Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan

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

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

OMB Nos. 1210-0110
1210-0089

2021

This Form is Open to Public Inspection

Part I Annual Report Identification Information

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

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

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

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

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

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

Part II Basic Plan Information—enter all requested information

1a Name of plan
SONY USA 401(K) PLAN

1b Three-digit plan number (PN) ▶ 002

1c Effective date of plan 01/01/1984

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)
SONY CORPORATION OF AMERICA

25 MADISON AVENUE
NEW YORK, NY 10010

2b Employer Identification Number (EIN) 13-1914734

2c Plan Sponsor's telephone number 212-833-6451

2d Business code (see instructions) 551112

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.	10/10/2022	KAREN L. HALBY
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	10/10/2022	ROBERT KLEE
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

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

KAREN L .HALBY

25 MADISON AVENUE
NEW YORK, NY 10010

3b Administrator's EIN
13-1914734

3c Administrator's telephone number
212-833-6451

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**	23673
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)**	11862
a(2) Total number of active participants at the end of the plan year	**6a(2)**	12287
b Retired or separated participants receiving benefits	**6b**	25
c Other retired or separated participants entitled to future benefits	**6c**	12038
d Subtotal. Add lines **6a(2)**, **6b**, and **6c**	**6d**	24350
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	38
f Total. Add lines **6d** and **6e**	**6f**	24388
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	23912
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	115
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	**7**	

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

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

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

9a Plan funding arrangement (check all that apply)

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

9b Plan benefit arrangement (check all that apply)

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

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

a Pension Schedules

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

b General Schedules

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

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

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

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

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

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

Receipt Confirmation Code_____

SCHEDULE C (Form 5500)	Service Provider Information	OMB No. 1210-0110
Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	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.**	**2021** **This Form is Open to Public Inspection.**

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

A Name of plan	**B** Three-digit plan number (PN) ▶	
SONY USA 401(K) PLAN		002
C Plan sponsor's name as shown on line 2a of Form 5500	**D** Employer Identification Number (EIN)	
SONY CORPORATION OF AMERICA	13-1914734	

Part I Service Provider Information (see instructions)

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

1 Information on Persons Receiving Only Eligible Indirect Compensation

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

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

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

GALLIARD
800 LASALLE AVE
MINNEAPLOIS, MN 55402

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

COLUMBIA MGMT INVESTMENT ADVISORS

41-1533211

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

TOUCHSTONE ADVISORS

31-1394672

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

DODGE & COX

94-1441976

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

CHARLES SCHWAB INVT MANAGEMENT

94-3106735

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

DIMENSIONAL FUND ADVISORS

30-0303270

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

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

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

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

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

(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)

T ROWE PRICE ASSET MGMT INC

52-0556948

(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?
28 50 51	NONE	1188517	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

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

BLACKROCK

94-3112180

(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?
28 50 51	NONE	999116	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

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

EDELMAN FINANCIAL ENGINES, LLC

94-3250323

(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?
28 50	NONE	987825	Yes [ ] No [X]	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)

T. ROWE PRICE ASSOCIATES, INC.

52-1714114

(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?
15 50	NONE	898204	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

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

PRUDENTIAL TRUST COMPANY

23-6994310

(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?
28 50 51	NONE	782964	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [ ] No [X]

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

ALTRINSIC GLOBAL ADVISORS, LLC

30-0016268

(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?
28 50 51	NONE	709455	Yes [ ] No [X]	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)

NORTHERN TRUST COMPANY

36-1561860

(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?
19 21 25 28 50 51 99	450692	450692	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [ ] No [X]

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

STATE STREET BANK & TRUST CO.

04-1867445

(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?
19 28 50 51	NONE	151286	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [ ] No [X]

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

MERCER INVESTMENTS LLC

30-0282430

(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?
28 50	NONE	145000	Yes [ ] No [X]	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)

PRICEWATERHOUSECOOPERS LLP

13-4008324

(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?
11 19 50	NONE	125000	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

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

AON CONSULTING

22-2232264

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	23022	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

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

CHARLES SCHWAB & CO. INC.

94-1737782

(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?
33 50 62 71	NONE	5463	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [X] 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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
ADVISORS PREFERRED 1445 RESEARCH BLVD SUITE 530 ROCKVILLE, MD 20850	RATE OF 0.45% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
ALGER FUNDS PO BOX 8480 BOSTON, MA 02266	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
ALLIANCEBERNSTEIN 1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
ALLIANZ GLOBAL INVESTORS 1633 BROADWAY NEW YORK, NY 10019	RANGE OF 0.10 - 0.50% OF AVG DAILY BAL OF ASSETS

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
ALLSPRING FUNDS MANAGEMENT LLC 525 MARKET STREET 12TH FLOOR SAN FRANCISCO, CA 94105	RATE OF 0.55% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
AMERICAN BEACON 4151 AMON CARTER BLVD FORT WORTH, TX 76155	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
AMERICAN CENTURY INVESTMENTS PO BOX 419200 KANSAS CITY, MO 64141	RANGE OF 0.05 - 0.35% OF AVG DAILY BAL OF ASSETS

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
AMERICAN FUNDS PO BOX 6007 INDIANAPOLIS, IN 46206	RATE OF 0.37% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
APPLIED FINANCE ADVISORS 17806 W 1-10 SAN ANTONIO, TX 78257	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
ARTISAN PARTNERS LIMITED PARTNERSHI 1330 AVENUE OF THE AMERICAS STE 31 NEW YORK, NY 10019	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
ATAC FUND C/O US BANK GLOBAL FUND SERVICES PO BOX 701 MILWAUKEE, WI 53201	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
AXS 155 N WACKER DRIVE SUITE 4250 CHICAGO, IL 60606	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
BARON CAPITAL GROUP, INC. 767 FIFTH AVE 49TH FLOOR NEW YORK, NY 10153	RANGE OF 0.09 - 0.40% OF AVG DAILY BAL OF ASSETS

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
BERKSHIRE 8000 TOWNE CENTRE DRIVE SUITE 400 BROADVIEW HEIGHTS, OH 44147	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
BLACKROCK 55 EAST 52ND STREET NEW YORK, NY 10055	RANGE OF 0.40 - 0.50% OF AVG DAILY BAL OF ASSETS

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
BROWN ADVISORY FUNDS PO BOX 701 MILWAUKEE, WI 53201	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
BROWN CAPITAL MANAGEMENT, LLC 1201 NORTH CALVERT STREET BAL, MD 21202	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
BUFFALO US BANCORP FUND SERVICES LLC PO BOX 701 MILWAUKEE, WI 53201	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
CAMBIAR FUNDS PO BOX 219009 KANSAS CITY, MO 64121	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
CAVANAL HILL FUNDS 3435 STELZER ROAD COLUMBUS, OH 43219	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
COLUMBIA THREADNEEDLE 10215 WINCOPIN CIR COLUMBIA, MD 21044	RANGE OF 0.10 - 0.50% OF AVG DAILY BAL OF ASSETS

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
DAVIS FUNDS PO BOX 219197 KANSAS CITY, MO 64121	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
EATON VANCE PO BOX 9653 PROVIDENCE, RI 02940	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
EURO PACIFIC ASSET MANAGEMENT LOTS 81-82 STREET C DORADO, PR 00646	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
EVENTIDE FUNDS 4221 N 203RD STREET SUITE 100 ELKHORN, NE 68022	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
FEDERATED 1001 LIBERTY AVE PITTSBURGH, PA 15222	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
FIDELITY INVESTMENTS PO BOX 770002 CINCINNATI, OH 45277	RANGE OF 0.25 - 0.50% OF AVG DAILY BAL OF ASSETS

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
FIRST EAGLE FUNDS 1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
FRANKLIN TEMPLETON INVESTMENTS PO BOX 33030 ST PETERSBURG, FL 33733	RANGE OF 0.15 - 0.40% OF AVG DAILY BAL OF ASSETS

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
GOLDMAN SACHS 101 CONSTITUTION AVE NW WASHINGTON, DC 20001	RATE OF 0.50% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
HARBOR 111 SOUTH WACKER DRIVE 34TH FLOOR CHICAGO, IL 60606	RANGE OF 0.35 - 0.43% OF AVG DAILY BAL OF ASSETS

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
HUBER FUNDS 2321 ROSECRANS AVE SUITE 3245 EL SEGUNDO, CA 90245	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
INVESCO PO BOX 219078 KANSAS CITY, MO 64121	RATE OF 0.50% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
JACKSON SQUARE ONE LETTERMAN DRIVE BLDG A SUITE A3-200 SAN FRANCISCO, CA 94129	RANGE OF 0.10 - 0.40% OF AVG DAILY BAL OF ASSETS

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
JACOB 727 2ND STREET #106 HERMOSA BEACH, CA 90254	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
JANUS HENDERSON PO BOX 55932 BOSTON, MA 02205	RATE OF 0.35% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
JENSEN 5300 MEADOWS ROAD SUITE 250 LAKE OSWEGO, OR 97035	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
JOHCM FUNDS 1055 WESTLAKES DRIVE SUITE 310 BERWYN, PA 19312	RATE OF 0.10% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
JPMORGAN 270 PARK AVENUE NEW YORK, NY 10017	RATE OF 0.50% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
LORD ABBETT 90 HUDSON STREET JERSEY CITY, NJ 07302	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
MADISON FUNDS PO BOX 219083 KANSAS CITY, MO 64121	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
MATTHEWS ASIA FUNDS PO BOX 9791 PROVIDENCE, RI 02940	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
MFS PO BOX 55824 BOSTON, MA 02205	RATE OF 0.45% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
MORGAN STANLEY 1585 BROADWAY NEW YORK, NY 10036	RANGE OF 0.10 - 0.40% OF AVG DAILY BAL OF ASSETS

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
NATIXIS FUNDS 399 BOYLESTON STREET BOSTON, MA 02116	RATE OF 0.35% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
NEUBERGER BERMAN 605 THIRD AVE 36TH FLOOR NEW YORK, NY 10158	RATE OF 0.29% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
NEW ALTERNATIVES C/O BNY MELLON INVESTMENT PO BOX 9794 PROVIDENCE, RI 02940	RATE OF 0.10% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
NUVEEN 333 WACKER DRIVE CHICAGO, IL 60606	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
OBERWEIS 3333 E WARRENVILLE RD #500 LISLE, IL 60532	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
PGIM FUNDS (PRUDENTIAL) PO BOX 9658 PROVIDENCE, RI 02940	RANGE OF 0.10 - 0.40% OF AVG DAILY BAL OF ASSETS

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
POLEN CAPITAL 1825 CORPORATE BLVD NW #300 BOCA RATAN, FL 33431	RATE OF 0.10% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
PROFUNDS PO BOX 182800 COLUMBUS, OH 43218	RANGE OF 0.40 - 0.45% OF AVG DAILY BAL OF ASSETS

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
PROVIDENT 600 W CUMMINGS PARK #4750 WOBURN, MA 01801	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
RYDEX FUNDS 9601 BLACKWELL ROAD SUITE 500 ROCKVILLE, MD 20850	RANGE OF 0.40 - 0.45% OF AVG DAILY BAL OF ASSETS

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
SHELTON CAPITAL MANAGEMENT 1875 LAWRENCE ST #300 DENVER, CO 80202	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
SOUTHERNSUNFUNDS 240 MADISON AVE MEMPHIS, TN 38103	RATE OF 0.10% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
T ROWE-PRICE 100 EAST PRATT STREET BALTIMORE, MD 21202	RATE OF 0.15% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
TIAA INVESTMENTS PO BOX 1259 CHARLOTTE, NC 28201	RATE OF 0.25% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
VANECK 666 3RD AVE NEW YORK, NY 10017	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
VICTORY CAPITAL PO BOX 182903 COLUMBUS, OH 43218	RATE OF 0.10% OF AVG DAILY BALANCE OF ASSET

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
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
WASATCH PO BOX 2172 MILWAUKEE, WI 53201	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
WCM INVESTMENT MANAGEMENT PO BOX 2175 MILWAUKEE, WI 53201	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	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.
ZEVENBERGEN CAPITAL INVESTMENTS 601 UNION STREET #4600 SEATTLE, WA 98101	RANGE OF 0.10 - 0.40% OF AVG DAILY BAL OF ASSETS

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)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

DFE/Participating Plan Information

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

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

OMB No. 1210-0110

2021

This Form is Open to Public Inspection.

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

A Name of plan
SONY USA 401(K) PLAN

B Three-digit plan number (PN) ▶ 002

C Plan or DFE sponsor's name as shown on line 2a of Form 5500
SONY CORPORATION OF AMERICA

D Employer Identification Number (EIN)
13-1914734

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: AEW GLOBAL PROPERTIES TRUST FUND DC

b Name of sponsor of entity listed in (a): SEI TRUST COMPANY

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)
45-4660038-001	C	17133620

a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPATH INDEX 2065 NLG

b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST CO.

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)
84-1915237-001	C	4665456

a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPATH INDEX 2025 NLG

b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST CO.

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)
45-2829112-001	C	206555080

a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPATH INDEX 2030 NLG

b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST CO.

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)
45-2829163-001	C	235331912

a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPATH INDEX 2035 NLG

b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST CO.

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)
45-2829211-001	C	313173206

a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPATH INDEX 2040 NLG

b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST CO.

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)
45-2837597-001	C	287611270

a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPATH INDEX 2045 NLG

b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST CO.

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)
45-2837638-001	C	259843577

a Name of MTIA, CCT, PSA, or 103-12 IE:	BLACKROCK LIFEPATH INDEX 2050 NLG		
b Name of sponsor of entity listed in (a):	BLACKROCK INSTITUTIONAL TRUST CO.		
c EIN-PN 45-2837704-001	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)	202026215
a Name of MTIA, CCT, PSA, or 103-12 IE:	BLACKROCK LIFEPATH INDEX 2055 NLG		
b Name of sponsor of entity listed in (a):	BLACKROCK INSTITUTIONAL TRUST CO.		
c EIN-PN 45-2837751-001	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)	112253622
a Name of MTIA, CCT, PSA, or 103-12 IE:	BLACKROCK LIFEPATH INDEX 2060 NLG		
b Name of sponsor of entity listed in (a):	BLACKROCK INSTITUTIONAL TRUST CO.		
c EIN-PN 47-2034946-001	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)	37618471
a Name of MTIA, CCT, PSA, or 103-12 IE:	BLACKROCK LIFEPATH INDEX RETIRE NLG		
b Name of sponsor of entity listed in (a):	BLACKROCK INSTITUTIONAL TRUST CO.		
c EIN-PN 45-2837784-001	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)	120330524
a Name of MTIA, CCT, PSA, or 103-12 IE:	JENNISON US SMALL CAP EQUITY FUND		
b Name of sponsor of entity listed in (a):	PRUDENTIAL TRUST COMPANY		
c EIN-PN 23-6994310-046	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)	111362801
a Name of MTIA, CCT, PSA, or 103-12 IE:	METWEST TOTAL RETURN BOND FUND CLAS		
b Name of sponsor of entity listed in (a):	SEI TRUST COMPANY		
c EIN-PN 47-2418714-005	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)	68783807
a Name of MTIA, CCT, PSA, or 103-12 IE:	NTGI COLTV GOVT STIF		
b Name of sponsor of entity listed in (a):	NORTHERN TRUST INVESTMENTS, INC.		
c EIN-PN 45-6138589-068	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)	13456233
a Name of MTIA, CCT, PSA, or 103-12 IE:	NTGI MSCI EMERGING MARKETS INDEX NL		
b Name of sponsor of entity listed in (a):	NORTHERN TRUST INVESTMENTS, INC.		
c EIN-PN 45-6138589-101	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)	14297347
a Name of MTIA, CCT, PSA, or 103-12 IE:	NTGI RUSSELL 1000 GROWTH INDEX NL		
b Name of sponsor of entity listed in (a):	NORTHERN TRUST INVESTMENTS, INC.		
c EIN-PN 45-6138589-099	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)	351241863
a Name of MTIA, CCT, PSA, or 103-12 IE:	NTGI RUSSELL 1000 VALUE INDEX NL		
b Name of sponsor of entity listed in (a):	NORTHERN TRUST INVESTMENTS, INC.		
c EIN-PN 45-6138589-098	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)	174999643

a Name of MTIA, CCT, PSA, or 103-12 IE: NTGI S & P 400 INDEX DC NL

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

c EIN-PN 45-6138589-105	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 353017428

a Name of MTIA, CCT, PSA, or 103-12 IE: NTGI S & P 500 INDEX DC NL

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

c EIN-PN 45-6138589-002	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 774853191

a Name of MTIA, CCT, PSA, or 103-12 IE: PRUDENTIAL CORE PLUS BOND FUND

b Name of sponsor of entity listed in (a): PRUDENTIAL TRUST CO

c EIN-PN 23-6994310-165	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 68848969

a Name of MTIA, CCT, PSA, or 103-12 IE: SHORT TERM INVESTMENT FUND

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.A.

c EIN-PN 41-6292499-001	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 6564657

a Name of MTIA, CCT, PSA, or 103-12 IE: MFO STATE STR BK & TR CO INVT FDS T

b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY

c EIN-PN 90-0337987-177	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 140095509

a Name of MTIA, CCT, PSA, or 103-12 IE: SSGA GLOBAL REAL ESTATE IDX NL CL A

b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY

c EIN-PN 90-0337987-238	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 16503319

a Name of MTIA, CCT, PSA, or 103-12 IE: SSGA INTERNATIONAL INDEX NL CLASS A

b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY

c EIN-PN 90-0337987-157	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 138521962

a Name of MTIA, CCT, PSA, or 103-12 IE: SSGA RUSSELL 2000 INDEX NL CLASS A

b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY

c EIN-PN 90-0337987-096	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 104758585

a Name of MTIA, CCT, PSA, or 103-12 IE: SSGA US HIGH YIELD BOND IDX NL CL A

b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY

c EIN-PN 90-0337987-231	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 34155379

a Name of MTIA, CCT, PSA, or 103-12 IE: WF FIXED INCOME FUND C

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.A.

c EIN-PN 52-2250965-001	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 43703864

a Name of MTIA, CCT, PSA, or 103-12 IE: WF FIXED INCOME FUND J

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.A.

c EIN-PN 26-0232928-001	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 43731095

a Name of MTIA, CCT, PSA, or 103-12 IE: WF FIXED INCOME FUND L

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.A.

c EIN-PN 27-6635237-001	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 114830019

a Name of MTIA, CCT, PSA, or 103-12 IE: WF FIXED INCOME FUND N

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.A.

c EIN-PN 27-6724457-001	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 37147738

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

SCHEDULE H (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Financial Information

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

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

OMB No. 1210-0110

2021

This Form is Open to Public Inspection

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

A Name of plan
SONY USA 401(K) PLAN

B Three-digit plan number (PN) ▶ 002

C Plan sponsor's name as shown on line 2a of Form 5500
SONY CORPORATION OF AMERICA

D Employer Identification Number (EIN)
13-1914734

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 reported on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a		
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	15830999	16146161
(2) Participant contributions	1b(2)	2115972	1622844
(3) Other	1b(3)	1424395	1476954
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	1468164	3634362
(2) U.S. Government securities	1c(2)	72244299	56603239
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)	4108256	3197352
(B) All other	1c(3)(B)	106212904	100424939
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)	2396581	12166107
(B) Common	1c(4)(B)	424724735	471602825
(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)	26229099	26345924
(9) Value of interest in common/collective trusts	1c(9)	3746247680	4407416362
(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)	213265815	264306469
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)	37390553	43862302

			(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	4653659452	5408805840
	Liabilities			
g	Benefit claims payable	1g		
h	Operating payables	1h		
i	Acquisition indebtedness	1i		
j	Other liabilities	1j	2539299	2256306
k	Total liabilities (add all amounts in lines 1g through1j)	1k	2539299	2256306
	Net Assets			
l	Net assets (subtract line 1k from line 1f)	1l	4651120153	5406549534

Part II Income and Expense Statement

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

	Income		**(a)** Amount	**(b)** Total
a	**Contributions:**			
	(1) Received or receivable in cash from: **(A)** Employers	2a(1)(A)	93371768	
	(B) Participants	2a(1)(B)	174012344	
	(C) Others (including rollovers)	2a(1)(C)	70463283	
	(2) Noncash contributions	2a(2)		
	(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	2a(3)		337847395
b	**Earnings on investments:**			
	(1) Interest:			
	(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)	-2179	
	(B) U.S. Government securities	2b(1)(B)		
	(C) Corporate debt instruments	2b(1)(C)		
	(D) Loans (other than to participants)	2b(1)(D)		
	(E) Participant loans	2b(1)(E)	1207535	
	(F) Other	2b(1)(F)		
	(G) Total interest. Add lines **2b(1)(A)** through **(F)**	2b(1)(G)		1205356
	(2) Dividends: **(A)** Preferred stock	2b(2)(A)	18213	
	(B) Common stock	2b(2)(B)	4304959	
	(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	4797143	
	(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	2b(2)(D)		9120315
	(3) Rents	2b(3)		
	(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	2b(4)(A)	145033266	
	(B) Aggregate carrying amount (see instructions)	2b(4)(B)	143715403	
	(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	2b(4)(C)		1317863
	(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	2b(5)(A)	64506483	
	(B) Other	2b(5)(B)		
	(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	2b(5)(C)		64506483

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		612861710
(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)		58755358
c Other income	2c		-14613875
d Total income. Add all **income** amounts in column (b) and enter total	2d		1071000605
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	310029881	
(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)		310029881
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)	632528	
(2) Contract administrator fees	2i(2)		
(3) Investment advisory and management fees	2i(3)	4894910	
(4) Other	2i(4)	13905	
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		5541343
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		315571224
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		755429381
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) [X] Unmodified **(2)** [ ] Qualified **(3)** [ ] Disclaimer **(4)** [ ] Adverse

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

(1) [X] 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: PRICEWATERHOUSECOOPERS LLP **(2)** EIN: 13-4008324

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

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

Part IV Compliance Questions

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

During the plan year:

		Yes	No	Amount
a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)	4a	X		15456

			Yes	No	Amount
b	Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)	**4b**		X	
c	Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)	**4c**		X	
d	Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)	**4d**		X	
e	Was this plan covered by a fidelity bond?	**4e**	X		30000000
f	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	**4f**		X	
g	Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?	**4g**		X	
h	Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?	**4h**		X	
i	Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	**4i**	X		
j	Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)	**4j**		X	
k	Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?	**4k**		X	
l	Has the plan failed to provide any benefit when due under the plan?	**4l**		X	
m	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	**4m**		X	
n	If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3	**4n**			

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☒ No

If "Yes," enter the amount of any plan assets that reverted to the employer this year _____.

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

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

5c Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☐ Yes ☐ No ☐ Not determined

If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year _____.

SCHEDULE R (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Retirement Plan Information

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

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

OMB No. 1210-0110

2021

This Form is Open to Public Inspection.

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

A Name of plan
SONY USA 401(K) PLAN

B Three-digit plan number (PN) ▶ 002

C Plan sponsor's name as shown on line 2a of Form 5500
SONY CORPORATION OF AMERICA

D Employer Identification Number (EIN)
13-1914734

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): 52-1481931

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

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

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

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

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

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

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

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

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

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

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

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

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

Part III Amendments

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

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

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

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

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

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

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

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

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

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

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

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

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

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

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

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

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

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

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

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

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

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

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment)	**14a**	
b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment)	**14b**	
c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment)	**14c**	

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

a The corresponding number for the plan year immediately preceding the current plan year	**15a**	
b The corresponding number for the second preceding plan year	**15b**	

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

a Enter the number of employers who withdrew during the preceding plan year	**16a**	
b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers	**16b**	

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

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

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

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

a Enter the percentage of plan assets held as:
Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:
☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?
☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify):

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

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

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

☐ Yes.

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

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

☐ No. Other. Provide explanation _____

Sony USA 401(k) Plan

Financial Statements and Supplemental Schedules
December 31, 2021 and 2020

Sony USA 401(k) Plan
December 31, 2021 and 2020

Page

Report of Independent Auditors 1-4

Financial Statements

Statements of Net Assets Available for Benefits as of December 31, 2021 and 2020 5

Statement of Changes in Net Assets Available for Benefits for the Year Ended December 31, 2021 6

Notes to Financial Statements 7-19

Supplemental Schedules

Schedule H, line 4a - Schedule of Delinquent Participant Contributions For the year ended December 31, 2021 20

Schedule H, line 4i - Schedule of Assets (Held at End of Year) at December 31, 2021 21-36

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



Report of Independent Auditors

To the Administrator of Sony USA 401(k) Plan

Scope and Nature of the ERISA Section 103(a)(3)(C) Audit

We have performed an audit of the accompanying 2021 financial statements of Sony USA 401(k) 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 2021 financial statements comprise the statement of net assets available for benefits as of December 31, 2021, and the related statement of changes in net assets available for benefits for the year then ended, including the related notes (collectively referred to as the 2021 financial statements").

Management, having determined it is permissible in the circumstances, has elected to have the audit of the Plan's 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 December 31, 2021, stating that the certified investment information, as described in Note 5 to the financial statements, is complete and accurate.

Opinion

In our opinion, based on our audit and on the procedures performed as described in the Auditors' Responsibilities for the Audit of the Financial Statements section of our report

- 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

We conducted our audit in accordance with auditing standards generally accepted in the United States of America (US GAAS). Our responsibilities under those standards are further described in the Auditors'



Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the Plan and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our 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.

Other Matter – 2020 Financial Statements

We were engaged to audit the 2020 financial statements of the Plan, which comprise the statement of net assets available for benefits as of December 31, 2020, and the related statement of changes in net assets available for benefits for the year then ended not presented herein, other than the statement of net assets available for benefits. 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 October 1, 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 for Reporting and Disclosure under ERISA.

Responsibilities of Management for the Financial Statements

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

Auditors' Responsibilities for the Audit of the Financial Statements

Except as described in the Scope and Nature of the ERISA Section 103(a)(3)(C) Audit 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 auditors' 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 US 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 US 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 Matter – Supplemental Schedules Required by ERISA

Schedule H, line 4i - Schedule of Assets (Held at End of Year) as of December 31, 2021 and Schedule H, line 4a - Schedule of Delinquent Participant Contributions for the year ended December 31, 2021 "supplemental schedules", 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

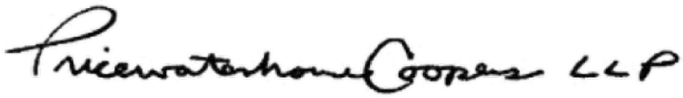


than that agreed to or derived from the certified investment information, has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with US 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).



New York, New York
October 6, 2022

Sony USA 401(k) Plan
Statements of Net Assets Available for Benefits
December 31, 2021 and 2020

	As of December 31	
	2021	2020
Assets:		
Investments at fair value	$ 4,953,275,683	$ 4,140,271,730
Investments at contract value	404,090,632	450,149,416
Receivables:		
Employer contributions receivable	16,146,161	15,830,999
Employee contributions receivable	1,622,844	2,115,972
Notes receivable from participants	26,345,924	26,229,099
Accrued interest and dividends	1,476,954	1,424,395
Total receivables	45,591,882	45,600,465
Total assets	5,402,958,197	4,636,021,611
Liabilities:		
Accrued administrative expenses	2,256,306	2,539,299
Total liabilities	2,256,306	2,539,299
Net assets available for benefits	$ 5,400,701,891	$ 4,633,482,312

The accompanying notes are an integral part of these financial statements.

Sony USA 401(k) Plan
Statement of Changes in Net Assets Available for Benefit
Year Ended December 31, 2021

	For the year ended December 31, 2021
Additions to net assets attributed to:	
Employee contributions	$ 174,012,344
Employer contributions	93,371,768
Rollover contributions from other qualified plans	70,463,283
Net investment income/(loss):	
Net appreciation/(depreciation) in fair value of investments	735,619,667
Interest and dividends	8,116,206
Total net investment income/(loss)	743,735,873
Interest income on notes receivable from participants	1,207,535
Total additions	1,082,790,803
Deductions from net assets attributed to:	
Distributions to participants	310,029,881
Administrative expenses	5,541,343
Total deductions	315,571,224
Net increase/(decrease) in net assets available for benefits	767,219,579
Net assets available for benefits:	
Beginning of year	4,633,482,312
End of year	$ 5,400,701,891

The accompanying notes are an integral part of these financial statements.

1. Description of the Plan

General

The Sony USA 401(k) Plan (the "Plan") is a defined contribution plan subject to the provisions of the Employee Retirement Income Security Act of 1974 ("ERISA"), as amended.

On December 10, 2019, Sony Pictures Entertainment Inc. acquired Silvergate Media. Silvergate Media's eligible employees began participating in the Plan effective January 1, 2021.

On May 18, 2021, Sony Music Entertainment acquired AWAL. AWAL's eligible employees began participating in the Plan as of that date.

Participants should refer to the Plan document for a more complete description of the Plan's provisions. The Plan Sponsor is Sony Corporation of America (the "Plan Sponsor"). The Plan is administered by the Sony USA 401(k) Committee (the "Committee" or "Administrator") except as otherwise delegated by the Committee. The assets of the Plan are maintained and transactions therein are executed by the Plan's trustee, The Northern Trust Company (the "Trustee"). The Plan's record keeper is T. Rowe Price (the "record keeper").

The Plan is intended to satisfy one of the traditional safe harbor plan designs.

Participating companies (the "Companies") as of December 31, 2021 are**:**

- Crispin Corporation
- MI Liquidation
- Naughty Dog, Inc.
- SEG Travel LLC
- SEL Retail Operations Inc.
- Sony Americas Holding Inc.
- Sony AI Inc.
- Sony Biotechnology Inc.
- Sony Corporation of America
- Sony Electronics, Inc.
- Sony DADC US Inc.
- Sony Depthsensing Solutions (f/k/a SoftKinetic, Inc.)
- Sony Immersive Music Studios
- Sony Interactive Entertainment LLC
- Sony Latin America Inc.
- Sony Music Entertainment
- Sony Music Publishing (US) LLC (f/k/a Sony Music Holdings Inc.)
- Sony Plaza Inc.
- Sony Pictures Entertainment Inc.
- Sostar Inc.
- The Orchard Enterprises, Inc.
- Silvergate Media
- AWAL

Eligibility

The Plan covers all eligible employees of the Companies. Eligible employees are immediately eligible to make elective pre-tax, Roth and after-tax deferrals and to receive company matching contributions

under the Plan except that employees who are regularly scheduled to work fewer than 20 hours per week are not eligible to participate in the Plan until they have completed a year of service as defined by the Plan.

Contributions

The savings component of the Plan provides that participating employees may elect to contribute up to 50% of their eligible annual compensation, with the company matching 100% of the first 3%, and 50% of the second 3% of participant contributions immediately. No matching contribution is made for participant contributions in excess of 6% of eligible annual compensation. Newly eligible employees (and rehires) who do not make a timely active election to contribute to the Plan (generally within 45 days of becoming eligible) are automatically enrolled in the Plan at a rate of 6% of eligible compensation on a pre-tax basis only with annual increases of 1% each year on the anniversary of their enrollment date until the contribution level of 10% is reached. Employees may opt out of either of these automatic elections at any time. Certain groups are excluded from auto-enrollment but still have the ability to opt into the Plan at any time (subject to satisfying the Plan's eligibility requirements). Employees who are auto-enrolled are notified of their enrollment and of the Plan's qualified default investment alternative ("QDIA"), and thus the QDIA is deemed to be a participant-directed investment. In accordance with the Internal Revenue Service ("IRS") limitations, employee pre-tax and Roth contributions are limited to a maximum annual amount of $19,500 for 2021. Participants who are turning 50 years of age or older may also make catch-up contributions on a pre-tax basis of up to $6,500 for 2021, which increases the maximum annual pre-tax and/or Roth contribution amount to $26,000 for 2021. Catch-up contributions are not eligible for company matching contributions. On a combined pre-tax, Roth and after-tax basis, participant contributions are limited to $44,950 annually. Participants direct the investment of their contributions into various investment options offered by the Plan. Absent an investment election by the employee, assets are invested in the QDIA, which is the Sony Target Date Fund with the year in its name closest to the employee's 65th birthday.

Certain employees of designated participating Companies are eligible for an annual 3% non-elective contribution (either "Retirement Savings Account ("RSA")" or "Retirement Savings Investment Fund ("RSIF")" as applicable in accordance with Plan rules) based on their eligible compensation after they have completed a year of service with a participating Company (in accordance with the Plan's eligibility rules). These annual contributions are made after the end of the Plan year subject to Plan provisions and are based on eligible compensation earned in the previous calendar year. The RSA contribution amount was recorded as employer contributions receivable of $ 7,615,612 at December 31, 2021. The RSIF contribution amount was recorded as employer contributions receivable of $ 1,023,484 at December 31, 2021. The RSA and RSIF receivable balances at December 31, 2020 were $7,865,298 and $951,147 respectively.

In connection with the adoption of a safe harbor plan design, the Plan instituted a true up employer matching contribution. If, during the Plan year, a participant reaches the pre-tax contribution limit, before the end of the year, and therefore stops receiving matching contributions before he or she has received the maximum matching contribution for which he or she is eligible under the Plan, the applicable Company will make a lump sum contribution, as soon as administratively possible after the end of the applicable Plan year to the participant's account, which is equal to the difference between the amount they would have received had they not reached one of the Plan limits and the amount actually contributed, subject to the maximum match as defined by the Plan. The true-up contribution was $ 6,781,224 for the year ended December 31, 2021. The true-up contribution for the year ended December 31, 2020 was $6,047,998. The contributions are included in the employer contributions receivable amount shown on the Statement of Net Assets Available for Benefits.

Participant Account Allocations
Individual accounts are maintained for each Plan participant. Each participant's account is credited (or debited) with the participant's contributions, company contributions (if applicable), earnings on participant and company contributions (if applicable), distributions to and withdrawals by participants, and charges for administrative expenses. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

Vesting
Participants are immediately vested in all employee contributions and employer matching contributions. RSA contributions vest according to the following graduated schedule: 25% vesting after two years of vesting service, 50% vesting after three years of vesting service, 75% vesting after four years of vesting service and 100% vesting after five years of vesting service (a year of service is based on the Plan's definition of "Credited Vesting Year"). RSIF contributions vest ratably over three Credited Vesting Years. Participants also become 100% vested as a result of reaching age 60, death, or permanent and total disability while actively employed with the Companies. RSA contributions and RSIF contributions are company non-elective contributions.

Forfeited Accounts
If a participant who is not 100% vested terminates from the Companies, the non-vested portion of all company contributions is forfeited in accordance with Plan rules and may be used to offset subsequent company contributions and/or Plan expenses. Forfeitures for the year ended December 31, 2021 were $96,351 and were used to reduce company contributions. The total forfeiture account balance as of December 31, 2021 and December 31, 2020 was $417,028 and $154,197, respectively.

Notes Receivable from Participants
Participants may elect to take loans from their accumulated vested account balances subject to certain restrictions and limitations, as defined in the Plan document. Loans are withdrawn pro rata from the participant's fund balance(s). For the year ended December 31, 2021, the interest rate charged on loans was the Prime rate plus 1%. Repayment of loans is amortized monthly, bi-weekly or weekly, depending on the participant's pay frequency, and made either in equal installments through payroll deductions for a period generally not to exceed 15 years if the loan is for the purchase of a primary residence, or five years for a general purpose loan, or in a lump sum. Employees may have one general purpose loan and one primary residence loan outstanding at one time. The maximum amount a participant can borrow is the lesser of 50% of his or her vested account balance (including any outstanding loans) minus his or her current outstanding loan balance, or $50,000 minus his or her highest outstanding loan balance(s) across all of the employer's qualified plans during the past twelve months. Loan repayments, consisting of interest and principal, are paid ratably through payroll deductions and are invested in the participant's fund balance(s) according to his or her current investment elections. Should a participant terminate employment with the Companies and not repay his or her loan in full by the end of the calendar quarter following the calendar quarter in which payment is due, the participant's outstanding loan balance is deemed to be distributed to the participant in partial settlement of the participant's vested account balances.

In accordance with the Coronavirus Aid, Relief, and Economic Security ("CARES") Act, the Plan allowed a suspension of new and existing loan repayments up to one year for participants who meet the eligibility requirements, effective from May 2020 to December 31, 2020. Suspended loan repayments were re-amortized in January 2021.

Payment of Benefits
Participants may receive the value of the vested interest in his or her account at any time after separation from service subject to the minimum distribution requirements. The participant or beneficiary may elect to receive a lump-sum amount subject to limitations specified in the Plan

document, or monthly, quarterly, semi-annual, or annual installments over an elected period of time. A terminated participant may also elect to take partial lump-sum distributions from their Plan account at any time, limited to one partial lump-sum distribution per calendar quarter, subject to the terms of the Plan. Prior to separation from service, participants may elect a rollover withdrawal, after-tax withdrawal, hardship withdrawal or age 59 ½ withdrawal subject to meeting certain criteria

In accordance with the CARES Act, the Plan allowed eligible participants to request Coronavirus-Related Distributions up to $100,000, excluding Roth sources, effective January 1, 2020 to December 31, 2020. Participants may repay the Coronavirus-Related Distributions back to the Plan or other qualified plan or IRA within a three-year period. In addition, Required Minimum Distributions scheduled to be paid in 2020 were waived until 2021.

Administrative and Investment Management Expenses
Certain expenses of maintaining the Plan are paid directly by the Plan Sponsor and are excluded from the Plan financial statements. Plan recordkeeping and trustee fees are paid by the Plan and are reflected in the financial statements as administrative expenses. Fees related to the administration of notes receivable from participants are charged directly to the participant's account and are included in administrative expenses. Investment management fees are charged to the Plan as a reduction of investment return and included in the investment income (loss) reported by the Plan.

Termination
The Plan Sponsor intends to continue the Plan indefinitely; however, the Plan Sponsor may amend or terminate the Plan at any time. Upon termination of the Plan, all participants will have a non-forfeitable right to the entire value of their accounts.

2. Summary of Significant Accounting Policies

Basis of Preparation
The financial statements are prepared on the accrual basis of accounting in conformity with accounting principles generally accepted in the United States of America.

Use of Estimates
The preparation of the Plan's financial statements in accordance with accounting principles generally accepted in the United States of America requires that Plan management make estimates and assumptions that affect the reported amounts of net assets available for benefits and disclosure of contingent assets available for benefits at the date of the financial statements and the reported amounts of changes in net assets available for benefits during the reporting period. Actual results could differ from those estimates.

Investments
Investments are reported at fair value, except for the fully benefit-responsive investment contracts, which are reported at contract value. See Note 3 for discussion of fair value measurement. Purchases and sales of securities are recorded on a trade date basis. Dividend income is recorded on the ex-dividend date. Interest income and expenses are accrued daily. Income from other investments is recorded as earned on an accrual basis. The Plan presents the net appreciation or depreciation in the fair value of its investments, which consist of the realized gains or losses and the change in unrealized appreciation or depreciation on those investments, in the Statements of Changes in Net Assets Available for Benefits.

Notes Receivable from Participants
Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Delinquent participant loans are recorded as distributions upon the occurrence of a distributable event. Participants make loan repayments through payroll deductions or direct payments to the recordkeeper.

Administrative Expenses
Expenses incurred in the administration of the Plan are borne by the Plan except for general consulting fees which are paid by the Companies. Any expenses paid by the Companies are excluded from the Plan financial statements.

Benefits Paid
Distributions to participants are recorded when paid.

3. Fair Value Measurements

The Plan applies the provisions of FASB ASC 820. The standard defines fair value, outlines a framework for measuring fair value, and details the required disclosures about fair value measurements. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The three levels of the fair value hierarchy under ASC Topic 820 are described as follows:

Level 1 Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

Level 2 Inputs to the valuation methodology include:

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

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

Level 3 Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

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

There were no significant transfers in or out of Level 1 or Level 2 fair value measurements during the periods presented. There were no Level 3 investments for the years ended December 31, 2021 and 2020.

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

Collective Trusts
Valued at the Net Asset Value ("NAV") of units of a bank collective trust. The NAV, as provided by the Trustee, is used as a practical expedient to estimate fair value. The NAV is based on the fair value of the underlying investments held by the fund less its liabilities. Participant transactions (purchased and sales) may occur daily.

Registered Investment Companies
Assets of publicly traded registered investment companies are valued using the NAV calculated by the administrator of the funds and the NAV quotes are available in public markets, such as stock exchanges. The NAV is calculated daily based on the closing market prices and accruals of the securities in the funds' portfolios (total value of the fund) divided by the number of shares currently issued and outstanding. It offers daily redemption with notification on trade date, assuming normal market conditions. As of December 31, 2021, the Plan did not have any unfunded commitments for this investment.

Common and Preferred Stocks
Valued at the closing price reported on the active market on which the individual securities are traded.

Interest Bearing Cash
Cash and cash equivalent assets with high degree of liquidity are valued at cost which equals or approximates fair value.

Self-directed Brokerage Account
Investments held in the self-directed brokerage account constitute a broad array of registered investment companies (publicly traded mutual funds) and certificates of deposit. Fair values of all registered investment companies and certificates of deposit are determined using the methods prescribed above.

The following tables set forth by level, within the fair value hierarchy, the fair value of the Plan's investments as of December 31, 2021 and 2020:

Investments at Fair Value as of December 31, 2021

	Level 1	*Level 2*	*Total*
Registered Investment Companies:			
Large Cap Equity - Value	$ 170,331,849	$ -	$ 170,331,849
Emerging Markets Equity	$ 52,365,484	$ -	$ 52,365,484
High Yield	$ 35,578,750	$ -	$ 35,578,750
Total Registered Investment Companies	$ 258,276,083	$ -	$ 258,276,083
Common and Preferred Stocks:			
Total Common and Preferred Stocks	$ 483,768,932	$ -	$ 483,768,932
Interest Bearing Cash	$ 3,883,207	$ -	$ 3,883,207
Total Self-Directed Brokerage Window	$ 43,862,303	$ -	$ 43,862,303
Total Investments at Fair Value	**$ 789,790,525**	**$ -**	**$ 789,790,525**
Collective Trusts*			$ 4,157,454,772
Registered Investment Companies (private MF)*			$ 6,030,386
Total Investments			**$ 4,953,275,683**

* Investments measured at fair value using net asset value per share (or its equivalent) as a practical expedient have not been classified in the fair value hierarchy. The fair value amounts presented in this table for such investments are intended to permit reconciliation of the fair value hierarchy to the investments at fair value line item presented in the statements of net assets available for benefits.

Investments at Fair Value as of December 31, 2020

	Level 1	Level 2	Total
Registered Investment Companies:			
Large Cap Equity - Value	$ 134,904,638	$ -	$ 134,904,638
Emerging Markets Equity	$ 46,827,893	$ -	$ 46,827,893
High Yield	$ 30,212,328	$ -	$ 30,212,328
Total Registered Investment Companies	$ 211,944,859	$ -	$ 211,944,859
Common and Preferred Stocks:			
Total Common and Preferred Stocks	$ 427,121,315	$ -	$ 427,121,315
Interest Bearing Cash	$ 1,473,345	$ -	$ 1,473,345
Total Self-Directed Brokerage Window	$ 37,390,553	$ -	$ 37,390,553
Total Investments at Fair Value	**$ 677,930,072**	**$ -**	**$ 677,930,072**
Collective Trusts*			$ 3,461,020,701
Registered Investment Companies (private MF)*			$ 1,320,957
Total Investments			**$ 4,140,271,730**

* Investments measured at fair value using net asset value per share (or its equivalent) as a practical expedient have not been classified in the fair value hierarchy. The fair value amounts presented in this table for such investments are intended to permit reconciliation of the fair value hierarchy to the investments at fair value line item presented in the statements of net assets available for benefits.

The Plan may redeem shares of assets held in Common Collective Trust Funds subject to certain restrictions. Consistent with ASU 2009-12, the table below outlines the redemption terms and redemption restrictions for the Collective Trust Funds based on the category of investment:

12/31/2021

Category of Investment	Fair Value of Common/Collective Trust	Redemption Terms	Redemption Restrictions
Short Term Investment Fund	$ 2,770,480	Daily redemption with notification on day of trade date	NA
Target Date Funds	$ 1,778,812,097	Daily redemption with notification on day of trade date	NA
Short-Term Bond	$ 6,564,657	Daily redemption with notification on day of trade date	NA
Intermediate-Term Bond	$ 277,728,284	Daily redemption with notification on day of trade date	NA
High Yield Bond	$ 34,155,379	Daily redemption with notification on day of trade date	NA
Large Cap Equity - Value	$ 174,999,643	Daily redemption with notification on day of trade date	NA
Large Cap Equity - Core	$ 774,853,191	Daily redemption with notification on day of trade date	NA
Large Cap Equity - Growth	$ 351,241,863	Daily redemption with notification on day of trade date	NA
Mid Cap Equity	$ 353,017,428	Daily redemption with notification on day of trade date	NA
Small Cap Equity	$ 216,121,386	Daily redemption with notification on day of trade date	NA
International Equity	$ 138,521,962	Daily redemption with notification on day of trade date	NA
Emerging Markets	$ 14,297,347	Daily redemption with notification on day of trade date	NA
Global REIT	$ 33,636,940	Daily redemption with notification on day of trade date	NA

12/31/2020

Category of Investment	Fair Value of Common/Collective Trust	Redemption Terms	Redemption Restrictions
Short Term Investment Fund	$ 2,717,186	Daily redemption with notification on day of trade date	NA
Target Date Funds	$ 1,477,291,431	Daily redemption with notification on day of trade date	NA
Short-Term Bond	$ 9,513,232	Daily redemption with notification on day of trade date	NA
Intermediate-Term Bond	$ 266,250,694	Daily redemption with notification on day of trade date	NA
High Yield Bond	$ 29,757,297	Daily redemption with notification on day of trade date	NA
Large Cap Equity - Value	$ 132,622,107	Daily redemption with notification on day of trade date	NA
Large Cap Equity - Core	$ 603,711,205	Daily redemption with notification on day of trade date	NA
Large Cap Equity - Growth	$ 304,396,967	Daily redemption with notification on day of trade date	NA
Mid Cap Equity	$ 288,987,613	Daily redemption with notification on day of trade date	NA
Small Cap Equity	$ 180,157,383	Daily redemption with notification on day of trade date	NA
International Equity	$ 126,443,918	Daily redemption with notification on day of trade date	NA
Emerging Markets	$ 14,453,219	Daily redemption with notification on day of trade date	NA
Global REIT	$ 24,020,404	Daily redemption with notification on day of trade date	NA

4. Fully Benefit-Responsive Investment Contracts (FBRICs)

The Plan holds a portfolio of four separate synthetic guaranteed investment contracts ("the Contracts") that are held within a customized separately-managed stable value account. These contracts meet the fully benefit-responsive investment contract criteria and, therefore, are reported at contract value. Contract value is the relevant measure for fully benefit-responsive investment contracts because this is the amount received by participants when they initiate permitted transactions under the terms of the Plan. Contract value represents contributions made under each contract, plus earnings, less withdrawals. The value of these investment contracts held by the Plan was $404,090,632 at December 31, 2021, and $450,149,416 at December 31, 2020.

The Contracts, which are held under a separately-managed account along with a collective trust fund, are issued by insurance companies or other financial institutions, and are backed by a portfolio of fixed income investments. The Contracts' underlying investments consist primarily of collective trust funds, corporate bonds, U.S. government securities, and interest-bearing cash. The Contracts guarantee that all qualified participant withdrawals will be at contract value and that the crediting rate applied will not be less than 0%. Crediting rates are typically reset quarterly to account for the difference between the contract value and the fair value of the underlying portfolio.

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

Synthetic guaranteed investment contracts generally are evergreen contracts that contain termination provisions, allowing the Plan or the contract issuer to terminate with notice, at any time at fair value, and providing for automatic termination of the contract if the contract value or the fair value of the underlying portfolio equals zero. The issuer is obligated to pay the excess contract value when the fair value of the underlying portfolio equals zero.

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

The Contracts also generally provide for withdrawals associated with certain events which are not in the ordinary course of Plan operations. These withdrawals are paid with a market value adjustment applied to the withdrawal as defined in the investment contract. Each contract issuer specifies the events which may trigger a market value adjustment; however, such events may include, but not be limited to, the following:

- material amendments to the Plan's structure or administration;
- complete or partial termination of the Plan, including a merger with another plan;
- the failure of the Plan to qualify for exemption from federal income taxes or any required prohibited transaction exemption under ERISA;

- the redemption of all or a portion of the interests in the Plan at the direction of the plan sponsor, including withdrawals due to the removal of a specifically identifiable group of employees from coverage under the plan (such as a group layoff or early retirement incentive program), the closing or sale of a subsidiary, employing unit, or affiliate, the bankruptcy or insolvency of the plan sponsor, the merger of the plan with another plan, or the plan sponsor's establishment of another tax qualified defined contribution plan;
- any change in law, regulation, ruling, administrative or judicial position, or accounting requirement, applicable to the Plan;
- changes to competing investment options;
- the delivery of any communication to plan participants designed to influence a participant not to invest in the stable value option.

The events described above are not probable of occurring, and as such, the Contracts are deemed to be fully benefit responsive.

5. Information Certified by the Plan's Trustee

The Plan's investments are held in a trust administered by the Northern Trust Company, Trustee of the Plan. The Trustee have certified that their reports of assets held at December 31, 2021 and December 31, 2020, and transactions for the year ended December 31, 2021, are complete and accurate in accordance with Section 2520.103-5 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. The following is a summary of the Plan's financial information and data certified by the Trustee:

	As of December 31 2021	As of December 31 2020
Investments at fair value	$ 4,953,275,683	$ 4,140,271,730
Investments in FBRICs	404,090,632	450,149,416
Notes receivable from participants	26,345,924	26,229,099
Accrued interest and dividends	1,476,954	1,424,395

	For the year ended December 31, 2021
Net investment income/(loss):	
Net appreciation/(depreciation) in fair value of investments	$ 735,619,667
Interest and dividends	8,116,206
Total net investment income/(loss)	$ 743,735,873
Interest income on notes receivable from participants	$ 1,207,535

6. Federal Income Tax Status

The Plan received a favorable determination letter from the IRS dated September 28, 2016 indicating that the Plan documentation satisfied the requirements for tax qualification under Section 401(a) of the Internal Revenue Code and, therefore, the Trust established as part of the Plan is exempt from federal income tax under the provisions of Section 501(a) of the Internal Revenue Code. The Plan has been amended subsequent to the filing with the IRS for this determination letter. However, the Company believes that the Plan continues to be designed and operated in compliance with Section 401(a) and, therefore, no provision for income taxes has been made in the Plan's financial statements.

Accounting principles generally accepted in the United States of America require the Plan's management to evaluate tax positions taken by the Plan and recognize a tax liability or asset if the plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Plan sponsor has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2021 and 2020, there are no uncertain positions taken or expected to be taken that would require recognition of a liability or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan administrator believes it is no longer subject to income tax examinations for years prior to 2018.

7. Risks and Uncertainties

The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market, liquidity, 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 those changes could materially affect participant account balances, as well as the amounts reported in the Statements of Net assets Available for Benefits. Market values of investments may decline for a number of reasons, including changes in prevailing market and interest rates, increases in defaults and credit rating downgrades.

8. Party-in-Interest Transactions

Parties-in-interest are defined under DOL regulations as any fiduciary of the Plan, any party rendering service to the Plan, the employer, and certain others. Officers and employees do not receive compensation from the Plan. Certain Plan investments are collective trust funds managed by the Trustee. As of December 31, 2021, the aggregate asset value of the funds was $1,681,865,706. For the year ended December 31, 2021, total realized gain on these investments was $89,606,292 with no material income/dividends received. As of December 31, 2020, the aggregate asset value of the funds was $1,358,013,566. For the year ended December 31, 2020, total realized gain on these investments was $81,501,221 with no material income/dividends received. Additionally, as described in Note 2, the Plan paid certain expenses related to plan operations and investment activity to various service providers. These transactions are party-in-interest transactions under ERISA. In addition, notes receivable from participants are party-in-interest transactions.

9. Reconciliation between Financial Statements and Form 5500

The following is a reconciliation of net assets available for benefits per the financial statements at December 31, 2021 and 2020, to the Form 5500:

	2021	2020
Net assets available for benefits per financial statements	$ 5,400,701,891	$ 4,633,482,312
Market value adjustments to Stable Value Fund	5,847,643	17,637,841
Amounts allocated to deemed loan activity	-	-
Net assets available for benefits per Form 5500	$ 5,406,549,534	$ 4,651,120,153

The following is a reconciliation of the change in net assets available for benefits for the year ended December 31, 2021, per the financial statements to the net income reported in the 2021 Form 5500:

Net increase in net assets available for benefits per financial statements	$ 767,219,579
Market value adjustments to Stable Value Fund	(11,790,198)
Deemed loan distributions	-
Other amounts allocated to deemed loan activity	-
Net increase in net assets available for benefits per Form 5500	$ 755,429,381

10. Subsequent Events

On November 30, 2020, Sony Electronics, Inc. acquired Nevion USA, Inc. Nevion's eligible employees began participating in the Plan effective January 1, 2022 when they became employees of Sony Electronics, Inc.

On April 21, 2022, Sony Pictures Entertainment acquired Industrial Media, LLC. Industrial Media's eligible employees began participating in the Plan as of that date.

On July 1, 2022, investments available through the self-directed brokerage account were expanded to include publicly traded to exchange traded funds (ETFs) in addition to the previously available publicly traded mutual funds and certificates of deposit.

Plan management evaluated all events or transactions that occurred after December 31, 2021 up through October 6, 2022, the date these financial statements were available for issuance.

Schedule H, Line 4a – Schedule of Delinquent Participant Contributions

Participant Contributions Transferred Late to the Plan	Total that Constitute Nonexempt Prohibited Transaction			Total Fully Corrected under VFCP and PTE-2002-51
Check here if late participant loan payments are included: ☐	Contributions Not Corrected	Contributions Corrected outside VFCP	Contributions Pending Correction in VFCP	$14,760
	$696			

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Collective Trusts			
*	Collective Trusts	NT COLLECTIVE S&P500 INDEX FUND-DC-NON LENDING (TIER J)		774,853,191
*	Collective Trusts-Other	MFB NT COLLECTIVE S&P400 INDEX FUND-DC-NON LENDING (TIER J)		353,017,428
*	Collective Trusts	MFB NT COLLECTIVE RUSSELL 1000 GROWTH INDEX FUND - NON LENDING		351,241,863
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX RETIREMENT 2035 NL CL F		313,173,206
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX 2040 NL FUND F		287,611,270
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX RETIREMENT 2045 NL CL F		259,843,577
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX 2030 NL FUND F		235,331,912
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX RETIREMENT 2025 NL CL F		206,555,080
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX 2050 NL FUND F		202,026,215
*	Collective Trusts	MFB NT COLLECTIVE RUSSELL 1000 VALUE INDEX FUND - NON LENDING		174,999,643
	Collective Trusts	MFO STATE STR BK & TR CO INVT FDS TAX EXEMPT RETIREMENT PLANS CL A		140,095,509
	Value of Interest in Collective Trusts	MFO SSGA INTERNATIONAL INDEX		138,521,962
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX RETIREMENT NL CL F		120,330,524
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX 2055 NON LENDING FD F		112,253,622
	Value of Interest in Collective Trusts	MFO PRUDENTIAL TR CO COLTV TR JENNISON US SMALL CAP EQTY FD INSTL (CL 1) 9JA		111,362,801
	Collective Trusts	MFO RUSSELL 2000 NON LENDING SER CL A		104,758,585
	Collective Trusts	MFO PRUDENTIAL CORE PLUS BOND FUND CL 1		68,848,969
	Collective Trusts	MFO METWEST TOTAL RETURN BOND CLASS C		68,783,807
	Collective Trusts	MFO BLACKROCK LIFEPATH 2060 NL F		37,618,471
	Collective Trusts	MFO SSGA US HI YIELD BD INDEX NL SF CL A		34,155,379
	Collective Trusts	MFO AEW GLOBAL PROPERTIES TRUST FUND DC FUND CLASS A		17,133,620
	Collective Trusts	MFO SSGA GLOBAL REIT		16,503,319
*	Collective Trusts	MFB NT COLLECTIVE MSCI EMERGING MARKETS FUND-NON LENDING		14,297,347
***	Value of Interest in Common/Collective Trusts	NTGI COLTV GOVT STIF REGI STERED		10,685,754
	Collective Trusts	MFO BLACKROCK INSTL LIFEPATH INDEX 2065 NON LENDABLE FD F		4,665,456
*	Collective Trusts	NTGI COLTV GOVT STIF REGI STERED		2,405,520
*	Collective Trusts	NTGI COLTV GOVT STIF REGI STERED		361,767
*	Collective Trusts	NTGI COLTV GOVT STIF REGI STERED		1,832
*	Collective Trusts	NTGI COLTV GOVT STIF REGI STERED		1,360
*	Collective Trusts	NTGI COLTV GOVT STIF REGI STERED		-
*	Collective Trusts	NTGI COLTV GOVT STIF REGI STERED		-
*	Collective Trusts	NTGI COLTV GOVT STIF REGI STERED		-
***	Value of Interest in Collective Trusts	Wells Fargo Fixed Income Fund L (Galliard) (a)		114,830,019
***	Value of Interest in Collective Trusts	Wells Fargo Fixed Income Fund J (Dodge & Cox) (a)		43,731,095
***	Value of Interest in Collective Trusts	Wells Fargo Fixed Income Fund C (TCW) (a)		43,703,864
***	Value of Interest in Collective Trusts	Wells Fargo Fixed Income Fund N (Jennison) (a)		37,147,738
***	Value of Interest in Collective Trusts	WF/BlackRock Short Term Investment Fund S (a)		6,564,657
		Total Collective Trusts		**4,407,416,362**
	Registered Investment Companies			
	Value of Interest in Registered Investment Companies	MFO DODGE & COX STOCK FD OPEN END FD		170,331,849
	Value of Interest in Registered Investment Companies	MFO COLUMBIA FDS SER TR II MASS INCOME OPPORTUNITIES FD CL Y		35,578,750
	Value of Interest in Registered Investment Companies	MFO DFA INVT DIMENSIONS GROUP INC EMERGING MKTS CORE EQUITY PORT		27,500,834
	Value of Interest in Registered Investment Companies	MFO TOUCHSTONE STRATEGIC TR SANDS CAP EMERGING MKTS GROWTH FD INSTL CL		24,864,650
	Value of Interest in Registered Investment Companies	MFO RESERVE INVT FDS INC T ROWE PRICE GOVT RESERVE FD		6,030,386
		Total Registered Investment Companies		**264,306,469**

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Common and Preferred Stock			
	Corporate Stock - Preferred	HENKEL AG & CO KGAA NON-VTG PRF NPV		1,962,077
	Corporate Stock - Preferred	SHOPIFY INC CL A SHOPIFY INC		1,961,403
	Corporate Stock - Preferred	AFTERPAY LIMITED		1,857,648
	Corporate Stock - Preferred	BAIDU INC USD0.000000625 A CLASS		1,610,031
	Corporate Stock - Preferred	KINROSS GOLD CORP COM NPV		1,301,060
	Corporate Stock - Preferred	ALIBABA GROUP HOLDING LTD		1,089,030
	Corporate Stock - Preferred	ATLASSIAN CORPORATION PLC COM USD0.1 CL A		953,225
	Corporate Stock - Preferred	AGNICO-EAGLE MINES LTD COM NPV		872,665
	Corporate Stock - Preferred	PVTPL GM CRUISE HOLDINGS LLC CLASS F PREFERRED SHARES		328,500
	Corporate Stock - Preferred	PVTPL &&& WAYMO LLC SER A-2 CONVT PREF STOCK T-ROWE PRICE ONLY		230,468
	Corporate Stock - Common	MICROSOFT CORP COM		39,415,359
	Corporate Stock - Common	AMAZON COM INC COM		28,555,288
	Corporate Stock - Common	APPLE INC COM STK		21,859,045
	Corporate Stock - Common	META PLATFORMS INC		18,453,170
	Corporate Stock - Common	ALPHABET INC CAP STK USD0.001 CL C		15,301,303
	Corporate Stock - Common	ALPHABET INC CAPITAL STOCK USD0.001 CL A		15,160,210
	Corporate Stock - Common	INTUIT COM		8,754,224
	Corporate Stock - Common	TESLA INC COM USD0.001		7,337,224
	Corporate Stock - Common	NETFLIX INC COM STK		6,957,580
	Corporate Stock - Common	NVIDIA CORP COM		6,768,059
	Corporate Stock - Common	PVTPL &&& RIVIAN AUTOMOTIVE INC LOCKUP SHS PP TROWE PRICE ONLY		6,464,226
	Corporate Stock - Common	VISA INC COM CL A STK		5,945,656
	Corporate Stock - Common	ADR SEA LTD ADR		5,874,400
	Corporate Stock - Common	INTUITIVE SURGICAL INC COM NEW STK		5,504,476
	Corporate Stock - Common	ADR ASML HLDG NV NY REG 2012 (POST REV SPLIT)		5,445,598
	Corporate Stock - Common	ROSS STORES INC COM		5,199,511
	Corporate Stock - Common	SNAP INC SNAP INC		5,078,817
	Corporate Stock - Common	MASTERCARD INC CL A		4,961,131
	Corporate Stock - Common	SERVICENOW INC COM USD0.001		4,955,955
	Corporate Stock - Common	CHUBB LTD ORD CHF24.15		4,787,902
	Corporate Stock - Common	SALESFORCE INC COM USD0.001		4,630,503
	Corporate Stock - Common	HEINEKEN NV EUR1.60		4,355,178
	Corporate Stock - Common	RIVIAN AUTOMOTIVE INC		4,325,117
	Corporate Stock - Common	GSK PLC		4,176,228
	Corporate Stock - Common	NESTLE SA CHF0.10(REGD)		4,113,774
	Corporate Stock - Common	ELI LILLY & CO COM		4,077,283
	Corporate Stock - Common	ZURICH INSURANCE GROUP AG CHF0.10		4,031,026
	Corporate Stock - Common	STRYKER CORP		4,023,869
	Corporate Stock - Common	ADVANCED MICRO DEVICES INC COM		3,782,124
	Corporate Stock - Common	EURONEXT EUR1.60		3,664,932
	Corporate Stock - Common	WILLIS TOWERS WATSON PLC COM USD0.000115		3,643,572
	Corporate Stock - Common	ASTELLAS PHARMA NPV		3,561,138
	Corporate Stock - Common	SPOTIFY TECHNOLOGY S A COM EUR0.025		3,533,853
	Corporate Stock - Common	HCA HEALTHCARE INC COM		3,531,622

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Common and Preferred Stock			
	Corporate Stock - Common	DIAGEO ORD PLC		3,516,912
	Corporate Stock - Common	DAITO TRUST CONST NPV		3,467,282
	Corporate Stock - Common	TOKIO MARINE HOLDINGS INC NPV		3,399,908
	Corporate Stock - Common	ROPER TECHNOLOGIES , INC		3,268,902
	Corporate Stock - Common	SANOFI EUR2		3,212,684
	Corporate Stock - Common	EVEREST RE GROUP COM		3,208,698
	Corporate Stock - Common	CHECK PT SOFTWARE TECHNOLOGIES ORDILS.01		3,179,640
	Corporate Stock - Common	TOTALENERGIES SE		3,112,341
	Corporate Stock - Common	FISERV INC COM		3,109,548
	Corporate Stock - Common	FERRARI N V FERRARI N V COMMON S TOCK		3,003,088
	Corporate Stock - Common	SAP SE		2,992,847
	Corporate Stock - Common	TELEDYNE TECHNOLOGIES INC COM		2,992,697
	Corporate Stock - Common	FEDEX CORP COM		2,946,426
	Corporate Stock - Common	ADR KB FINL GROUP INC SPONSORED ADR REPSTG 1 COM SH ADR		2,911,911
	Corporate Stock - Common	AXA SA EUR2.29		2,903,195
	Corporate Stock - Common	LULULEMON ATHLETICA INC COM		2,894,773
	Corporate Stock - Common	BUREAU VERITAS EUR0.12		2,857,597
	Corporate Stock - Common	SIEMENS AG NPV(REGD)		2,827,875
	Corporate Stock - Common	NOVARTIS AG CHF0.50 (REGD)		2,665,985
	Corporate Stock - Common	SUMITOMO MITSUI TRUST HOLDINGS INC		2,630,113
	Corporate Stock - Common	LIBERTY GLOBAL PLC USD0.01 A		2,557,600
	Corporate Stock - Common	MONGODB INC CL A CL A		2,507,530
	Corporate Stock - Common	CHIPOTLE MEXICAN GRILL INC COM STK		2,505,242
	Corporate Stock - Common	UNITEDHEALTH GROUP INC COM		2,481,074
	Corporate Stock - Common	BOOKING HLDGS INC COM		2,449,614
	Corporate Stock - Common	AKZO NOBEL NV EUR0.50(POST REV SPLIT)		2,444,784
	Corporate Stock - Common	AIRBUS SE EUR1		2,410,107
	Corporate Stock - Common	MEDTRONIC PLC COMMON STOCK STOCK		2,388,143
	Corporate Stock - Common	MAKITA CORP NPV		2,377,831
	Corporate Stock - Common	BLACK KNIGHT INC COM USD0.0001 WI		2,352,087
	Corporate Stock - Common	ADR VODAFONE GROUP PLC NEW SPONSORED ADRNO PAR		2,335,530
	Corporate Stock - Common	TRANSUNION COM		2,315,749
	Corporate Stock - Common	SINGAPORE EXCHANGE NPV		2,296,451
	Corporate Stock - Common	GENERAC HLDGS INC COM STK		2,216,744
	Corporate Stock - Common	MATCH GROUP INC NEW COM		2,206,724
	Corporate Stock - Common	ADR TAIWAN SEMICONDUCTOR MANUFACTURING SPON ADS EACH REP 5 ORD TWD10		2,112,884
	Corporate Stock - Common	JULIUS BAER GRUPPE CHF0.02 (REGD)		2,104,622
	Corporate Stock - Common	ROBLOX CORP COM USD0.0001 CL A		2,101,679
	Corporate Stock - Common	DATADOG INC COM USD0.00001 CL A		2,096,355
	Corporate Stock - Common	S&P GLOBAL INC COM		2,076,020
	Corporate Stock - Common	WYNN RESORTS LTD COM		2,072,255
	Corporate Stock - Common	DOORDASH INC CL A COM USD0.00001 CLASS A		2,055,565
	Corporate Stock - Common	AENA SME S.A. EUR10		2,049,754
	Corporate Stock - Common	ADR ASTRAZENECA PLC SPONSORED ADR UNITEDKINGDOM		2,043,002
	Corporate Stock - Common	AON PLC		2,023,670

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Common and Preferred Stock			
	Corporate Stock - Common	NIKE INC CL B		1,920,538
	Corporate Stock - Common	CINTAS CORP COM		1,902,529
	Corporate Stock - Common	DANONE EUR0.25		1,819,496
	Corporate Stock - Common	AVANTOR INC COM		1,807,385
	Corporate Stock - Common	ZOOM VIDEO COMMUNICATIONS INC CL A CL A		1,799,559
	Corporate Stock - Common	PAYPAL HLDGS INC COM		1,796,036
	Corporate Stock - Common	GLOBAL PMTS INC COM		1,791,135
	Corporate Stock - Common	UIPATH INC CL A CL A		1,764,750
	Corporate Stock - Common	EXPEDIA GROUP INC COM USD0.001		1,714,491
	Corporate Stock - Common	JAPAN EXCHANGE GROUP INC NPV		1,710,329
	Corporate Stock - Common	FRESENIUS MEDICAL CARE NPV		1,706,235
	Corporate Stock - Common	AIRBNB INC CL A COM USD0.0001 CL A		1,672,392
	Corporate Stock - Common	ADR BP P L C SPONSORED ADR		1,663,070
	Corporate Stock - Common	ANTHEM INC COM		1,610,802
	Corporate Stock - Common	ACCOR SA EUR3		1,555,322
	Corporate Stock - Common	SENTINELONE INC CL A COM CL A COM		1,544,994
	Corporate Stock - Common	LLOYDS BANKING GP ORD GBP0.1		1,534,362
	Corporate Stock - Common	FARFETCH LTD COM USD0.04 CLASS A		1,529,891
	Corporate Stock - Common	CIGNA CORP NEW COM		1,487,543
	Corporate Stock - Common	CARVANA CO CL A CL A		1,481,833
	Corporate Stock - Common	SMITHS GROUP ORD GBP0.375		1,462,591
	Corporate Stock - Common	ROCHE HLDGS AG GENUSSCHEINE NPV		1,459,149
	Corporate Stock - Common	KUBOTA CORP NPV		1,430,984
	Corporate Stock - Common	ASSA ABLOY SER'B'NPV (POST SPLIT)		1,420,742
	Corporate Stock - Common	THE TRADE DESK INC COM CL A COM CL A		1,420,420
	Corporate Stock - Common	BOOKING HLDGS INC COM		1,333,972
	Corporate Stock - Common	HUMANA INC COM		1,315,507
	Corporate Stock - Common	NINTENDO CO LTD NPV		1,312,423
	Corporate Stock - Common	ADR TRIP COM GRP LTD		1,304,835
	Corporate Stock - Common	ACTIVISION BLIZZARD INC COM STK		1,272,120
	Corporate Stock - Common	COGNIZANT TECH SOLUTIONS CORP CL A		1,223,183
	Corporate Stock - Common	COUPANG INC CL A CL A		1,208,047
	Corporate Stock - Common	CONTINENTAL AG ORD NPV		1,195,650
	Corporate Stock - Common	LAS VEGAS SANDS CORP COM STK		1,116,704
	Corporate Stock - Common	WORKDAY INC CL A COM USD0.001		1,028,796
	Corporate Stock - Common	SAMSUNG ELECTRONIC GDR		1,017,433
	Corporate Stock - Common	CREDICORP LTD COM STK		1,012,571
	Corporate Stock - Common	CERIDIAN HCM HLDG INC COM		1,011,800
	Corporate Stock - Common	SANDS CHINA LTD USD0.01		932,027
	Corporate Stock - Common	ALIGN TECHNOLOGY INC COM		921,366
	Corporate Stock - Common	SNOWFLAKE INC CL A CL A		892,945
	Corporate Stock - Common	AVALARA INC COM		823,205
	Corporate Stock - Common	TWILIO INC CL A CL A		816,354
	Corporate Stock - Common	ADR ARGENX SE SPONSORED ADS		812,091

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Common and Preferred Stock			
	Corporate Stock - Common	PAYCOM SOFTWARE INC COM		785,539
	Corporate Stock - Common	BLOCK INC		769,595
	Corporate Stock - Common	ERICSSON SER'B'NPV		760,154
	Corporate Stock - Common	SIEMENS ENERGY AG NPV		754,481
	Corporate Stock - Common	LINDE PLC COMMON STOCK		728,329
	Corporate Stock - Common	BT GROUP ORD GBP0.05		722,056
	Corporate Stock - Common	MEITUAN USD0.00001		696,759
	Corporate Stock - Common	PVTPL ANT INTERNATIONAL COMPANY, LIMITEDCOMMON STOCK T. ROWE		691,139
	Corporate Stock - Common	PINTEREST INC CL A CL A		667,168
	Corporate Stock - Common	MARKETAXESS HLDGS INC COM STK		664,612
	Corporate Stock - Common	TRADEWEB MKTS INC CL A CL A		661,224
	Corporate Stock - Common	PELOTON INTERACTIVE INC		639,389
	Corporate Stock - Common	ADIDAS AG		635,194
	Corporate Stock - Common	SCOR SE EUR7.876972		632,646
	Corporate Stock - Common	#REORG/DRAFTKINGS STOCK MERGER DRAFTKINGS 0002C17A44 05-05-2022		596,044
	Corporate Stock - Common	MSCI INC COMMON		586,957
	Corporate Stock - Common	ADR PINDUODUO INC SPONSORED ADS		437,250
	Corporate Stock - Common	AFFIRM HLDGS INC CL A CL A		430,598
	Corporate Stock - Common	&&& AURORA INNOVATION INC CLASS B COM STK TROWE ONLY		417,515
	Corporate Stock - Common	MONDAY COM LTD COM NPV		373,860
	Corporate Stock - Common	BILL COM HLDGS INC COM		298,482
	Corporate Stock - Common	HASHICORP INC COM USD0.000015 CL A		254,457
	Corporate Stock - Common	PVTPL &&& TROWE ACCT ONLY STRIPE INC CLASS B		237,540
	Corporate Stock - Common	IAC/INTERACTIVECORP NEW COM NEW COM NEW		223,776
	Corporate Stock - Common	VIMEO INC COM		210,258
	Corporate Stock - Common	PVTPL &&& XIAOJU KUAIZHI INC (DID) LOCKUP SHARES TROWE PRICE ONLY		113,676
	Corporate Stock - Common	KUAISHOU TECHNOLOG USD0.0000053 B CLASS		79,477
	Corporate Stock - Common	TOAST INC COM USD0.000001 CLASS A		49,601
	Corporate Stock - Common	&&&MAGIC LEAP INC CLASS A COM STK TROWE PRICE ONLY		14,651
		Total Common and Preferred Stock		**483,768,932**
	Interest Bearing Cash			
	Interest Bearing Cash	United States dollar		4,848,001
	Interest Bearing Cash	United States dollar		208,175
	Interest Bearing Cash	Canadian dollar		771
	Interest Bearing Cash	United States dollar		(43)
	Interest Bearing Cash	United States dollar		(1,173,696)
***	Non-Interest Bearing Cash - USD	United States dollar		(85,454)
***	Receivables - Other - USD	Pending trade sales: United States dollar		1,538,047
***	Other Liabilities	Pending trade purchases: United States dollar		(1,701,439)
		Total Interest Bearing Cash		**3,634,362**

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Preferred	U S BK NATL ASSN CIN OH MEDIUM 2.05% 01-21-2025		532,022
***	Corporate Debt Instruments - Preferred	PUB SVC ELEC GAS FIXED 3% DUE 05-15-2025		366,827
***	Corporate Debt Instruments - Preferred	CAROLINA PWR & LT 2.8% DUE 05-15-2022		290,773
***	Corporate Debt Instruments - Preferred	ENTERGY ARK INC 3.05% DUE 06-01-2023		256,173
***	Corporate Debt Instruments - Preferred	PRAXAIR INC 2.2 DUE 08-15-2022		236,496
***	Corporate Debt Instruments - Preferred	PACIFICORP 3.6% DUE 04-01-2024		230,594
***	Corporate Debt Instruments - Preferred	TOTAL CAP INTL 2.434% DUE 01-10-2025		216,497
***	Corporate Debt Instruments - Preferred	AMEREN ILL CO 3.25% DUE 03-01-2025		183,633
***	Corporate Debt Instruments - Preferred	BURL NORTHN SANTA 3.05% DUE 09-01-2022		175,788
***	Corporate Debt Instruments - Preferred	SCHLUMBERGER INVT 3.65% DUE 12-01-2023		156,688
***	Corporate Debt Instruments - Preferred	STATOIL ASA 2.65% DUE 01-15-2024		154,677
***	Corporate Debt Instruments - Preferred	KANSAS CITY POWER & LT 3.65% DUE 08-15-2025		138,475
***	Corporate Debt Instruments - Preferred	TOTAL CAP INTL 2.7% DUE 01-25-2023		102,054
***	Corporate Debt Instruments - Preferred	ENTERGY ARK INC 3.7% DUE 06-01-2024		84,058
***	Corporate Debt Instruments - Preferred	WESTAR ENERGY INC 2.55% DUE 07-01-2026		72,597
***	Corporate Debt Instruments - Other	WELLS FARGO COML 2.918% DUE 10-15-2045		1,066,674
***	Corporate Debt Instruments - Other	HYUNDAI AUTO LEASE .51% DUE 09-15-2023		940,132
***	Corporate Debt Instruments - Other	VERIZON OWNER TR 1.85% DUE 07-22-2024		841,257
***	Corporate Debt Instruments - Other	VERIZON MASTER TR SR 2021-2 CL A .99% 04-20-2028		786,290
***	Corporate Debt Instruments - Other	FORD CR AUTO OWNER TR 2020-C ASSET BACKED NT CL A-3 .41% DUE 07-15-2025 REG		786,241
***	Corporate Debt Instruments - Other	DY9 LEASING LLC 2.415% 06-30-2027		770,623
***	Corporate Debt Instruments - Other	VERIZON COMMUNICATIONS INC SR 21-1 CL A .5% 05-20-2027		764,998
***	Corporate Debt Instruments - Other	PVTPL FORD CR AUTO OWNER TR 2018-REV2 NTCL A 144A 3.47% DUE 01-15-2030 BEO		758,532
***	Corporate Debt Instruments - Other	VERIZON OWNER TR .47% DUE 02-20-2025		752,995
***	Corporate Debt Instruments - Other	GM FINL CNSMR .45% DUE 04-16-2025		738,598
***	Corporate Debt Instruments - Other	WORLD OMNI AUTO 1.1% DUE 04-15-2025		727,923
***	Corporate Debt Instruments - Other	HYUNDAI AUTO LEASE .33% DUE 06-17-2024		715,493
***	Corporate Debt Instruments - Other	HYUNDAI AUTO RECEIVABLES TR SER 20-B CL A3 0.48% DUE 12-16-2024		714,709
***	Corporate Debt Instruments - Other	HONDA AUTO .82% DUE 07-15-2024		674,059
***	Corporate Debt Instruments - Other	WORLD OMNI AUTOMOBILE LEASE SEC TRUST SER 20-A CL A3 1.7% 01-17-2023 REG		673,715
***	Corporate Debt Instruments - Other	PVTPL DLLAA 2021-1 LLC NT CL A-3 144A .67% DUE 04-17-2026 BEO		662,735
***	Corporate Debt Instruments - Other	VOLVO FINL EQUIP .51% DUE 10-15-2024		648,012
***	Corporate Debt Instruments - Other	VERIZON OWNER TR 2020-C SRS 20- C CL A .41% DUE 12-20-2025		632,096
***	Corporate Debt Instruments - Other	TOYOTA AUTO REC 2020-A OWNER TR ASSET BKD NT CL A-3 1.66% DUE 05-15-2024 REG		629,569
***	Corporate Debt Instruments - Other	SANTANDER RETAIL AUTO LEASE TR ASSET BACKED NT CL A-3 144A .57% 04-22-2024		622,710
***	Corporate Debt Instruments - Other	NELNET STUDENT LN TR 2021-D PVT ED LN BKD NTS CL A-FL 1.61729% 04-20-2062		612,119
***	Corporate Debt Instruments - Other	MERCEDES-BENZ AUTO RECEIVABLES TR SER 20-1 CL A3 0.55% DUE 02-18-2025		609,656
***	Corporate Debt Instruments - Other	AMERICREDIT .53% DUE 06-18-2025		609,565
***	Corporate Debt Instruments - Other	SANTANDER RETAIL 2021-B TR ASSET BACKED NT CL A-3 144A .51% 08-20-2024		609,024
***	Corporate Debt Instruments - Other	WORLD OMNI SELECT .55% DUE 07-15-2025		605,096
***	Corporate Debt Instruments - Other	CMO UBS-BARCLAYS COML MTG TR SER 2012-C4 CL A-5 2.8502% 12-10-2045		604,390
***	Corporate Debt Instruments - Other	ORACLE CORP 2.5% DUE 04-01-2025 REG		604,066
***	Corporate Debt Instruments - Other	NISSAN AUTO LEASE TR 2020-B SR 20-B CL A-3 .43% 10-16-2023		600,067
***	Corporate Debt Instruments - Other	MISSISSIPPI HIGHER ED ASSISTANCE CORP SER 2014-1 CL A-1 FLTG RT 10-25-2035		595,339

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	SANTANDER RETAIL 1.74% DUE 07-20-2023		593,527
***	Corporate Debt Instruments - Other	HPEFS EQUIP TR 2021-1 ASSET BACKED NT CLA-3 144A .32% 03-20-2031		592,164
***	Corporate Debt Instruments - Other	PVTPL ENTERPRISE FLEET FING 2021-1 LLC CL A-2 0.44% DUE 12-21-2026 BEO		583,543
***	Corporate Debt Instruments - Other	COMM 2014-CCRE19 MTG TR SER 2014-CR19 CL ASB 3.499% DUE 08-10-2047		568,923
***	Corporate Debt Instruments - Other	WORLD OMNI AUTO RECEIVABLE TR SER 20-B CL A3 0.63% DUE 5-15-2025 REG		565,112
***	Corporate Debt Instruments - Other	GM FINL AUTOMOBILE LEASING TR SER 20-3 CL A3 0.45% 08-21-2023		565,077
***	Corporate Debt Instruments - Other	BANK OF AMERICA CORPORATION MTN 1.53% DUE 12-06-2025/06-06-2022 REG		551,314
***	Corporate Debt Instruments - Other	MERCEDES-BENZ AUTO LEASE TR 2021-B ASSETBACKED NT CL A-3 .4% 11-15-2024		540,890
***	Corporate Debt Instruments - Other	HONDA AUTO .37% DUE 10-18-2024		538,491
***	Corporate Debt Instruments - Other	WORLD OMNI AUTO RECEIVABLES TR SER 20-C CL A3 .48% DUE 11-17-2025 REG		528,696
***	Corporate Debt Instruments - Other	GM FINANCIAL SECURITIZED TERM SER 21-2 CL A3 .51% 04-16-2026		526,344
***	Corporate Debt Instruments - Other	HYUNDAI AUTO LEASE .38% DUE 09-16-2024		525,660
***	Corporate Debt Instruments - Other	PVTPL ENTERPRISE FLEET FING 2021-2 LLC SR 21-2 CL A2 .48% 05-20-2027		525,099
***	Corporate Debt Instruments - Other	VCA LEASE LLC 1.859 DUE 03-08-2025		518,522
***	Corporate Debt Instruments - Other	PVTPL NAVIENT PRIVATE ED REFI LN TR 2021-G CL A 1.58% DUE 04-15-2070 BEO		518,293
***	Corporate Debt Instruments - Other	PVTPL DELL EQUIP FIN TR 2020-2 AST BACKED NT CL A-3 144A .57 DUE 10-23-2023		514,530
***	Corporate Debt Instruments - Other	DONLEN FLEET LEASE FDG 2 LLC .56% 12-11-2034		512,001
***	Corporate Debt Instruments - Other	SANTANDER RETAIL .5% DUE 03-20-2025		506,383
***	Corporate Debt Instruments - Other	GM FINL AUTOMOBILE LEASING TR 2020-2 CL A-3 .8% DUE 07-20-2023 REG		505,765
***	Corporate Debt Instruments - Other	CMO COMM MTG TR SER 2013-CCRE6 CL A-4 3.101% DUE 03-10-2046		505,021
***	Corporate Debt Instruments - Other	NELNET STUDENT LN TR 2004-4 ASSET BKD NTCL A-5 FLTG 01-25-2037 REG		499,608
***	Corporate Debt Instruments - Other	SANTANDER RETAIL AUTO LEASE TR ASSET BACKED NT CL A-3 144A .51% 07-22-2024		496,555
***	Corporate Debt Instruments - Other	FORD CR AUTO OWNER TR SER 20-A CL A3 1.04% 08-15-2024		492,122
***	Corporate Debt Instruments - Other	CMO COMM MTG TR SER2012-CCRE3 CL A-3 2.822% DUE 10-15-2045		491,551
***	Corporate Debt Instruments - Other	TOWD PT MTG TR 2021-1 NT CL A1 144A 2.25% 11-25-2061		485,603
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & 3.22% DUE 03-01-2025		478,280
***	Corporate Debt Instruments - Other	PVTPL MMAF EQUIP FIN LLC 2019-B SER 19-BCLS A3 2.19% DUE 12-12-2024 BEO		475,133
***	Corporate Debt Instruments - Other	AMERICAN HONDA FIN CORP MED TERM NTS BOOTRANCHE # TR 80 VAR RT DUE 05-10-2023		467,293
***	Corporate Debt Instruments - Other	NELNET STUDENT LN TR 2021-A 1.36% 04-20-2062		466,367
***	Corporate Debt Instruments - Other	PVTPL CHESAPEAKE FDG II LLC SER 2021-1A CL A-1 0.47% DUE 04-15-2033 BEO		462,047
***	Corporate Debt Instruments - Other	AMERICREDIT .66% DUE 12-18-2024		460,393
***	Corporate Debt Instruments - Other	BAXTER INTL INC 1.322% 11-29-2024		449,473
***	Corporate Debt Instruments - Other	NAVIENT STUDENT LN TR 2021-1 1.60571% 12-26-2069		448,290
***	Corporate Debt Instruments - Other	EDUCATIONAL FDG SOUTH INC NT CL A-2 FLTGRATE 04-25-2035 REG		446,779
***	Corporate Debt Instruments - Other	PVPTL CREDIT SUISSE GROUP AG SR NT FLTG 12-14-2023		443,350
***	Corporate Debt Instruments - Other	PVTPL FEDERATION DES CAISSES DESJARDINS 0.45% DUE 10-07-2023 BEO		441,253
***	Corporate Debt Instruments - Other	BMW VEH OWNER TR SR 20-A CL A3 0.95% 10-25-2024 REG		440,265
***	Corporate Debt Instruments - Other	KAISER FOUNDATION HOSPITAL 3.5 DUE 04-01-2022 REG		437,908
***	Corporate Debt Instruments - Other	YALE UNIV FIXED .873% DUE 04-15-2025		435,697
***	Corporate Debt Instruments - Other	TORONTO DOMINION BK SR MEDIUM TERM BK NT.7% 09-10-2024		434,370
***	Corporate Debt Instruments - Other	WORLD OMNI AUTO RECEIVABLES TR 2021-D SR21-D CL A-3 .81% 10-15-2026		427,568
***	Corporate Debt Instruments - Other	SUMITOMO MITSUI FINL GROUP INC 1.402% 09-17-2026		419,955
***	Corporate Debt Instruments - Other	NORTHN STS PWR CO 3.3% DUE 06-15-2024		415,750
***	Corporate Debt Instruments - Other	ONCOR ELEC DELIVERY CO LLC CORP 2.75% 06-01-2024		414,696

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	MMAF EQUIP FIN LLC .56% DUE 06-13-2028		414,003
***	Corporate Debt Instruments - Other	GM FINL AUTOMOBILE .26% DUE 02-20-2024		413,704
***	Corporate Debt Instruments - Other	ARI FLEET LEASE TR 2021-A .37% 03-15-2030		413,011
***	Corporate Debt Instruments - Other	PVTPL DLLAD 2021-1 LLC SR 21-1A CL A3 .64% 09-21-2026		412,515
***	Corporate Debt Instruments - Other	PVTPL ENTERPRISE FLEET FING SER 2020-2 CL A-2 .61% 07-20-2026		412,399
***	Corporate Debt Instruments - Other	HSBC HLDGS PLC 2.633% DUE 11-07-2025		410,365
***	Corporate Debt Instruments - Other	CARMAX AUTO OWNER TR SR 20-1 CL A3 1.89% 12-16-2024		408,478
***	Corporate Debt Instruments - Other	RELIANCE INDS LTD 1.87% DUE 01-15-2026		408,354
***	Corporate Debt Instruments - Other	NISSAN AUTO FIXED .55% DUE 07-15-2024		403,893
***	Corporate Debt Instruments - Other	CNH EQUIP TR 2006-B SR 2021-C CL A-3 .81% 11-15-2026		401,166
***	Corporate Debt Instruments - Other	SOUTHERN CAL EDISON 2.4% 02-01-2022		400,593
***	Corporate Debt Instruments - Other	CAP 1 PRIME AUTO .77% DUE 09-15-2026		397,014
***	Corporate Debt Instruments - Other	PVTPL DAIMLER FIN NORTH AMER LLC V 2.55%DUE 08-15-2022		394,421
***	Corporate Debt Instruments - Other	PVTPL TSMC GLOBAL LTD .75% DUE 09-28-2025/09-28-2020 BEO		386,624
***	Corporate Debt Instruments - Other	BANK MONTREAL MEDIUM TERM SR NTS BOOK EN .625% DUE 07-09-2024		384,772
***	Corporate Debt Instruments - Other	ROYAL BK CDA FLTG RT DUE 10-05-2023		382,868
***	Corporate Debt Instruments - Other	INTEL CORP FIXED 3.4% DUE 03-25-2025		377,496
***	Corporate Debt Instruments - Other	GOLDMAN SACHS GROUP INC .657% DUE 09-10-2024 BEO		376,850
***	Corporate Debt Instruments - Other	CARMAX AUTO OWNER SER 19-4 CL A3 2% DUE 11-15-2024		376,806
***	Corporate Debt Instruments - Other	ABBVIE INC 2.3% DUE 11-21-2022 REG		375,197
***	Corporate Debt Instruments - Other	NAVIENT PVT ED REFI LN TR 2021-E PVT ED LN BACKED NT CL A .97% 12-16-2069		372,615
***	Corporate Debt Instruments - Other	PVTPL CHESAPEAKE FDG II LLC SR 20-1A CL A1 0.87% 08-16-2032		371,183
***	Corporate Debt Instruments - Other	SHELL INTL FIN B V FLTG RT 1.82186% DUE 11-13-2023		370,976
***	Corporate Debt Instruments - Other	SPIRE MO INC 1.286701% 12-02-2024		370,046
***	Corporate Debt Instruments - Other	WORLD OMNI AUTO RECEIVABLES TR SER 19-C CL A3 1.96% 12-16-2024 REG		368,646
***	Corporate Debt Instruments - Other	GOLDMAN SACHS GROUP INC .925% DUE 10-21-2024 BEO		368,449
***	Corporate Debt Instruments - Other	ETHIOPIAN LEASING 2.646% DUE 05-12-2026		366,739
***	Corporate Debt Instruments - Other	PVTPL KUBOTA CR OWNER TR 2021-1 NT CL A-3 144A .62% DUE 08-15-2025 BEO		366,602
***	Corporate Debt Instruments - Other	BNP PARIBAS SR NON VAR RT 2.819% DUE 11-19-2025		360,280
***	Corporate Debt Instruments - Other	BLACK HILLS CORP 4.25 DUE 11-30-2023		357,062
***	Corporate Debt Instruments - Other	MORGAN STANLEY FIXED .79% DUE 05-30-2025		355,363
***	Corporate Debt Instruments - Other	CITIGROUP INC 4.044% 06-01-2024		354,376
***	Corporate Debt Instruments - Other	BANK AMER CORP FIXED 3.864% 07-23-2024		354,265
***	Corporate Debt Instruments - Other	PVTPL DLLMT 2021-1 LLC DLLMT 2021-1A A3 1% DUE 07-21-2025 BEO		352,773
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & FLTG RT 3.559% DUE 04-23-2024		351,380
***	Corporate Debt Instruments - Other	BANK OF AMERICA CORP 3.004% 12-20-2023		351,131
***	Corporate Debt Instruments - Other	CAP 1 NATL ASSN FLTG RT 2.13194% DUE 08-08-2022		350,953
***	Corporate Debt Instruments - Other	MORGAN STANLEY FLTG RT 2.72% DUE 07-22-2025		350,438
***	Corporate Debt Instruments - Other	AMERICREDIT .37% DUE 08-18-2025		343,865
***	Corporate Debt Instruments - Other	DAIMLER TRUCKS FIN NORTH AMER LLC GTD NT144A 1.125% 12-14-2023		340,136
***	Corporate Debt Instruments - Other	MCCORMICK & CO INC 2.7% DUE 08-15-2022		338,470
***	Corporate Debt Instruments - Other	MITSUBISHI UFJ .848% DUE 09-15-2024		338,352
***	Corporate Debt Instruments - Other	BANK OF AMERICA CORP MTN 0.81% 10-24-2024		337,771
***	Corporate Debt Instruments - Other	PVTPL NELNET STUDENT LOAN TRUST SR 21-CA CL AFL FLTG DUE 04-20-2062 BEO		336,709
***	Corporate Debt Instruments - Other	PVTPL MMAF EQUIPMENT FINANCE LLC SER 20-A CL A2 DUE 04-09-2024 BEO		335,946

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	UNION ELEC CO 3.5% DUE 04-15-2024		334,212
***	Corporate Debt Instruments - Other	FISERV INC 2.75% DUE 07-01-2024		331,046
***	Corporate Debt Instruments - Other	TOYOTA AUTO LN 1.35% DUE 05-25-2033		329,171
***	Corporate Debt Instruments - Other	HPEFS EQUIP TR 2021-2 ASSET BACKED NT CLA-3 144A .36% 09-20-2028		327,526
***	Corporate Debt Instruments - Other	COMM 2013-CR12 MTG TR CL ASB 3.623 DUE 10-10-2046 REG		326,580
***	Corporate Debt Instruments - Other	BA CR CARD TR FIXED .34% DUE 05-15-2026		325,649
***	Corporate Debt Instruments - Other	HELIOS LEASING I 1.825 DUE 05-16-2025		318,993
***	Corporate Debt Instruments - Other	EATON CORP OHIO 2.75% DUE 11-02-2022		315,785
***	Corporate Debt Instruments - Other	GETTY PAUL J TR .391% DUE 01-01-2024		311,385
***	Corporate Debt Instruments - Other	PVTPL TOWD POINT MORTGAGE TRUST ABS SR 18-6 CL A1A VAR 03/25/2058		309,941
***	Corporate Debt Instruments - Other	HARLEY-DAVIDSON FIXED 2.35% DUE 10-15-2024		309,293
***	Corporate Debt Instruments - Other	BRISTOL MYERS .537% DUE 11-13-2023		308,650
***	Corporate Debt Instruments - Other	BP CAP MKTS AMER FIXED 2.75% DUE 05-10-2023		307,277
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & FLTG RT .969% DUE 06-23-2025		307,043
***	Corporate Debt Instruments - Other	WEC ENERGY GROUP INC 0.8% DUE 03-15-2024		306,875
***	Corporate Debt Instruments - Other	AMERICAN EXPRESS CO FLTG 08-03-2023		301,950
***	Corporate Debt Instruments - Other	CAPITAL ONE FINL CORP 1.343% 12-06-2024		301,848
***	Corporate Debt Instruments - Other	JOHN DEERE OWNER TR 1.1% 08-15-2024 REG		301,222
***	Corporate Debt Instruments - Other	CITIGROUP INC 3.142% 01-24-2023		300,380
***	Corporate Debt Instruments - Other	DISNEY WALT CO 3.35% DUE 03-24-2025		297,915
***	Corporate Debt Instruments - Other	BB&T CORP SR 2.2% DUE 03-16-2023		294,896
***	Corporate Debt Instruments - Other	PUBLIC SVC CO N H 3.5 DUE 11-01-2023		291,515
***	Corporate Debt Instruments - Other	ROPER TECHNOLOGIES INC 3.65% 09-15-2023		291,498
***	Corporate Debt Instruments - Other	MONTANA HIGHER ED STUD ASSISTANCE CORP 2012-A2 STUD SR LN REV BD 05-20-2030 REG		290,853
***	Corporate Debt Instruments - Other	BANK NOVA SCOTIA B C .55% DUE 09-15-2023		288,353
***	Corporate Debt Instruments - Other	BANK OF AMERICA CORP 3.55% 03-05-2024		288,343
***	Corporate Debt Instruments - Other	HEWLETT PACKARD FIXED 4.45% DUE 10-02-2023		284,932
***	Corporate Debt Instruments - Other	UNILEVER CAP CORP FIXED 3.25% DUE 03-07-2024		282,694
***	Corporate Debt Instruments - Other	THERMO FISHER SCIENTIFIC INC 1.215% 10-18-2024		279,737
***	Corporate Debt Instruments - Other	WORLD OMNI SELECT AUTO TR 2019-A ASSET BACKED NT CL A-3 2.0% 08-15-2024		278,593
***	Corporate Debt Instruments - Other	MORGAN STANLEY .791% DUE 01-22-2025/07-20-2021		277,198
***	Corporate Debt Instruments - Other	MPLX LP BNDS 3.375% DUE 03-15-2023		276,882
***	Corporate Debt Instruments - Other	PVTPL NELNET STUDENT LN TR SER 21-BA CL AFL FLTG 04-20-2062		272,555
***	Corporate Debt Instruments - Other	PVTPL TOWD PT MTG TR SER 18-3 CL A1 FLTG 05-25-2058		271,618
***	Corporate Debt Instruments - Other	NELNET STUDENT LN TR 2021-A 1.72729% 04-20-2062		271,267
***	Corporate Debt Instruments - Other	CDN PAC RY CO NEW FIXED 1.35% DUE 12-02-2024		270,344
***	Corporate Debt Instruments - Other	NORTHROP GRUMMAN 2.93% DUE 01-15-2025		260,518
***	Corporate Debt Instruments - Other	CAP 1 BK USA NATL FIXED 2.014% DUE 01-27-2023		260,230
***	Corporate Debt Instruments - Other	GLAXOSMITHKLINE CAP PLC .534% DUE 10-01-2023 REG		259,031
***	Corporate Debt Instruments - Other	WORLD OMNI AUTOMOBILE LEASE SECURITIZATITR 2021-A CL A-3 .42% DUE 08-15-2024 REG		257,694
***	Corporate Debt Instruments - Other	PVTPL TOWD PT MTG TR 2017-6 NT CL A1 VAR RT DUE 10-25-2057 BEO		254,106
***	Corporate Debt Instruments - Other	RABOBANK NEDERLAND VAR RT 1.85629% DUE 09-26-2023		251,987
***	Corporate Debt Instruments - Other	CINTAS CORP NO 2 2.9% DUE 04-01-2022		251,005

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	PVTPL NESTLE HLDGS INC .606% 09-14-2024		246,470
***	Corporate Debt Instruments - Other	NTT FIN CORP .583% 03-01-2024		237,256
***	Corporate Debt Instruments - Other	GEORGIA-PAC LLC 1.75% DUE 09-30-2025		236,030
***	Corporate Debt Instruments - Other	JOHN DEERE OWNER TRUST .52% SER 21-B CL A3 03-16-2026		232,322
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & FLTG RT 1.514% DUE 06-01-2024		231,766
***	Corporate Debt Instruments - Other	PVTPL VOLVO FINL EQUIP LLC SR 19-2A CL A3 2.04% 11-15-2023		231,642
***	Corporate Debt Instruments - Other	SANTANDER RETAIL 1.86% DUE 02-21-2023		231,333
***	Corporate Debt Instruments - Other	PVTPL TOYOTA AUTO LN EXTD NT TR 2021-1 NT CL A 144A VAR RT DUE 02-27-2034 BEO		230,573
***	Corporate Debt Instruments - Other	ENTERPRISE PRODS OPER LLC 3.5% 02-01-2022		230,506
***	Corporate Debt Instruments - Other	HEALTH CARE SVC CORP 1.5% 06-01-2025		229,580
***	Corporate Debt Instruments - Other	TOYOTA MTR CR CORP .625% DUE 09-13-2024		226,895
***	Corporate Debt Instruments - Other	BAKER HUGHES HLDGS LLC/BAKER HUGHES CO 1.231% 12-15-2023		226,051
***	Corporate Debt Instruments - Other	INTL BUSINESS 2.875% DUE 11-09-2022		224,349
***	Corporate Debt Instruments - Other	FORD MTR CR CO LLC FIXED 3.35% DUE 11-01-2022		222,750
***	Corporate Debt Instruments - Other	SUMITOMO MITSUI FINL GROUP INC 2.784% BNDS 07-12-2022		222,705
***	Corporate Debt Instruments - Other	GEN DYNAMICS CORP FIXED 3.25% DUE 04-01-2025		222,054
***	Corporate Debt Instruments - Other	HSBC HLDGS PLC FLTG RT 2.251% DUE 11-22-2027		220,779
***	Corporate Debt Instruments - Other	GOLDMAN SACHS FLTG RT .627% DUE 11-17-2023		219,442
***	Corporate Debt Instruments - Other	HONDA AUTO 1.83% DUE 01-18-2024		218,295
***	Corporate Debt Instruments - Other	PVTPL BAYER US FIN II LLC 4.25% 12-15-2025		216,418
***	Corporate Debt Instruments - Other	RELX CAP INC 3.5% DUE 03-16-2023		216,180
***	Corporate Debt Instruments - Other	TOYOTA AUTO RECEIVABLES 2021-D OWNER TR SR 21- D CL A-3 .71% 04-15-2026		214,831
***	Corporate Debt Instruments - Other	PVTPL CRH AMERICA INC BNDS 3.875% DUE 05-18-2025 BEO		213,741
***	Corporate Debt Instruments - Other	BELL CANADA FIXED .75% DUE 03-17-2024		212,821
***	Corporate Debt Instruments - Other	PVTPL MASSMUTUAL GLOBAL FUNDING 2.75% 06-22-2024		207,469
***	Corporate Debt Instruments - Other	FIFTH THIRD BANCORP 2.375% DUE 01-28-2025 REG		205,393
***	Corporate Debt Instruments - Other	PARKER-HANNIFIN CORP MTN BOOK ENTRY TRANCHE # TR 00010 3.5 DUE 09-15-2022		204,127
***	Corporate Debt Instruments - Other	AMERICREDIT .76% DUE 08-18-2026		204,118
***	Corporate Debt Instruments - Other	ALLY AUTO 1.93% DUE 05-15-2024		204,089
***	Corporate Debt Instruments - Other	PVTPL VOLKSWAGEN GROUP AMER FIN LLC GTD NT 2.7% DUE 09-26-2022		202,892
***	Corporate Debt Instruments - Other	PVTPL DANONE NT 3 DUE 06-15-2022 BEO		202,184
***	Corporate Debt Instruments - Other	MONDELEZ INTL 2.125% DUE 09-19-2022		202,097
***	Corporate Debt Instruments - Other	PHILLIPS 66 4.3% DUE 04-01-2022		199,778
***	Corporate Debt Instruments - Other	DIAGEO CAP PLC 1.375% DUE 09-29-2025/04-29-2020 REG		198,988
***	Corporate Debt Instruments - Other	MITSUBISHI UFJ FIXED 1.412% DUE 07-17-2025		198,960
***	Corporate Debt Instruments - Other	PEACEHEALTH 1.375% DUE 11-15-2025		198,777
***	Corporate Debt Instruments - Other	INTERNATIONAL BUSINESS MACHS CORP 3.0% DUE 05-15-2024 REG		198,512
***	Corporate Debt Instruments - Other	HSBC HLDGS PLC FLTG RT .732% DUE 08-17-2024		198,249
***	Corporate Debt Instruments - Other	UBS AG LONDON BRH NT 144A .7% 08-09-2024		197,718
***	Corporate Debt Instruments - Other	HSBC HLDGS PLC .976% DUE 05-19-2025 REG		197,619
***	Corporate Debt Instruments - Other	MITSUBISHI UFJ .953% DUE 07-19-2025		197,586
***	Corporate Debt Instruments - Other	PVTPL MONDELEZ INTL HLDGS NETH .75% 09-24-2024		196,687
***	Corporate Debt Instruments - Other	AT&T INC 1.65% DUE 02-01-2028		195,926
***	Corporate Debt Instruments - Other	CAPITAL ONE PRIME AUTO RECEIVABLES TR 20SER 19-2 CL A3 2.185 2.18% 05-15-2024		193,792

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	BOEING CO 4.875% DUE 05-01-2025		191,539
***	Corporate Debt Instruments - Other	CARRIER GLOBAL CORP 2.242% 02-15-2025		189,510
***	Corporate Debt Instruments - Other	AT&T INC .9% DUE 03-25-2024 BEO		189,175
***	Corporate Debt Instruments - Other	PVTPL EDLINC STUDENT LN FDG TR 2012-1 CLA 144A VAR RT DUE 09-25-2030 BEO		189,043
***	Corporate Debt Instruments - Other	PVTPL ENTERPRISE FLEET FINANCING LLC SER19-2 CLS A2 0.0% 02-20-2025		188,198
***	Corporate Debt Instruments - Other	PVTPL NEW YORK LIFE GLOBAL FDG 2.875% 04-10-2024 BEO		187,300
***	Corporate Debt Instruments - Other	CDN PAC RY CO NEW 4.5% DUE 01-15-2022		185,218
***	Corporate Debt Instruments - Other	KLA CORP 4.65% DUE 11-01-2024		184,340
***	Corporate Debt Instruments - Other	GM FINL CONSUMER AUTOMOBILE RECEIVABLES SER 20-1 CL A3 1.84% 09-16-2024		184,116
***	Corporate Debt Instruments - Other	ANALOG DEVICES INC 2.95% DUE 04-01-2025		183,843
***	Corporate Debt Instruments - Other	EQUINOR ASA 2.875% DUE 04-06-2025		182,706
***	Corporate Debt Instruments - Other	AT&T INC FLTG RT 1.98286% DUE 06-12-2024		182,281
***	Corporate Debt Instruments - Other	PVTPL TOWD PT MTG TR SER 2019-HY3 CL A1A FLTG 12-25-2048		181,843
***	Corporate Debt Instruments - Other	PHILLIPS 66 3.85% DUE 04-09-2025		181,320
***	Corporate Debt Instruments - Other	GOLDMAN SACHS GROUP INC 1.217% 12-06-2023 BO		180,413
***	Corporate Debt Instruments - Other	GOLDMAN SACHS 4% DUE 03-03-2024		180,261
***	Corporate Debt Instruments - Other	ATMOS ENERGY CORP .625% DUE 03-09-2023		179,322
***	Corporate Debt Instruments - Other	UNION PAC CORP FIXED 3.25% DUE 01-15-2025		178,794
***	Corporate Debt Instruments - Other	CITIGROUP INC NT FIXED / FLTG RATE .981%05-01-2025		178,614
***	Corporate Debt Instruments - Other	ROYAL BK CDA GLOBAL MEDIUM TERM SR BK NT1.15% DUE 06-10-2025		178,523
***	Corporate Debt Instruments - Other	INTST PWR & LT CO 3.25% DUE 12-01-2024		178,496
***	Corporate Debt Instruments - Other	BAYCARE HLTH SYS FIXED 2.61% DUE 11-15-2022		177,703
***	Corporate Debt Instruments - Other	PVTPL DELL EQUIP FIN TR 2019-2 SER 19-2 CLS A3 1.91% DUE 10-22-2024 BEO		176,889
***	Corporate Debt Instruments - Other	TOYOTA MTR CR CORP 1.8% 02-13-2025		172,613
***	Corporate Debt Instruments - Other	DOWDUPONT INC FLTG RT 2.52129% DUE 11-15-2023		172,222
***	Corporate Debt Instruments - Other	BAE SYS HLDGS INC 3.85% DUE 12-15-2025		171,568
***	Corporate Debt Instruments - Other	CHEVRON CORP NEW 1.554% DUE 05-11-2025		171,513
***	Corporate Debt Instruments - Other	PVTPL DAIMLER TRUCKS 1.625% 12-13-2024		171,317
***	Corporate Debt Instruments - Other	PVTPL HYUNDAI AUTO LEASE SECURITIZATION TR 202 NT CL A-3 144A 1.95 07-17-2023		170,755
***	Corporate Debt Instruments - Other	SCHWAB CHARLES CORP NEW 3.625% DUE 04-01-2025		170,536
***	Corporate Debt Instruments - Other	WILLIAMS PARTNERS 3.9% DUE 01-15-2025		170,078
***	Corporate Debt Instruments - Other	ENTERPRISE PRODS 3.75% DUE 02-15-2025		170,072
***	Corporate Debt Instruments - Other	ERP OPER LTD 3.375% DUE 06-01-2025		169,476
***	Corporate Debt Instruments - Other	GENERAL MTRS FINL CO INC 1.2% DUE 10-15-2024 BEO		168,787
***	Corporate Debt Instruments - Other	DTE ELEC CO 3.375% DUE 03-01-2025		168,608
***	Corporate Debt Instruments - Other	PERKINELMER INC .55% 09-15-2023		168,577
***	Corporate Debt Instruments - Other	EXXON MOBIL CORP 2.992% DUE 03-19-2025		168,213
***	Corporate Debt Instruments - Other	PERKINELMER INC SR NT .85% 09-15-2024		167,617
***	Corporate Debt Instruments - Other	PVTPL NORTHWESTERN MUT GLOBAL FDG .8% DUE 01-14-2026 BEO		165,182
***	Corporate Debt Instruments - Other	LOWES COS INC FIXED 4% DUE 04-15-2025		162,277
***	Corporate Debt Instruments - Other	HONDA AUTO 2.52% DUE 06-21-2023		159,294
***	Corporate Debt Instruments - Other	HYUNDAI AUTO .74% DUE 05-15-2026		158,968
***	Corporate Debt Instruments - Other	ASTRAZENECA FIN LLC .7% DUE 05-28-2024 BEO		158,757
***	Corporate Debt Instruments - Other	DUPONT DE NEMOURS INC 4.205% DUE 11-15-2023		158,638

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	PVTPL BMW US CAP LLC .75% DUE 08-12-2024BEO		158,256
***	Corporate Debt Instruments - Other	PVTPL EAST OHIO GAS CO 1.3% DUE 06-15-2025/06-16-2020 BEO		157,872
***	Corporate Debt Instruments - Other	AIG GLOBAL FDG SR .9% DUE 09-22-2025		155,353
***	Corporate Debt Instruments - Other	HONDA AUTO RECEIVABLES 2021-4 OWNER TR SR 21-4 CL A-3 .88% 01-21-2026		155,102
***	Corporate Debt Instruments - Other	COMCAST CORP NEW 3.95% 10-15-2025		152,911
***	Corporate Debt Instruments - Other	VIRGINIA ELEC & POWER CO 2.75 03-15-2023 REG		152,575
***	Corporate Debt Instruments - Other	PVTPL SCHLUMBERGER INVT SA 2.4 DUE 08-01-2022/07-31-2012 BEO		150,947
***	Corporate Debt Instruments - Other	INTST PWR & LT CO 3.4% DUE 08-15-2025		147,844
***	Corporate Debt Instruments - Other	PVTPL EMD FINANCE LLC 3.25% DUE 03-19-2025 BEO		147,376
***	Corporate Debt Instruments - Other	BANK NOVA SCOTIA B C 1.3% DUE 09-15-2026BEO		147,096
***	Corporate Debt Instruments - Other	CDN NAT RES LTD 3.8% DUE 04-15-2024		146,878
***	Corporate Debt Instruments - Other	INTEL CORP 3.7% DUE 07-29-2025		145,730
***	Corporate Debt Instruments - Other	MERCEDES BENZ AUTO LEASE TR 2020-A SER A3 1.84% DUE 12-15-2022		143,120
***	Corporate Debt Instruments - Other	PIONEER NAT RES CO 3.95% DUE 07-15-2022		141,203
***	Corporate Debt Instruments - Other	LELAND STANFORD JR 6.875% DUE 02-01-2024		139,780
***	Corporate Debt Instruments - Other	AMPHENOL CORP NEW 2.05% DUE 03-01-2025		137,591
***	Corporate Debt Instruments - Other	NORTHWESTERN CORP 1.0% DUE 03-26-2024 BEO		137,014
***	Corporate Debt Instruments - Other	TOYOTA MTR CR CORP MEDIUM TERM NTS BOOK TRANCHE # TR 00166 3% 04-01-2025		136,441
***	Corporate Debt Instruments - Other	RYDER SYS INC FIXED 2.875% 06-01-2022		130,996
***	Corporate Debt Instruments - Other	ECOLAB INC .9% 12-15-2023		130,185
***	Corporate Debt Instruments - Other	TORONTO DOMINION BK SR MEDIUM TERM BK NT .75% DUE 06-12-2023		130,017
***	Corporate Debt Instruments - Other	NEXTERA ENERGY CA .00065% 03-01-2023		129,746
***	Corporate Debt Instruments - Other	SUTTER HEALTH 1.321% DUE 08-15-2025		128,880
***	Corporate Debt Instruments - Other	PVTPL 7-ELEVEN INC SR NT .8% 02-10-2024		128,537
***	Corporate Debt Instruments - Other	FED RLTY INVT TR 1.25% DUE 02-15-2026		127,395
***	Corporate Debt Instruments - Other	AMERICAN HONDA FIN CORP FIXED 2.05% 01-10-2023		126,849
***	Corporate Debt Instruments - Other	PVTPL MONONGAHELA PWR CO 1ST MTG BD 144A4.1% DUE 04-15-2024/11-27-2013 BEO		126,258
***	Corporate Debt Instruments - Other	TARGET CORP 2.25% DUE 04-15-2025		123,715
***	Corporate Debt Instruments - Other	PVTPL BMW US CAP LLC .8% DUE 04-01-2024 BEO		119,222
***	Corporate Debt Instruments - Other	PVTPL HP INC 1.45% DUE 06-17-2026 BEO		117,690
***	Corporate Debt Instruments - Other	COMCAST CORP 3.7% 04-15-2024		116,886
***	Corporate Debt Instruments - Other	DOWDUPONT INC 4.493% DUE 11-15-2025		116,073
***	Corporate Debt Instruments - Other	DTE ELEC CO 3.65 DUE 03-15-2024		115,188
***	Corporate Debt Instruments - Other	PVTPL GULFSTREAM NAT GAS SYS LLC GULFSTREAM NAT 6.19% DUE 11-01-2025 BEO		115,153
***	Corporate Debt Instruments - Other	DEERE & CO 2.75% DUE 04-15-2025		114,955
***	Corporate Debt Instruments - Other	GM FINL CNSMR 2.18% DUE 04-16-2024		114,173
***	Corporate Debt Instruments - Other	CVS HEALTH CORP 2.625% DUE 08-15-2024		113,918
***	Corporate Debt Instruments - Other	PVTPL ENTERPRISE FLEET FING LLC SER 19-3 CL A2 2.06% 05-20-2025		112,694
***	Corporate Debt Instruments - Other	WORLD OMNI AUTO RECEIVABLES TR CL A-3 3.04% DUE 05-15-2024		111,429
***	Corporate Debt Instruments - Other	NUTRIEN LTD FIXED 1.9% DUE 05-13-2023		111,414
***	Corporate Debt Instruments - Other	AMERN HONDA FIN CORP MED TERM NTS BOOK ENTRY TRANCHE # TR 71 2.2 DUE 06-27-2022		110,961
***	Corporate Debt Instruments - Other	AMERICAN EXPRESS CO 2.75% 05-20-2022		110,767
***	Corporate Debt Instruments - Other	OTIS WORLDWIDE CORP FLTG RT DUE 04-05-2023 BEO		110,003
***	Corporate Debt Instruments - Other	MARTIN MARIETTA MATLS INC .65% DUE 07-15-2023		109,614

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	MERCEDES-BENZ AUTO LEASE TRUST SER 19-B CL A3 2.0% 10-17-2022 REG		109,491
***	Corporate Debt Instruments - Other	MORGAN STANLEY 1.164% 10-21-2025		109,155
***	Corporate Debt Instruments - Other	CENTERPOINT ENERGY RES CORP DEL .7% DUE 03-02-2023 BEO		104,524
***	Corporate Debt Instruments - Other	GS MTG SECS TR 3.377% DUE 05-10-2045		103,018
***	Corporate Debt Instruments - Other	WESTPAC BKG CORP FLTG RT 2.301% DUE 02-26-2024		101,217
***	Corporate Debt Instruments - Other	SUMITOMO MITSUI FINANCIAL GROUP INC FLTG 10-16-2023		100,918
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & 1.561% DUE 12-10-2025		100,156
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & CO NT FIXED/FLTG .697% 03-16-2024		99,763
***	Corporate Debt Instruments - Other	MORGAN STANLEY 0.731% DUE 04-05-2024		99,698
***	Corporate Debt Instruments - Other	VERIZON OWNER TRUST FIXED 2.93% 09-20-2023 BEO		98,965
***	Corporate Debt Instruments - Other	PAC LIFE GLOBAL 1.2% DUE 06-24-2025		98,799
***	Corporate Debt Instruments - Other	GILEAD SCIENCES INC .75% DUE 09-29-2023		97,598
***	Corporate Debt Instruments - Other	UTD PARCEL SVC INC FIXED 3.9% DUE 04-01-2025		97,160
***	Corporate Debt Instruments - Other	PECO ENERGY CO 2.375% DUE 09-15-2022		95,809
***	Corporate Debt Instruments - Other	MCDONALD'S CORPORATION 3.3% 07-01-2025		95,447
***	Corporate Debt Instruments - Other	CITIGROUP INC 1.281% 11-03-2025		94,766
***	Corporate Debt Instruments - Other	EMORY UNIV FIXED 1.566% DUE 09-01-2025		94,555
***	Corporate Debt Instruments - Other	GOLDMAN SACHS 3.625% DUE 02-20-2024		94,430
***	Corporate Debt Instruments - Other	BK MONTREAL 3.3% 02-05-2024		94,183
***	Corporate Debt Instruments - Other	TORONTO-DOMINION BANK 2.65% DUE 06-12-2024		93,372
***	Corporate Debt Instruments - Other	GENERAL MTRS FINL CO INC 3.55% 07-08-2022 REG		91,307
***	Corporate Debt Instruments - Other	BANK NOVA SCOTIA B C CORP 1.95% 02-01-2023		91,048
***	Corporate Debt Instruments - Other	BANK OF NOVA SCOTIA .4% 09-15-2023		89,297
***	Corporate Debt Instruments - Other	PVTPL NORTHWESTERN MUTUAL GLBL 0.6% DUE 03-25-2024 BEO		88,909
***	Corporate Debt Instruments - Other	PIONEER NAT RES CO .75% DUE 01-15-2024 REG		88,794
***	Corporate Debt Instruments - Other	MARATHON PETE CORP 4.7% DUE 05-01-2025 REG		87,309
***	Corporate Debt Instruments - Other	UNITED TECHNOLOGIES CORP 3.95% 08-16-2025		86,772
***	Corporate Debt Instruments - Other	UNION PAC CORP 2.95% 03-01-2022		85,306
***	Corporate Debt Instruments - Other	AMERICREDIT 2.06% DUE 04-18-2024		85,146
***	Corporate Debt Instruments - Other	VERIZON FIXED 3.376% DUE 02-15-2025		85,132
***	Corporate Debt Instruments - Other	MORGAN STANLEY 3.875% DUE 04-29-2024		84,823
***	Corporate Debt Instruments - Other	INGERSOLL-RAND 3.55% DUE 11-01-2024		84,577
***	Corporate Debt Instruments - Other	PARKER-HANNIFIN FIXED 3.3% DUE 11-21-2024		83,943
***	Corporate Debt Instruments - Other	PVTPL DELL EQUIP FIN TR 2020-1 2.26% 22/06/2022 2.26% DUE 06-22-2022 BEO		83,804
***	Corporate Debt Instruments - Other	NISSAN AUTO 3.22% DUE 06-15-2023		83,565
***	Corporate Debt Instruments - Other	WESTROCK CO FIXED 3% DUE 09-15-2024		83,416
***	Corporate Debt Instruments - Other	PVTPL NEW YORK LIFE GLOBAL FDG CORP 2.0% 01-22-2025		81,684
***	Corporate Debt Instruments - Other	OKLAHOMA GAS & ELEC CO SR NT .553% 05-26-2023		79,478
***	Corporate Debt Instruments - Other	BANK MONTREAL MEDIUM TERM SR NTS BOOK EN1.25% 09-15-2026		78,336
***	Corporate Debt Instruments - Other	SCHWAB CHARLES 4.2% DUE 03-24-2025		76,134
***	Corporate Debt Instruments - Other	VULCAN MATLS CO 4.5% DUE 04-01-2025		75,950
***	Corporate Debt Instruments - Other	MARTIN MARIETTA 4.25% DUE 07-02-2024		74,564
***	Corporate Debt Instruments - Other	MARSH & MCLENNAN 3.875% DUE 03-15-2024		74,046
***	Corporate Debt Instruments - Other	RAYTHEON TECHNOLOGIES CORP 3.2% 03-15-2024		72,860
***	Corporate Debt Instruments - Other	NIKE INC 2.4% DUE 03-27-2025		72,498

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	VENTAS REALTY LIMITED PARTNERSHIP 2.65% DUE 01-15-2025		72,139
***	Corporate Debt Instruments - Other	OTIS WORLDWIDE CORP 2.056% DUE 04-05-2025 BEO		71,192
***	Corporate Debt Instruments - Other	GENERAL MLS INC 2.6% DUE 10-12-2022		71,032
***	Corporate Debt Instruments - Other	M & T BK CORP SR NT FLTG DUE 07-26-2023/06-26-2023 REG		70,502
***	Corporate Debt Instruments - Other	PVTPLE CLECO PWR LLC CLECO POWER LLC DUE 06-15-2023 BEO		69,946
***	Corporate Debt Instruments - Other	ALLY AUTO RECEIVABLES TR 2019-1 NT CL A-3 2.91% DUE 09-15-2023 REG		68,896
***	Corporate Debt Instruments - Other	VOLKSWAGEN AUTO LEASE TR 2019-A NT CL A-3 1.99% DUE 11-21-2022 REG		68,508
***	Corporate Debt Instruments - Other	AT&T INC 2.3% DUE 06-01-2027		66,171
***	Corporate Debt Instruments - Other	PVTPL ARI FLEET LEASE TR SER 19-A CL A2A 2.41% FIXED 144A DUE 11-15-2027 BEO		64,708
***	Corporate Debt Instruments - Other	CNH EQUIP TR SR 19-A CL A3 3.01% 04-15-2024		63,325
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & 4.023% DUE 12-05-2024		63,269
***	Corporate Debt Instruments - Other	FLORIDA PWR & LT CO 2.85% DUE 04-01-2025REG		62,679
***	Corporate Debt Instruments - Other	REGIONS FINL CORP 2.25% DUE 05-18-2025		61,200
***	Corporate Debt Instruments - Other	BOEING CO 2.7% DUE 05-01-2022		60,352
***	Corporate Debt Instruments - Other	WESTPAC BKG CORP NT 1.019% 11-18-2024		59,853
***	Corporate Debt Instruments - Other	CITIGROUP INC FIXED .776% DUE 10-30-2024		59,620
***	Corporate Debt Instruments - Other	CHUBB INA HOLDINGS 3.35% DUE 05-15-2024		57,986
***	Corporate Debt Instruments - Other	HALLIBURTON CO 3.8% DUE 11-15-2025		53,775
***	Corporate Debt Instruments - Other	PVTPL CMO TOWD PT MTG TR 2017-5 VAR RT DUE 02-25-2057 BEO		53,753
***	Corporate Debt Instruments - Other	BSTN PPTYS LTD 3.2% DUE 01-15-2025		52,369
***	Corporate Debt Instruments - Other	HUNTINGTON 2.625% DUE 08-06-2024		51,497
***	Corporate Debt Instruments - Other	ROPER TECHNOLOGIES FIXED 2.35% DUE 09-15-2024		51,276
***	Corporate Debt Instruments - Other	PVTPL 7-ELEVEN INC SR NT .625% 02-10-2023		49,814
***	Corporate Debt Instruments - Other	COMMONSPIRIT HLTH 2.76% DUE 10-01-2024		46,419
***	Corporate Debt Instruments - Other	PVTPL SOUTHERN NAT GAS CO L L C .625% DUE 04-28-2023 BEO		44,741
***	Corporate Debt Instruments - Other	CNH EQUIP TR SER 2018-B CLASS A3 3.19% DUE 11-15-2023		44,227
***	Corporate Debt Instruments - Other	BP CAP MKTS AMER 3.194% DUE 04-06-2025		42,175
***	Corporate Debt Instruments - Other	PARKER-HANNIFIN 2.7% DUE 06-14-2024		41,333
***	Corporate Debt Instruments - Other	PIONEER NAT RES CO .55% DUE 05-15-2023 BEO		39,851
***	Corporate Debt Instruments - Other	STARBUCKS CORP 1.3% DUE 05-07-2022 REG		35,114
***	Corporate Debt Instruments - Other	FED RLTY INVT TR 3.95% DUE 01-15-2024		31,423
***	Corporate Debt Instruments - Other	BRISTOL MYERS FIXED 2.9% DUE 07-26-2024		30,352
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & CO .768% DUE 08-09-2025BEO		29,531
***	Corporate Debt Instruments - Other	WORLD OMNI AUTO RECEIVABLES SER 18-B CL A3 2.93% DUE 07-17-2023		29,048
***	Corporate Debt Instruments - Other	PVTPL ARI FLEET LEASE TR 2018-B SER 18-BCLS A2 0.0% 08-16-2027		27,234
***	Corporate Debt Instruments - Other	3M CO 2.65% DUE 04-15-2025		26,104
***	Corporate Debt Instruments - Other	WI ENERGY CORP 3.55% DUE 06-15-2025		24,363
***	Corporate Debt Instruments - Other	GENERAL MLS INC 3.7% 10-17-2023		20,930
***	Corporate Debt Instruments - Other	TOYOTA AUTO RECEIVABLES 2018-C ASSET BACKED NT CL A-3 3.29% DUE 12-15-2022		18,715
***	Corporate Debt Instruments - Other	JOHN DEERE OWNER TR SER 20-B CL A2 0.41% DUE 03-15-2023		18,126
***	Corporate Debt Instruments - Other	CMO UBS COML MTG TR 2012-C1 COML MTG PASSTHRU CTF CL A-3 3.4 05-10-2045		14,281
***	Corporate Debt Instruments - Other	SHERWIN-WILLIAMS 2.75% DUE 06-01-2022		13,089
***	Corporate Debt Instruments - Other	UTD TECHNOLOGIES FIXED 3.65% 08-16-2023		6,238
		Total Corporate and Sovereign Debt		**103,622,291**

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	U.S. Government and Municipal Securities			
***	U.S. Government Securities	WI TREASURY SEC .125% 10-31-2022		10,537,785
***	U.S. Government Securities	FREDDIE MAC SEASONED CR RISK SER 2020-3 CL M5TU 2.5% 05-25-2060		7,095,468
***	U.S. Government Securities	FNMA POOL #BM6008 3.399% DUE 05-01-2023 BEO		4,180,772
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP SER Q004 CL A2H FLTG RT 01-25-2021		4,179,063
***	U.S. Government Securities	FNMA POOL #BH7091 3% 12-01-2047		4,097,883
***	U.S. Government Securities	FREDDIE MAC SEASONED CR RISK SER 2020-3 CL TTU 2.5% 05-25-2060		2,692,854
***	U.S. Government Securities	FNMA POOL #BH6742 2.79% 09-01-2047 BEO		1,514,939
***	U.S. Government Securities	FNMA POOL #BH8503 ADJ RT DUE 12-01-2047 BEO		1,122,996
***	U.S. Government Securities	FNMA POOL #AL8938 2.523% 04-01-2022 BEO		913,076
***	U.S. Government Securities	FNMA POOL #BP2009 2.572% DUE 04-01-2050 BEO		659,597
***	U.S. Government Securities	UTD STATES TREAS .25% DUE 06-15-2023		639,790
***	U.S. Government Securities	FNMA POOL #AM9152 2.14% 04-01-2021 BEO		631,313
***	U.S. Government Securities	FNMA POOL #BJ4472 ADJ RT 11-01-2047		584,162
***	U.S. Government Securities	UTD STATES TREAS .125% DUE 07-15-2023		549,443
***	U.S. Government Securities	FNMA POOL #MA3131 3% 09-01-2027 BEO		506,427
***	U.S. Government Securities	FHLMC POOL #2B6628 ADJ RT 11-01-2047		488,809
***	U.S. Government Securities	UNITED STS TREAS NTS .125% DUE 09-15-2023 REG		475,731
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP POOL #2B6644 ADJ RATE 11-01-2047		435,665
***	U.S. Government Securities	FNMA POOL #BM6006 2.385% 06-01-2022 BEO		427,717
***	U.S. Government Securities	UTD STS TREAS NTS .125% DUE 12-15-2023		416,225
***	U.S. Government Securities	UNITED STS TREAS NTS 0.25% 11-15-2023		413,936
***	U.S. Government Securities	UNITED STATES TREAS NTS FIXED .125% DUE 05-15-2023		394,811
***	U.S. Government Securities	FNMA POOL #BJ0709 2.881% 10-01-2047 BEO		391,256
***	U.S. Government Securities	FNMA POOL #BJ2464 ADJ RT 11-01-2047		385,702
***	U.S. Government Securities	UTD STATES TREAS .5% DUE 03-15-2023		379,203
***	U.S. Government Securities	FNMA POOL #AS8511 2.5% 12-01-2031 BEO		343,538
***	U.S. Government Securities	UNITED STS TREAS NTS 0.125% 15/08/2023 .125% DUE 08-15-2023 REG		316,972
***	U.S. Government Securities	UTD STATES TREAS 1.375% DUE 02-15-2023		293,262
***	U.S. Government Securities	UNITED STS TREAS NTS UNITED STS TREAS NTS .125% 10-15-2023		271,646
***	U.S. Government Securities	FNMA POOL #B07270 ADJ RT DUE 01-01-2050 REG		271,592
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP POOL #2B7738 ADJ RATE DUE 02-01-2050 BEO		267,517
***	U.S. Government Securities	FREDDIE MAC SEASONED CR RISK SER 2020-2 CL M55H 2.5% 11-25-2059		260,431
***	U.S. Government Securities	FNMA POOL #BP0633 FLTG RT DUE 01-01-2050		259,496
***	U.S. Government Securities	FNMA POOL #MA3107 2.5% 08-01-2027 BEO		248,656
***	U.S. Government Securities	FNMA POOL #AN0925 2.53% 10-01-2021 BEO		235,081
***	U.S. Government Securities	FHLMC POOL #2B6713 ADJ RT 12-01-2047		206,469
***	U.S. Government Securities	FHLMC POOL #2B6481 ADJ RT 09-01-2047		196,800
***	U.S. Government Securities	FNMA POOL #BJ2463 ADJ RT 11-01-2047		178,764
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP POOL #2B6444 2.979% 08-01-2047 BEO		162,691
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP POOL #2B7857 2.182% DUE 06-01-2050 BEO		81,510
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP POOL #2B7858 ADJ RATE DUE 06-01-2050 BEO		47,487
***	Other	HAWAII ST .713% 08-01-2024 BEO TAXABLE		604,901
***	Other	NC ST ED ASSISTANCE AUTH REV VAR NTS-SER1 DUE 07-25-2039 BEO TAXABLE		509,356
***	Other	GLENDALE CALIF UNI SCH DIST 1.182% 09-01-2023 BEO TAXABLE		504,424

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)**
At December 31, 2021

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost **	(e) Current Value
	U.S. Government and Municipal Securities			
***	Other	COLLIN CNTY TEX .867% 02-15-2024 BEO TAXABLE		489,486
***	Other	UTAH ST BRD REGENTS REV FLTG RT 1.28067%09-25-2056 BEO TAXABLE		488,634
***	Other	VERMONT ST STUD ASSISTANCE CORP STUD LN REV VAR RT .9425 04-30-2035 REG TAXABLE		440,603
***	Other	NORTH EAST INDPT SCH DIST TEX 5% 02-01-2024 BEO TAXABLE		412,716
***	Other	METROPOLITAN GOVT NASHVILLE & DAVIDSON CNTY TENN 2.562% 07-01-2022 BEO TAXABLE		404,166
***	Other	SAN MATEO FOSTER CITY CALIF SCH DIST 1.417% 08-01-2024 BEO TAXABLE		388,258
***	Other	LANSE CREUSE MICH PUB SCHS .876% 05-01-2025 BEO TAXABLE		384,349
***	Other	ALABAMA FED AID HWY FIN AUTH SPL OBLIG REV .449% 09-01-2023 BEO TAXABLE		357,777
***	Other	TEXAS TECH UNIV REVS .623% 02-15-2023 BEO TAXABLE		350,267
***	Other	OREGON ST 1.707% 05-01-2022 BEO TAXABLE		336,530
***	Other	UNIVERSITY PITTSBURGH PA HIGHER ED 2.877% 09-15-2024 BEO TAXABLE		320,188
***	Other	BERGEN CNTY N J IMPT AUTH GOVERNMENTAL LN REV .513% 02-15-2023 BEO TAXABLE		309,480
***	Other	CHIPPEWA VALLEY MICH SCHS .64% 05-01-2024 BEO TAXABLE		306,580
***	Other	UTAH ST 4.554% 07-01-2024 BEO TAXABLE		305,404
***	Other	CHESAPEAKE VA 1.649% 08-01-2024 BEO TAXABLE		294,900
***	Other	OMAHA NEB SAN SEW REV .702% 04-01-2024 BEO TAXABLE		282,741
***	Other	MICHIGAN FIN AUTH REV FLTG RT .586% 07-25-2061 BEO TAXABLE		259,630
***	Other	NEW YORK ST 1.95% 02-15-2023 BEO TAXABLE		253,701
***	Other	SOUTH DAKOTA ST BLDG AUTH REV .606% 06-01-2023 BEO TAXABLE		248,636
***	Other	SOUTH DAKOTA ST BLDG AUTH REV .481% 06-01-2022 BEO TAXABLE		199,955
***	Other	INDIANA ST FIN AUTH REV 1.605% 03-01-2026 BEO TAXABLE		198,737
***	Other	FLA WTR POLLUTION CTL FING CORP REV 1.9%01-15-2022 BEO TAXABLE		165,088
***	Other	EQUINOR ASA FIXED 1.75% DUE 01-22-2026		30,197
		Total U.S. Government and Municipal Securities		**56,603,239**
	SCHWAB	Self Directed Brokerage Account		43,862,302
		Total Investments, at fair value		**5,363,213,957**
*	Various	Notes receivable from participant loans		26,345,924

* Represents a party-in-interest
** Information certified as complete and accurate by the Northern Trust Company
*** Represents investments underlying synthetic guaranteed investment contracts

Plan Name	**Sony USA 401(k) Plan**
Plan Sponsor EIN	**13-1914734**
ERISA Plan #	**002**
Plan Year Ending	**December 31, 2021**

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

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

Plan Name	**Sony USA 401(k) Plan**
Plan Sponsor EIN	**13-1914734**
ERISA Plan #	**002**
Plan Year Ending	**December 31, 2021**

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

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

Plan Name	**Sony USA 401(k) Plan**
Plan Sponsor EIN	**13-1914734**
ERISA Plan #	**002**
Plan Year Ending	**December 31, 2021**

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

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