3.500% 4/06/28		378,868.80		372,106.20	6,762.60-
240,000.000	HYUNDAI CAPITAL AMERICA 144A PRIV PLCMT 1.000 09/17/2024 CUSIP 44891ABY2 ALLISON TRANS-RYAN LABS	99.8200	239,568.00	99.6460 9/30/21	239,150.40	417.60-
240,000.000	TOTAL P/P HYUNDAI CAPITAL 1.000% 9/17/24		239,568.00		239,150.40	417.60-
305,000.000	MARS INC 144A PRIV PLCMT 1.625 07/16/2032 CUSIP 571676AL9 ALLISON TRANS-RYAN LABS	99.2100	302,590.50	94.8270 9/30/21	289,222.35	13,368.15-
305,000.000	TOTAL P/P MARS INC 1.625% 7/16/32		302,590.50		289,222.35	13,368.15-
410,000.000	MET LIFE GLOB FUNDING I 144A PRIV PLCMT 3.050 06/17/2029 CUSIP 59217GDC0 ALLISON TRANS-RYAN LABS	112.8040	462,496.40	107.6170 9/30/21	441,229.70	21,266.70-
410,000.000	TOTAL P/P MET LIFE GLOB FU 3.050% 6/17/29		462,496.40		441,229.70	21,266.70-
775,000.000	NEW YORK LIFE INSURANCE 144A PRIV PLCMT 3.750 05/15/2050 CUSIP 64952GAT5 ALLISON TRANS-RYAN LABS	115.4497	894,734.90	112.0460 9/30/21	868,356.50	26,378.40-
775,000.000	TOTAL P/P NEW YORK LIFE IN 3.750% 5/15/50		894,734.90		868,356.50	26,378.40-

ASSET DETAIL REVALUED COST
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ALLISON HOURLY CONSOLIDATED
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PAR VALUE/SHARES	DESCRIPTION	REVALUED COST		MARKET VALUE		UNREALIZED GAIN/LOSS ON REVALUED COST
		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
215,000.000	PENSKE TRUCK LEASING/PTL 144A PRIV PLCMT 1.700 06/15/2026 CUSIP 709599BM5 ALLISON TRANS-RYAN LABS	99.9790	214,954.85	100.5480 9/30/21	216,178.20	1,223.35
215,000.000	TOTAL P/P PENSKE TRUCK LEA 1.700% 6/15/26		214,954.85		216,178.20	1,223.35
820,000.000	SIEMENS FINANCIERINGSMAT 144A PRIV PLCMT 3.400 03/16/2027 CUSIP 82620KAU7 ALLISON TRANS-RYAN LABS	112.2710	920,622.20	109.4780 9/30/21	897,719.60	22,902.60-
820,000.000	TOTAL P/P SIEMENS FINANCIE 3.400% 3/16/27		920,622.20		897,719.60	22,902.60-
420,000.000	BNP PARIBAS 144A PRIV PLCMT 01/13/2031 CUSIP 09659W2K9 ALLISON TRANS-RYAN LABS	107.6091	451,958.40	104.7620 9/30/21	440,000.40	11,958.00-
420,000.000	TOTAL VR P/P BNP PARIBAS 3.052% 1/13/31		451,958.40		440,000.40	11,958.00-
	TOTAL PRIVATE PLACEMENT		5,396,119.45		5,289,765.10	106,354.35-
	TOTAL BONDS & NOTES		96,144,881.51		91,634,445.02	4,510,436.49-
	MUTUAL FUNDS					
	MUTUAL FUNDS- EQUITY					
72,247.337	AMERICAN CENTURY EMERGING MARKETS FUND CLASS R6 CUSIP 025086422 ALLISON HOURLY MUTUAL FUNDS	14.0792	1,017,182.48	14.5700 9/30/21	1,052,643.70	35,461.22
72,247.337	TOTAL AMER CENT EMERG MARKETS-R6		1,017,182.48		1,052,643.70	35,461.22

ASSET DETAIL REVALUED COST
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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
207,909.691	BLACKSTONE ALTERNATIVE MULTI-STRATEGY FUND CLASS I CUSIP 09257V201 ALLISON HOURLY MUTUAL FUNDS	10.0337	2,086,096.04	10.8400 9/30/21	2,253,741.05	167,645.01
207,909.691	TOTAL BLACKSTONE ALT MULTI-STRAT-I		2,086,096.04		2,253,741.05	167,645.01
76,510.137	EATON VANCE ATLANTA CAPITAL SMID-CAP FUND CLASS R6 #1016 CUSIP 277902235 ALLISON HOURLY MUTUAL FUNDS	34.5307	2,641,950.35	42.2000 9/30/21	3,228,727.78	586,777.43
76,510.137	TOTAL EATON VANCE-ATLANTA SMID-R6 #1016		2,641,950.35		3,228,727.78	586,777.43
148,147.159	HARTFORD INTERNATIONAL OPPORTUNITIES FUND CLASS Y CUSIP 416645885 ALLISON HOURLY MUTUAL FUNDS	17.7482	2,629,340.56	21.5700 9/30/21	3,195,534.22	566,193.66
148,147.159	TOTAL HARTFORD INTL OPPORT-Y		2,629,340.56		3,195,534.22	566,193.66
184,649.286	PIMCO COMMODITY REAL RETURN STRATEGY FUND-CLASS I #45 CUSIP 722005667 ALLISON HOURLY MUTUAL FUNDS	5.4289	1,002,436.48	6.3900 9/30/21	1,179,908.94	177,472.46
184,649.286	TOTAL PIMCO COMMODITY REAL RET STRAT-I#45		1,002,436.48		1,179,908.94	177,472.46
34,523.176	PRINCIPAL INVESTORS REAL ESTATE SECURITIES INSTL FUND #4934 CUSIP 742530580 ALLISON HOURLY MUTUAL FUNDS	24.3238	839,736.11	31.3800 9/30/21	1,083,337.26	243,601.15
34,523.176	TOTAL PRINCIPAL INV R/E SEC-IS FUND 4934		839,736.11		1,083,337.26	243,601.15
	TOTAL MUTUAL FUNDS- EQUITY		10,216,742.02		11,993,892.95	1,777,150.93
	TOTAL MUTUAL FUNDS		10,216,742.02		11,993,892.95	1,777,150.93



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

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ALLISON HOURLY CONSOLIDATED
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		UNIT COST	TOTAL COST	UNIT PRICE PRICING DATE	TOTAL MARKET	
	TOTAL ASSETS AND LIABILITIES		112,384,619.44		110,703,971.98	1,680,647.46-
	PENDING TRADES		513.19-		513.19-	
	ACCRUED INCOME		556,568.86		556,568.86	
	NET ADJUSTED ASSETS		112,940,675.11		111,260,027.65	1,680,647.46-

Schedule SB, line 24 — Change in Actuarial Assumptions

- Expenses were updated from \$380,000 to \$390,000.
- Actuarial value basis was updated from 2019 417(e) static mortality and July 2019 segment rates (2.34%/3.38%/4.01%) to 2020 417(e) static mortality and July 2020 segment rates (0.59%/2.25%/3.01%).