Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan

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

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

OMB Nos. 1210-0110
1210-0089

2021

This Form is Open to Public Inspection

Part I Annual Report Identification Information

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

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

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

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

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

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

Part II Basic Plan Information—enter all requested information

1a Name of plan
QUALCOMM INCORPORATED EMPLOYEE SAVINGS AND RETIREMENT PLAN

1b Three-digit plan number (PN) ▶ 001

1c Effective date of plan 10/01/1986

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)
QUALCOMM INCORPORATED

5775 MOREHOUSE DRIVE
SAN DIEGO, CA 92121

2b Employer Identification Number (EIN) 95-3685934

2c Plan Sponsor's telephone number 858-651-1322

2d Business code (see instructions) 517000

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.	10/11/2022	MELISSA REAL
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

3a Plan administrator's name and address [X] Same as Plan Sponsor

3b Administrator's EIN

3c Administrator's telephone number

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

4b EIN

4d PN

5 Total number of participants at the beginning of the plan year	**5**	22291
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)**	15610
a(2) Total number of active participants at the end of the plan year	**6a(2)**	15049
b Retired or separated participants receiving benefits	**6b**	77
c Other retired or separated participants entitled to future benefits	**6c**	7354
d Subtotal. Add lines **6a(2)**, **6b**, and **6c**	**6d**	22480
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	13
f Total. Add lines **6d** and **6e**	**6f**	22493
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	21684
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	129
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 2T

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

9a Plan funding arrangement (check all that apply)

(1)	[ ]	Insurance
(2)	[ ]	Code section 412(e)(3) insurance contracts
(3)	[X]	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)	[X]	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)	[X]	**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)	[X]		**H** (Financial Information)
(2)	[ ]		**I** (Financial Information – Small Plan)
(3)	[ ]	0	**A** (Insurance Information)
(4)	[X]		**C** (Service Provider Information)
(5)	[X]		**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) ▶
QUALCOMM INCORPORATED EMPLOYEE SAVINGS AND RETIREMENT PLAN	001
C Plan sponsor's name as shown on line 2a of Form 5500	**D** Employer Identification Number (EIN)
QUALCOMM INCORPORATED	95-3685934

Part I Service Provider Information (see instructions)

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

1 Information on Persons Receiving Only Eligible Indirect Compensation

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

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

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

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

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

GALLIARD CAPITAL MANAGEMENT, INC.

41-1813702

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

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

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

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

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
37 60 64 65 71	RECORDKEEPER	756806	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [X] No [ ]

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

CALLAN LLC.

94-2192581

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16 27	INVESTMENT ADVISOR	148625	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

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

PRICEWATERHOUSECOOPERS LLC

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?
10	ACCOUNTANT/AUDITOR	138500	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)

DLA PIPER, LLP

52-0616490

(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 29	ATTORNEY/LEGAL	12478	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

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

CURCIO WEBB

36-4171366

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16	CONSULTANT	9000	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

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

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

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ABF SM CAP VAL R5 - DST ASSET MANA 430 W 7TH STREET STE 219432 KANSAS CITY, MO 64105	0.04%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVESCO DIVERSIFIED DIVIDEND INVES 11 GREENWAY PLAZA SUITE 100 HOUSTON, TX 77046	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVESCO GLOBAL REAL ESTATE INC FD 11 GREENWAY PLAZA SUITE 100 HOUSTON, TX 77046	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVESCO STEELPATH MLP ALPHA A	11 GREENWAY PLAZA SUITE 100 HOUSTON, TX 77046	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVESCO DEVELOPING MARKETS Y	11 GREENWAY PLAZA SUITE 100 HOUSTON, TX 77046	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AQR EMERGING MULTI STYLE II CL I	1 GREENWICH PLAZA GREENWICH, CT 06830	0.10%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AQR STYLE PREMIA ALTERNATIVE CL N 1 GREENWICH PLAZA GREENWICH, CT 06830	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AQR STYLE PREMIA ALTERNATIVE CL I 1 GREENWICH PLAZA GREENWICH, CT 06830	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AQR MANAGED FUTURES STRATEGY HV CL 1 GREENWICH PLAZA GREENWICH, CT 06830	0.10%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AQR SMALL CAP MULTI STYLE FUND CL 1 GREENWICH PLAZA GREENWICH, CT 06830	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AQR LARGE CAP MULTI STYLE FD CL I 1 GREENWICH PLAZA GREENWICH, CT 06830	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AQR INTERNATIONAL MULTI STYLE FUND 1 GREENWICH PLAZA GREENWICH, CT 06830	0.10%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AQR MANAGED FUTURES FUND CL I 1 GREENWICH PLAZA GREENWICH, CT 06830	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
EDGEWOOD GROWTH FUND INSTL CL 1 FREEDOM VALLEY DRIVE OAKS, PA 19456	0.12%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CHAMPLAIN MID CAP ADVISOR SHARE ONE FREEDOM VALLEY DRIVE OAKS, PA 19456	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
KOPERNIK GLOBAL ALL CAP FUND INSTL ONE FREEDOM VALLEY DRIVE OAKS, PA 19456	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ADV PREFERRED GOLD BULLION STRAT I 1445 RESEARCH BLVD SUITE 530 ROCKVILLE, MD 20850	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ADVISORS PRFD QUANFDMANAGED INCOME 1445 RESEARCH BLVD SUITE 530 ROCKVILLE, MD 20850	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
QUANTIFIED RISING DIV TACTICAL INV 1445 RESEARCH BLVD SUITE 530 ROCKVILLE, MD 20850	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
QUANTIFIED GOVT'T INC TACTICAL INV 1445 RESEARCH BLVD SUITE 530 ROCKVILLE, MD 20850	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ADVISORS PRFD QUANFDMARKET LEADERS 1445 RESEARCH BLVD SUITE 530 ROCKVILLE, MD 20850	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
QUANTIFIED COMMON GROUND FD INVST 1445 RESEARCH BLVD SUITE 530 ROCKVILLE, MD 20850	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
QUANTIFIED EVOLUTION PLUS INVST 1445 RESEARCH BLVD SUITE 530 ROCKVILLE, MD 20850	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
QUANTIFIED TACTICAL FIXED INC INVS 1445 RESEARCH BLVD SUITE 530 ROCKVILLE, MD 20850	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ADVISORS PREFERRED QUANTIFIED STF	1445 RESEARCH BLVD SUITE 530 ROCKVILLE, MD 20850	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GQG PARTNERS EMERG MARKETS EQ INST	1 FREEDOM VALLEY DRIVE OAKS, PA 19456	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GQG PARTNERS EMRGING MARKETS EQUIT	1 FREEDOM VALLEY DRIVE OAKS, PA 19456	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVESCO INTL SMALL MID COMPANY A 11 GREENWAY PLAZA SUITE 100 HOUSTON, TX 77046	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVESCO GLOBAL OPPORTUNITIES A 11 GREENWAY PLAZA SUITE 100 HOUSTON, TX 77046	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ALGER SMALL CAP FOCUS CLASS Z 600 PLAZA ONE 6TH FL JERSEY CITY, NJ 07311	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ALGER SMALL CAP GROWTH CL Z 600 PLAZA ONE 6TH FL JERSEY CITY, NJ 07311	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ALGER SMALL CAP GROWTH FUND A 600 PLAZA ONE 6TH FL JERSEY CITY, NJ 07311	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ALGER SMALL CAP GROWTH INSTL FD CL 600 PLAZA ONE 6TH FL JERSITY CITY, NJ 07311	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AB SMALL CAP GROWTH PORT CLASS A	8000 IH 10 WEST SUITE 1400 14TH F SAN ANTONIO, TX 78230	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
IMAN FUND RETAIL SHARES	721 ENTERPRISE DRIVE OAKBROOK, IL 60523	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMANA MUTUAL FUND TRUST INCOME	1300 NORTH STATE STREET BELLINGHAM, WA 98225	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMANA MUTUAL FUND TRUST GROWTH 1300 NORTH STATE STREET BELLINGHAM, WA 98225	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMANA DEVELOPING WORLD FUND 1300 NORTH STATE STREET BELLINGHAM, WA 98225	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMANA INCOME FUND INSTITUTIONAL 1300 NORTH STATE STREET BELLINGHAM, WA 98225	0.10%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMANA GROWTH FUND INSTITUTIONAL 1300 NORTH STATE STREET BELLINGHAM, WA 98225	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMANA PARTICIPATION FD INVESTOR CL 1300 NORTH STATE STREET BELLINGHAM, WA 98225	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMANA PARTICIPATION FD INSTITUTION 1300 NORTH STATE STREET BELLINGHAM, WA 98225	0.10%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN BEACON MID CAP INVESTOR	220 EAST LAS COLINAS BLVD SUITE 12 IRVING, TX 75039	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN BALANCED CLASS F1	3500 WISEMAN BLVD SAN ANTONIO, TX 78251-4321	0.37%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN BEACON ARK TRANS INNOVTN	220 EAST LAS COLINAS BLVD SUITE 12 IRVING, TX 75039	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN BEACON TOCQUEVILLE INT VL	220 EAST LAS COLINAS BLVD SUITE 12 IRVING, TX 75039	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN CENTURY SMLCAP VAL CLASS	4400 MAIN ST 1ST FLOOR KANSAS CITY, MO 64111	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN CEN FOCUSEDDYNAMIC GROWTH	4400 MAIN ST 1ST FLOOR KANSAS CITY, MO 64111	0.35%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN CENTURY UTILITIES INVESTO 4400 MAIN ST 1ST FLOOR KANSAS CITY, MO 64111	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN MUTUAL FUNDCLASS F1 3500 WISEMAN BLVD SAN ANTONIO, TX 78251-4321	0.37%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN SMALL CAP FUND INVESTOR CL 875 EAST WISCONSIN AVENUE SUITE 800 MILWAUKEE, WI 53202	0.39%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN GLOBAL DISCOVERY ADVISOR C	875 EAST WISCONSIN AVENUE SUITE 800 MILWAUKEE, WI 53202	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN THEMATIC FD INVESTOR CLASS	875 EAST WISCONSIN AVENUE SUITE 800 MILWAUKEE, WI 53202	0.39%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN DEVELOPING WORLD FD INVEST	875 EAST WISCONSIN AVENUE SUITE 800 MILWAUKEE, WI 53202	0.39%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN INTL VALUE FUND ADVISOR	875 EAST WISCONSIN AVENUE SUITE 800 MILWAUKEE, WI 53202	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN GLOBAL OPPORTUNITIES INV	875 EAST WISCONSIN AVENUE SUITE 800 MILWAUKEE, WI 53202	0.39%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN GLOBAL VALUE FD INVT SHARE	875 EAST WISCONSIN AVENUE SUITE 800 MILWAUKEE, WI 53202	0.39%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AZZAD ETHICHAL MID CAP FUND CL A	8000 TOWN CENTRE DR STE 400 BROADVIEW HEIGHTS, OH 44147-4031	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BNY MELLON SMALL MIDCAP GROWTH A	144 GLENN CURTISS BLVD 8TH FLOOR UNIONDALE, NY 11556	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BNY MELLON APPRECIATION INVSTR	144 GLENN CURTISS BLVD 8TH FLOOR UNIONDALE, NY 11556	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON SMALL CAP FD 767 5TH AVENUE 49TH FLOOR NEW YORK, NY 10153	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON OPPORTUNITY FUND 767 5TH AVENUE 49TH FLOOR NEW YORK, NY 10153	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON FIFTH AVENUE GROWTH FUND 767 5TH AVENUE 49TH FLOOR NEW YORK, NY 10153	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON PARTNERS FUND 767 5TH AVENUE 49TH FLOOR NEW YORK, NY 10153	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON PARTNERS FUND INSTL CLASS 767 5TH AVENUE 49TH FLOOR NEW YORK, NY 10153	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON REAL ESTATE FUND RETAIL 767 5TH AVENUE 49TH FLOOR NEW YORK, NY 10153	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON GLOBAL ADVANTAGE FD RETAIL 767 5TH AVENUE 49TH FLOOR NEW YORK, NY 10153	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON EMERGING MARKETS FUND RETAIL 767 5TH AVENUE 49TH FLOOR NEW YORK, NY 10153	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BERKSHIRE FOCUS FUND 475 MILAN DRIVE SUITE 103 SAN JOSE, CA 95134	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BLACKROCK MID CAP GROWTH EQUITY CL 40 EAST 52ND STREET NEW YORK, NY 10022	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BLACKROCK MID CAP GROWTH EQUITY IN 40 EAST 52ND STREET NEW YORK, NY 10022	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BLACKROCK TECHNOLOGYOPPORTUNITIES 40 EAST 52ND STREET NEW YORK, NY 10022	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BLACKROCK HEALTH SCIENCES OPP PRT 40 EAST 52ND STREET NEW YORK, NY 10022	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BLACKROCK GLOBAL ALLOCATION CL A 40 EAST 52ND STREET NEW YORK, NY 10022	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BLACKROCK STRATEGIC INCOME OPPRTSI 40 EAST 52ND STREET NEW YORK, NY 10022	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BLACKROCK STRATEGIC INC OPP PORT C	40 EAST 52ND STREET NEW YORK, NY 10022	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BLACKROCK SYSTEMATICMULTI STRATEGY	40 EAST 52ND STREET NEW YORK, NY 10022	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WILLIAM BLAIR SMALL MID CAP GROWTH	222 WEST ADAMS STREET 12TH FLOOR CHICAGO, IL 60606	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WILLIAM BLAIR LARGE CAP GROWTH FD	222 WEST ADAMS STREET 12TH FLOOR CHICAGO, IL 60606	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BNY MELLON SMALLCAP STOCK INDEX IN	144 GLENN CURTISS BLVD 8TH FLOOR UNIONDALE, NY 11556	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BROWN ADVISORY SUSTAIN GROWTH ADV	777 E. WISCONSIN AVE 4TH FLOOR MILWAUKEE, WI 53202	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BUFFALO DISCOVERY FUND 615 E. MICHIGAN STREET MILWAUKEE, WI 53202	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BUFFALO INTERNATIONAL FUND 615 E. MICHIGAN STREET MILWAUKEE, WI 53202	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CALAMOS MARKET NEUTRAL INCOME CL I 2020 CALAMOS COURT NAPERVILLE, IL 60563	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FULLER & THALER BEHV SMALL CAP EQT 411 BOREL AVENUE SUITE 300 SAN MATEO, CA 94402	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FULLER & THALER BEHVSMALL CAP EQTY 411 BOREL AVENUE SUITE 300 SAN MATEO, CA 94402	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CARILLON SCOUT INTERNATIONAL CL I P. O. BOX 33022 ST PETERSBURG, FL 33733-8022	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CARILLON SCOUT MID CAP FUND CL I	P. O. BOX 33022 ST PETERSBURG, FL 33733-8022	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
COHEN & STEERS REALTY SHARES	280 PARK AVENUE 10TH FLOOR NEW YORK, NY 10017	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
COHEN & STEERS MLP AND ENERGY OPPO	280 PARK AVENUE 10TH FLOOR NEW YORK, NY 10017	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
COLUMBIA THERMOSTAT CL A 225 FRANKLIN ST BX25 10320 BOSTON, MA 02110	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
COLUMBIA GLOBAL TECHGROWTH CL A 225 FRANKLIN ST BX25 10320 BOSTON, MA 02110	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
COLUMBIA SMALL CAP GROWTH FD CL A 225 FRANKLIN ST BX25 10320 BOSTON, MA 02110	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
COLUMBIA SELIGMAN TECH AND INFO CL	225 FRANKLIN ST BX25 10320 BOSTON, MA 02110	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CONESTOGA SMALL CAP INVESTOR CLASS	225 PICTORIA DRIVE SUITE 450 CINCINNATI, OH 45246	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA US SOCIAL CORE EQUITY 2 PORTFO	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA EMERGING MARKETS SOCIAL CORE E	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA INTERNATIONAL CORE EQUITY	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA US VECTOR EQUITY PRTF INSTL CL	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA US CORE EQUITY I	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA EMERGING MRKTS CORE EQU PORTF	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA US MICRO CAP PRTF INSTL	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA US TARGETED VALUE PRTF INSTL 6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA ONE YEAR FIXED INCOME PRTF INS 6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA EMERGING MARKETS SMALL CAP 6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA INTERNATIONAL SMALL COMPANY PO 6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA US SMALL CAP VALUE PRTF INSTL 6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA US LARGE CAP VALUE PRTF INSTL 6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA REAL ESTATE SEC PRTF INSTL	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA US SMALL CAP PORTFOLIO INSTL C	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA FIVE YEAR GLBL FIXED INC PRTF	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA US HIGH RELATIVE PROFIT PORT I	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA INTL HIGH REL PROF PORT INSTL	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA SHORT TERM EXTENDED QUAL INSTL	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA INTERNATIONAL VECTOR EQUITY PO	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DELAWARE EMERGING MARKETS CLASS A	2005 MARKET STREET PHILADELPHIA, PA 19103	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DFA INTERNATIONAL SOCIAL CORE EQ I	6300 BEE CAVES ROAD BUILDING ONE AUSTIN, TX 78746	0.02%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DIREXION MONTHLY NASDAQ 100 BULL1. 155 SEAPORT BOULEVARD SUITE P8 BOSTON, MA 02210	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DIREXION MONTHLY NASDAQ100BULL2X I 155 SEAPORT BOULEVARD SUITE P8 BOSTON, MA 02210	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DIREXION MONTHLY 10 YR NOTE BULL 2 155 SEAPORT BOULEVARD SUITE P8 BOSTON, MA 02210	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DOUBLELINE TOTAL RETURN BOND FD CL 777 EAST WISCONSIN AVENUE MILWAUKEE, WI 53202	0.06%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DOUBLELINE SHILLER ENHANCED CAP CL 777 EAST WISCONSIN AVENUE MILWAUKEE, WI 53202	0.06%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
EATON VANCE HIGH INCOPPORTUNITIES TWO INTERNATIONAL PLACE BOSTON, MA 02110	$16.00

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN EUROPACIFICGROWTH FUND CL 3500 WISEMAN BLVD SAN ANTONIO, TX 78251-4321	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FPA CRESCENT FUND 11601 WILSHIRE BLVD SUITE 1200 LOS ANGELES, CA 90025	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FMI LARGE CAP FUND 777 EAST WISCONSIN AVENUE MK WI T4M MILWAUKEE, WI 53202	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FMI INTERNATIONAL 777 EAST WISCONSIN AVENUE MK WI T4M MILWAUKEE, WI 53202	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FMI COMMON STOCK FUND 777 EAST WISCONSIN AVENUE MK WI T4M MILWAUKEE, WI 53202	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FEDERATED HERMES KAUFMANN SM CAP A 4000 ERICSSON DRIVE WARRENDALE, PA 15086-7515	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ALPS CORECOMM MNGMNT COMPT COMM SM	1290 BROADWAY SUITE 1100 DENVER, CO 80203	0.08%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FIRST EAGLE OVERSEAS CLASS I	1345 AVENUE OF THE AMERICAS 48TH FL NEW YORK, NY 10105	0.08%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FIRSTHAND TECHNOLOGYOPPORTUNITIES	150 ALMADEN BLVD. SUITE 1250 SAN JOSE, CA 95113	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ABR DYNAMIC BLEND EQ & VOLATILITY PO BOX 588 PORTLAND, ME 04112	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FRANKLIN DYNATECH FUND A 100 FOUNTAIN PARKWAY ST. PETERSBURG, FL 33716	$16.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FRANKLIN FOCUSED GROWTH FUND CL A 100 FOUNTAIN PARKWAY ST. PETERSBURG, FL 33716	0.35%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GOTHAM ENHANCED RETURN FUND INSTL	535 MADISON AVE 30TH FLR NEW YORK, NY 10022	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GABELLI SMALL CAP GROWTH AAA	401 THEODORE FREMD. AVE. RYE, NY 10580	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GOLDMAN SACHS EMERGING MARKETS A	71 S. WACKER DRIVE 4TH FLOOR CHICAGO, IL 60606	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GOLDMAN SACHS INTL SM CAP INSIGHTS	71 S. WACKER DRIVE 4TH FLOOR CHICAGO, IL 60606	0.12%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GOLDMAN SACHS MLP ENERGY INFRSTCTR	71 S. WACKER DRIVE 4TH FLOOR CHICAGO, IL 60606	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GOLDMAN SACHS MANGD FUTURES STRATE	71 S. WACKER DRIVE 4TH FLOOR CHICAGO, IL 60606	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GOLDMAN SACHS GQG PARTNERS INTL OP	71 S. WACKER DRIVE 4TH FLOOR CHICAGO, IL 60606	0.17%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GOLDMAN SACHS GQG PART INTERNTL OP	71 S. WACKER DRIVE 4TH FLOOR CHICAGO, IL 60606	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GOLDMAN SACHS CLEAN ENERGY INCOME	71 S. WACKER DRIVE 4TH FLOOR CHICAGO, IL 60606	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GUGGENHEIM TOTAL RETURN BOND FD IN	9601 BLACKWELL RD. STE. 500 ROCKVILLE, MD 20850	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GUGGENHEIM MACRO OPPORTUNTITIES IN	9601 BLACKWELL RD. STE. 500 ROCKVILLE, MD 20850	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GUGGENHEIM CORE BOND FUND P	9601 BLACKWELL RD. STE. 500 ROCKVILLE, MD 20850	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GUGGENHEIM RISK MANAGED REAL EST P 9601 BLACKWELL RD. STE. 500 ROCKVILLE, MD 20850	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JOHN HANCOCK REGIONAL BANK CL A 601 CONGRESS ST. 9TH FL. BOSTON, MA 02210	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
HARBOR CAP APP INST 111 S. WACKER DR 34TH FLOOR CHICAGO, IL 60606	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
HARBOR INTL INV 111 S. WACKER DR 34TH FLOOR CHICAGO, IL 60606	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
HARDING LOEVNER INTL EQUITY PORT I PO BOX 4766 CHICAGO, IL 60680	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
OAKMARK FUND INVESTOR CLASS 111 SOUTH WACKER DR. CHICAGO, IL 60606	0.35%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
OAKMARK SELECT INVESTOR CL	111 SOUTH WACKER DR. CHICAGO, IL 60606	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
OAKMARK INTL ADVISOR FUND	111 SOUTH WACKER DR. CHICAGO, IL 60606	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
OAKMARK GLOBAL SELECT FD INVESTOR	111 SOUTH WACKER DR. CHICAGO, IL 60606	0.35%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
HENNESSY FOCUS FUND INVESTOR CLASS 7250 REDWOOD BLVD. STE 200 NOVATO, CA 94945	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
HUSSMAN STRATEGIC GROWTH 225 PICTORIA DRIVE SUITE 450 CINCINNATI, OH 45246	$12.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN INVESTMENT CO OF AMERICA 3500 WISEMAN BLVD SAN ANTONIO, TX 78251-4321	0.37%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WCM FOCUSED INTL GROWTH FUND INSTL	2220 EAST ROUTE 66 SUITE 226 GLENDORA, CA 91740	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
RIVERBRIDGE GROWTH FUND INVESTOR	2220 E. ROUTE 66 SUITE 226 GLENDORA, CA 91740	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PALMER SQUARE INCOME PLUS INSTL	2220 EAST ROUTE 66 SUITE 226 GLENDORA, CA 91740	0.12%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
SILVERPEPPER COMM BASED GLBL MACRO	570 OAKWOOD AVE. LAKE FOREST, IL 60045	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WCM FOCUSED GLOBAL GROWTH INVESTOR	2220 EAST ROUTE 66 SUITE 226 GLENDORA, CA 91740	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DELAWARE IVY MID CAPGROWTH CL A	6300 LAMAR AVE SMITHFIELD, RI 02917	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JPMORGAN HEDGED EQUITY CLASS I 1111 POLARIS PARKWAY COLUMBUS, OH 43240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JACOB MICRO CAP GROWTH INV CL 727 2ND STREET SUITE 106 HERMOSA BEACH, CA 90254	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS HENDERSON VENTURE T 151 DETROIT ST. DENVER, CO 80206	0.35%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS HENDERSON GLOB TECH & INNOV 151 DETROIT ST. DENVER, CO 80206	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS HENDERSON GL LIFE SCIENCES T 151 DETROIT ST. DENVER, CO 80206	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS HENDERSON BALANCED T 151 DETROIT ST. DENVER, CO 80206	0.35%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS HENDERSON GL REAL ESTATE T 151 DETROIT ST. DENVER, CO 80206	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JANUS HENDERSON DEVELOPED WORLD BD 151 DETROIT ST. DENVER, CO 80206	$14.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JOHN HANCOCK DISCIPLINED VALUE MID 601 CONGRESS ST. 9TH FL. BOSTON, MA 02210	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JPMORGAN EMERGING MKTS EQUITY CLAS 1111 POLARIS PARKWAY COLUMBUS, OH 43240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JPMORGAN SMALL CAP EQUITY FND CLAS 1111 POLARIS PARKWAY COLUMBUS, OH 43240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JP MORGAN STRATEGIC INCOME OPPORT 1111 POLARIS PARKWAY COLUMBUS, OH 43240	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JPMORGAN LARGE CAP GROWTH CLASS A	1111 POLARIS PARKWAY COLUMBUS, OH 43240	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JPMORGAN HIGH YIELD BOND FUND CLAS	1111 POLARIS PARKWAY COLUMBUS, OH 43240	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JPMORGAN DIVERS MID CAP GROWTH CLA	1111 POLARIS PARKWAY COLUMBUS, OH 43240	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
KINETICS PARADIGM FUND 470 PARK AVENUE SOUTH NEW YORK, NY 10016	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LAZARD GLOBAL LISTEDINFRASTRUCTURE 30 ROCKEFELLER PLAZA 57TH FL. NEW YORK, NY 10112	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LAZARD GLOBAL LISTED INFRASTRUCTE 30 ROCKEFELLER PLAZA 57TH FL. NEW YORK, NY 10112	0.10%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LAZARD INTL STRAT EQUITY PORT OPEN	30 ROCKEFELLER PLAZA 57TH FL. NEW YORK, NY 10112	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CLEARBRIDGE SELECT FUND CL A	620 8TH AVENUE 49TH FL. NEW YORK, NY 10018	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LONGLEAF PARTNERS	6410 POPLAR AVENUE SUITE 900 MEMPHIS, TN 38119	0.12%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LOOMIS SAYLES BOND RETAIL SHARES 399 BOYLSTON STREET 8TH FL BOSTON, MA 02116	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LOOMIS SAYLES BOND INSTL 399 BOYLSTON STREET 8TH FL BOSTON, MA 02116	0.20%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LORD ABBETT GROWTH LEADERS FUND CL 90 HUDSON STREET 10TH FLOOR JERSEY CITY, NJ 07302	0.45%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LORD ABBETT SHORT DURATION INCOME 90 HUDSON STREET 10TH FLOOR JERSEY CITY, NJ 07302	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LORD ABBETT DEVELOP GROWTH CLASS A 90 HUDSON STREET 10TH FLOOR JERSEY CITY, NJ 07302	0.45%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LORD ABBETT MICRO CAP GROWTH FUND 90 HUDSON STREET 10TH FLOOR JERSEY CITY, NJ 07302	0.45%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MFS INTERNATIONAL DIVERSIFICATION 111 HUNTINGTON AVE BOSTON, MA 02199-7632	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MFS INTERNATIONAL DIVERSIFICATION 111 HUNTINGTON AVE BOSTON, MA 02199-7632	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MFS TECHNOLOGY CLASSA 111 HUNTINGTON AVE BOSTON, MA 02199-7632	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MAIRS AND POWER SMALL CAP FUND 777 E. WISCONSIN AVENUE FLOOR 4 MK MILWAUKEE, WI 53202	0.12%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ATAC ROTATION FUND INVESTOR CL 615 E. MICHIGAN ST. MILWAUKEE, WI 53202	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
JACKSON SQUARE SMID CAP GROWTH FD 1 LETTERMAN DRIVE SAN FRANCISCO, CA 94129	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
SPYGLASS GROWTH FUND INSTL	ONE LETTERMAN DRIVE SAN FRANCISCO, CA 94129	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MARSICO GLOBAL FUND	235 WEST GALENA STREET MILWAUKEE, WI 53212	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MATTHEWS CHINA DIV FUND INVESTOR C	4 EMBARCADERO CENTER SUITE 550 SAN FRANCISCO, CA 94111	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MATTHEWS CHINA SMALLCOMPANIES INVE	4 EMBARCADERO CENTER SUITE 550 SAN FRANCISCO, CA 94111	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MATTHEWS PACIFIC TIGER FUND	4 EMBARCADERO CENTER SUITE 550 SAN FRANCISCO, CA 94111	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MATTHEWS INDIA FUND	4 EMBARCADERO CENTER SUITE 550 SAN FRANCISCO, CA 94111	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MATTHEWS ASIAN INNOVATORS FD INVST	4 EMBARCADERO CENTER SUITE 550 SAN FRANCISCO, CA 94111	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MERGER FUND CLASS A	100 SUMMIT LAKE DRIVE #201 VALHALLA, NY 10595	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
METROPOLITAN WEST TOT RETURN BOND	865 SOUTH FIGUEROA ST. #1400 LOS ANGELES, CA 90017	0.35%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
METROPOLITAN WEST TOTAL RETURN CLA 865 SOUTH FIGUEROA ST. #1400 LOS ANGELES, CA 90017	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
METROPOLITAN WEST HIGH YIELD BOND 865 SOUTH FIGUEROA ST. #1400 LOS ANGELES, CA 90017	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PALMER SQUARE OPPORTUNISTIC INC 2220 EAST ROUTE 66 SUITE 226 GLENDORA, CA 91740	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MORGAN STANLEY DISCOVERY PORT CL I 522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MORGAN STANLEY DISCOVERY PORT CL A 522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF GLOBAL FRANCHISE CLASS A 522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MORGAN STANLEY GROWTH PORTFOLIO A 522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MORGAN STA INST INC.INCEPTION PORT 522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MORGAN STANLEY GROWTH PORTFOLIO I 522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MORGAN STANLEY INSIGHT A 522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MORGAN STANLEY INSIGHT I 522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MORGAN STANLEY INTL ADVANTAGE CL A 522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MORGAN STANLEY INTL ADVANTAGE CL I	522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MORGAN STANLEY GLOBAL OPPORTUNITY	522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MSIF ASIA OPPORTUNITY CL A	522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
RATIONAL DYNAMIC BRANDS FD INSTL C	80 ARKAY DRIVE SUITE 110 HAUPPAUGE, NY 11788	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
EVENTIDE GILEAD FUND CLASS N	80 ARKAY SUITE 110 HAUPPAUGE, NY 11788	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LOOMIS SAYLES CORE PLUS BOND FUND	399 BOYLSTON STREET 8TH FLOOR BOSTON, MA 02116	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
NEEDHAM SMALL CAP GROWTH 445 PARK AVE. 15TH FLOOR NEW YORK, NY 10022	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
NEUBERGER BERMAN REAL ESTATE CL I 1290 AVENUE OF THE AMERICAS 22ND F NEW YORK, NY 10104-0002	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN NEW PERSPECTIVE CLASS F1 3500 WISEMAN BLVD SAN ANTONIO, TX 78251-4321	0.37%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN NEW WORLD CLASS F1 3500 WISEMAN BLVD SAN ANTONIO, TX 78251-4321	0.37%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
HCM INCOME PLUS FUNDINVESTOR 1145 HEMBREE ROAD ROSWELL, GA 30076	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
HCM DIVIDEND SECTOR PLUS FUND INVE 1145 HEMBREE ROAD ROSWELL, GA 30076	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
COUNTERPOINT TACTICAL INCOME CL I 12760 HIGH BLUFF DRIVE SUITE #280 SAN DIEGO, CA 92130	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
HCM TACTICAL GROWTH FUND INVESTOR 1145 HEMBREE ROAD ROSWELL, GA 30076	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG MFS AGGRESSIVE GROWTH STRATEGY 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG JP MORGAN TACTICAGGRESSIVE STR 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG BNY MELLON DIVERSIFIER STRAT R 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG MEEDER TACTICAL STRATEGY FUND 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG JP MORGAN TACTICMODERATE STRAT 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG ACTIVE CORE BOND STRATEGY FUND 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG INVESCO THEMATIC ESG STRATEGY 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG JANUS HENDERSON BALANCED STRAT 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG TACTICAL INCOME STRATEGY CL R 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG EQUITY INDEX FOCUSED STRATEGY 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG SECTOR EQUITY BUS CYCLE STRAT 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG BR EQUITY ESG STRATEGY CL R 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PFG AMERICAN FUNDS GROWTH STRAT CL 777 108TH AVE NE STE 2100 BELLEVUE, WA 98004	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
NUVEEN CREDIT INCOMEFUND CLASS A 333 WEST WACKER DRIVE CHICAGO, IL 60606	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
RED OAK TECHNOLOGY SELECT 225 PICTORIA DRIVE SUITE 450 CINCINNATI, OH 45246	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIMCO TOTAL RETURN CLASS A 1633 BROADWAY NEW YORK, NY 10019	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIMCO INTL BD FD U SDOLLAR HEDGED	1633 BROADWAY NEW YORK, NY 10019	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIMCO EMERGING MARKETS BOND FUND A	1633 BROADWAY NEW YORK, NY 10019	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PARNASSUS ENDEAVOR FUND	ONE MARKET STREET STEUART TOWER SUI SAN FRANCISCO, CA 94105	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PARNASSUS MID CAP ONE MARKET STREET STEUART TOWER SUI SAN FRANCISCO, CA 94105	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PARNASSUS CORE EQUITY INVESTOR ONE MARKET STREET STEUART TOWER SUI SAN FRANCISCO, CA 94105	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PARNASSUS CORE EQUITY INSTL ONE MARKET STREET STEUART TOWER SUI SAN FRANCISCO, CA 94105	0.10%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PAX INTL SUSTAINABLEECONOMY INVEST 1290 BROADWAY SUITE 1100 DENVER, CO 80203	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PERMANENT PORTFOLIO 600 MONTGOMERY ST. SUITE 4100 SAN FRANCISCO, CA 94111-2702	0.38%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIMCO INTL BOND FUND (UNHEDGED) A 1633 BROADWAY NEW YORK, NY 10019	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIMCO INCOME FUND CL A 1633 BROADWAY NEW YORK, NY 10019	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIMCO STOCKSPLUS SHORT FUND A 1633 BROADWAY NEW YORK, NY 10019	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIMCO INCOME CL I3 1633 BROADWAY NEW YORK, NY 10019	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIMCO GLBL BD OPPOR FUND (UNHEDGED 1633 BROADWAY NEW YORK, NY 10019	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIMCO RAE US SMALL FUND A 1633 BROADWAY NEW YORK, NY 10019	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIMCO FLEXIBLE CREDIT INC FD INSTL 1633 BROADWAY NEW YORK, NY 10019	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PIONEER FUNDAMENTAL GROWTH FD CL Y 60 STATE STREET 17TH FL. BOSTON, MA 02109	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE COMM & TECHNOLOGY INV 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE GROWTH STOCK 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE HEALTH SCIENCES 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE GLOBAL TECHNOLOGY 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE QM US BOND INDEX INVE 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE GLBL MULTI SECTOR BON 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE RET 2020 FUND 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE RET 2030 FD 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE RETIREMENT 2035 FUND 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PRIMECAP ODYSSEY GROWTH FUND 2020 E. FINANCIAL WAY SUITE 100 GLENDORA, CA 91741	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PRIMECAP ODYSSEY AGGRESSIVE GRWTH 2020 E. FINANCIAL WAY SUITE 100 GLENDORA, CA 91741	0.10%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PRINCIPAL EQUITY INCOME INSTL	620 COOLIDGE DRIVE SUITE 300 FOLSOM, CA 95630	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AKRE FOCUS FUND RETAIL	777 E. WISCONSIN AVE. 4TH FL MILWAUKEE, WI 53202	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AKRE FOCUS FUND INSTL	777 E. WISCONSIN AVE. 4TH FL MILWAUKEE, WI 53202	0.10%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
HEALTH CARE ULTRA SECTOR PRO FD IN	7501 WISCONSIN AVE SUITE 1000 EAST BETHESDA, MD 20814	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ULTRA SMALL CAP PROFUND INVESTOR S	7501 WISCONSIN AVE SUITE 1000 EAST BETHESDA, MD 20814	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BITCOIN STRATEGY FD INVESTOR	7501 WISCONSIN AVE SUITE 1000 EAST BETHESDA, MD 20814	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PUTNAM LARGE CAP VAL FUND CL Y	ONE POST OFFICE SQUARE MAILZONE G3C BOSTON, MA 02109	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PUTNAM GLOBAL TECHNOLOGY FUND CL A	ONE POST OFFICE SQUARE MAILZONE G3C BOSTON, MA 02109	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PUTNAM GROWTH OPPORTUNITIES CL A	ONE POST OFFICE SQUARE MAILZONE G3C BOSTON, MA 02109	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BOSTON PARTNERS ALL CAP VALUE INVS	223 WILMINGTON WEST CHESTER PIKE #2 CHADDS FORD, PA 19317	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
RMB MENDON FINANCIAL SRVC CL C	1251 AVENUE OF THE AMERICAS 8TH FL NEW YORK, NY 10020	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE DIVIDEND GROWTH	4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE FINANCIAL SERVICES 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE U.S EQUITY RESEARCH F 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE BLUE CHIP GROWTH INC 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE MID CAP GROWTH 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE GLOBAL GR STOCK INVES 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE GLOBAL STOCK 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE SHORT TERM BOND 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE US TREALONG TERM INDE 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE MID CAP VALUE 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE DIVERSDMID CAP GROWTH 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE INSTL FLOATING RATE C 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE QM US SML CAP GRWTH E 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ROYCE OPPORTUNITY FDSVCS CL 745 FIFTH AVENUE SUITE 2400 NEW YORK, NY 10151	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
RYDEX NASDAQ 100 2X STRATEGY CL H 9601 BLACKWELL RD. STE. 500 ROCKVILLE, MD 20850	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
RYDEX NASDAQ 100 INV CLASS 9601 BLACKWELL RD. STE. 500 ROCKVILLE, MD 20850	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
RYDEX MONTHLY REBAL NASDAQ 100 2X 9601 BLACKWELL RD. STE. 500 ROCKVILLE, MD 20850	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
SHELTON NASDAQ 100 INDEX P.O. BOX 87 DENVER, CO 80201-0087	0.12%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AMERICAN SMALLCAP WORLD CLASS F1 3500 WISEMAN BLVD SAN ANTONIO, TX 78251-4321	0.37%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
SPROTT GOLD EQUITY FUND INVESTOR	200 BAY STREET SUITE 2600 TORONTO, CA M5J 2J1 CA	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
STONERIDGE REINSURAC RISK PREM INT	510 MADISON AVENUE NEW YORK, NY 10022	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TCW EMERGING MARKETS INCOME CL N	865 SOUTH FIGUERA STREET 22ND FLOO LOS ANGELES, CA 90017	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TCW EMERGING MKTS INCOME CL I 865 SOUTH FIGUERA STREET 22ND FLOO LOS ANGELES, CA 90017	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE GLOBAL REAL ESTATE FU 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TEMPLETON GLOBAL BOND CLASS A 100 FOUNTAIN PARKWAY ST. PETERSBURG, FL 33716	$16.00

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
THOMPSON BOND FUND 1255 FOURIER DR STE 200 MADISON, WI 53717	0.25%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
THORNBURG STRATEGIC INCOME FUND CL 2300 NORTH RIDGETOP RD SANTA FE, NM 87506	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
THORNBURG LTD TERM INCOME CLASS I 2300 NORTH RIDGETOP RD SANTA FE, NM 87506	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
THRIVENT MID CAP STOCK FUND CL S	4321 N. BALLARD ROAD APPLETON, WI 54919-0001	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRANSAMERICA CAPITAL GROWTH CL A	4333 EDGEWOOD RD NE CEDAR RAPIDS, IA 52499	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PERFORMANCE TRUST STRATEGIC BOND F	500 WEST MADISON SUITE 470 CHICAGO, IL 60661	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TWEEDY BROWNE INTERNATL VALUE FUND	ONE STATION PLACE 5TH FLOOR STAMFORD, CT 06902	$25.00

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
USAA INTERMEDIATE TERM BOND RETAIL	4900 TIEDEMAN RD 4TH FLOOR BROOKLYN, OH 44114	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
VICTORY SYCAMORE ESTABLISHED VALUE	4900 TIEDEMAN RD 4TH FLOOR BROOKLYN, OH 44114	0.10%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
VICTORY GLOBAL ENERGY TRANSITION A 4900 TIEDEMAN RD 4TH FLOOR BROOKLYN, OH 44114	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
VIRTUS KAR SMALL CAP GROWTH CL A 101 MUNSON ST. STE. 3 GREENFIELD, MA 01301	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
VIRTUS NEWFLEET MLT SECTOR SH TERM 101 MUNSON ST. STE. 3 GREENFIELD, MA 01301	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
VIRTUS ZEVENBERGEN INNOVATIVE GR S 101 MUNSON ST. STE. 3 GREENFIELD, MA 01301	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH SMALL CAP GROWTH 505 WAKARA WAY SUITE 300 SALT LAKE CITY, UT 84108	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH CORE GROWTH 505 WAKARA WAY SUITE 300 SALT LAKE CITY, UT 84108	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH ULTRA GROWTH	505 WAKARA WAY SUITE 300 SALT LAKE CITY, UT 84108	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH MICROCAP	505 WAKARA WAY SUITE 300 SALT LAKE CITY, UT 84108	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH MICRO CAP FUND INSTL CL	505 WAKARA WAY SUITE 300 SALT LAKE CITY, UT 84108	0.10%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH SMALL CAP GROWTH FUND INST	505 WAKARA WAY SUITE 300 SALT LAKE CITY, UT 84108	0.10%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH CORE GROWTH INSTITUTIONAL	505 WAKARA WAY SUITE 300 SALT LAKE CITY, UT 84108	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH EMERGING INDIA FUND	505 WAKARA WAY SUITE 300 SALT LAKE CITY, UT 84108	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WASATCH GLOBAL OPPORTUNITIES RETAI 505 WAKARA WAY SUITE 300 SALT LAKE CITY, UT 84108	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WEITZ VALUE 1125 SOUTH 103RD STREET OMAHA, NE 68124	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ALLSPRING PRMIER LRGCOMPANY GRTH F 525 MARKET ST. MAC #A0103 122 SAN FRANCISCO, CA 94105	0.40%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ALLSPRING ABSOLUTE RETURN FD A 525 MARKET ST. MAC #A0103 122 SAN FRANCISCO, CA 94105	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
VIRTUS WESTCHESTER EVENT DRIVEN A 100 SUMMIT LAKE DRIVE #201 VALHALLA, NY 10595	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WESTERN ASSET CORE BOND FUND CL I 620 8TH AVENUE 49TH FL. NEW YORK, NY 10018	0.15%

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WILLIAM BLAIR INTNATLEADERS FUND C 222 WEST ADAMS STREET 12TH FLOOR CHICAGO, IL 60606	0.40%

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

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

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

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

Part II Service Providers Who Fail or Refuse to Provide Information

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

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

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

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

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

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

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

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

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

SCHEDULE D (Form 5500)

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
QUALCOMM INCORPORATED EMPLOYEE SAVINGS AND RETIREMENT PLAN

B Three-digit plan number (PN) ▶ 001

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

D Employer Identification Number (EIN)
95-3685934

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: WF/BLACKROCK ST INVESTMENT FUND S

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.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)
41-6292499-001	C	11014154

a Name of MTIA, CCT, PSA, or 103-12 IE: FID CONTRA POOL CL 2

b Name of sponsor of entity listed in (a): FIDELITY MANAGEMENT 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)
04-3022712-133	C	1023087300

a Name of MTIA, CCT, PSA, or 103-12 IE: VANG INST TOT BD MKT

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
81-6321044-001	C	87609100

a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET 2025

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
90-0735963-001	C	304085815

a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET 2050

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
90-0735976-001	C	128757916

a Name of MTIA, CCT, PSA, or 103-12 IE: VANG IS EXT MKT IDX

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
81-6324211-001	C	398143511

a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET 2030

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
90-0735964-001	C	176572902

a Name of MTIA, CCT, PSA, or 103-12 IE: FID OTC POOL CLASS 2

b Name of sponsor of entity listed in (a): FIDELITY MANAGEMENT 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)
04-3022712-143	C	1076077111

a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET 2055

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
90-0735978-001	C	92846461

a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET 2060

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
45-3799736-001	C	54084796

a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET 2015

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
90-0735891-001	C	53555972

a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET 2020

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
90-0735899-001	C	48699074

a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET 2035

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
90-0735965-001	C	410946971

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

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
90-0735883-001	C	51133257

a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET 2045

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
90-0735972-001	C	397882277

a Name of MTIA, CCT, PSA, or 103-12 IE: VANG INST 500 IDX TR

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
81-6327546-001	C	1141671249

a Name of MTIA, CCT, PSA, or 103-12 IE: VANG INST TOT INTL

b Name of sponsor of entity listed in (a): VANGUARD FIDUCIARY 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)
81-6317280-001	C	47876208

a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET 2040

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

c EIN-PN 90-0735971-001	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 196589465

a Name of MTIA, CCT, PSA, or 103-12 IE: VANGUARD TARGET 2065

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

c EIN-PN 82-6204383-001	**d** Entity code C	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 13019274

a Name of MTIA, CCT, PSA, or 103-12 IE: METWEST TOT RTN BD B

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) 323639752

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
QUALCOMM INCORPORATED EMPLOYEE SAVINGS AND RETIREMENT PLAN

B Three-digit plan number (PN) ▶ 001

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

D Employer Identification Number (EIN)
95-3685934

Part I Asset and Liability Statement

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

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a	1020962	931296
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	5005531	5991376
(2) Participant contributions	1b(2)	6278866	7661556
(3) Other	1b(3)	9966203	12603328
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	177440194	149190130
(2) U.S. Government securities	1c(2)	156698313	130249183
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)	87439176	80260012
(B) All other	1c(3)(B)	47442881	56948443
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)	379836	393305
(B) Common	1c(4)(B)	344487021	467159866
(5) Partnership/joint venture interests	1c(5)	0	0
(6) Real estate (other than employer real property)	1c(6)	0	0
(7) Loans (other than to participants)	1c(7)	0	0
(8) Participant loans	1c(8)	25087143	26274333
(9) Value of interest in common/collective trusts	1c(9)	5039760749	6037292565
(10) Value of interest in pooled separate accounts	1c(10)	0	0
(11) Value of interest in master trust investment accounts	1c(11)	0	0
(12) Value of interest in 103-12 investment entities	1c(12)	0	0
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	839342033	1047619959
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)	0	0
(15) Other	1c(15)	29779767	24250086

			(a) Beginning of Year	**(b)** End of Year
1d	Employer-related investments:			
	(1) Employer securities	**1d(1)**	0	0
	(2) Employer real property	**1d(2)**	0	0
e	Buildings and other property used in plan operation	**1e**	0	0
f	Total assets (add all amounts in lines 1a through 1e)	**1f**	6770128675	8046825438
	Liabilities			
g	Benefit claims payable	**1g**	0	0
h	Operating payables	**1h**	6135	6885
i	Acquisition indebtedness	**1i**	0	0
j	Other liabilities	**1j**	23308669	19446987
k	Total liabilities (add all amounts in lines 1g through1j)	**1k**	23314804	19453872
	Net Assets			
l	Net assets (subtract line 1k from line 1f)	**1l**	6746813871	8027371566

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)**	74446811	
	(B) Participants	**2a(1)(B)**	312300936	
	(C) Others (including rollovers)	**2a(1)(C)**	30187317	
	(2) Noncash contributions	**2a(2)**	0	
	(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	**2a(3)**		416935064
b	**Earnings on investments:**			
	(1) Interest:			
	(A) Interest-bearing cash (including money market accounts and certificates of deposit)	**2b(1)(A)**	97898	
	(B) U.S. Government securities	**2b(1)(B)**	2849753	
	(C) Corporate debt instruments	**2b(1)(C)**	3215172	
	(D) Loans (other than to participants)	**2b(1)(D)**	0	
	(E) Participant loans	**2b(1)(E)**	1318111	
	(F) Other	**2b(1)(F)**	439805	
	(G) Total interest. Add lines **2b(1)(A)** through **(F)**	**2b(1)(G)**		7920739
	(2) Dividends: **(A)** Preferred stock	**2b(2)(A)**	25901	
	(B) Common stock	**2b(2)(B)**	2341221	
	(C) Registered investment company shares (e.g. mutual funds)	**2b(2)(C)**	88752164	
	(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	**2b(2)(D)**		91119286
	(3) Rents	**2b(3)**		0
	(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	**2b(4)(A)**	1154149512	
	(B) Aggregate carrying amount (see instructions)	**2b(4)(B)**	1108746280	
	(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	**2b(4)(C)**		45403232
	(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	**2b(5)(A)**	0	
	(B) Other	**2b(5)(B)**	2262961	
	(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	**2b(5)(C)**		2262961

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		934265163
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		-8
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		0
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		0
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		67848807
c Other income	2c		5730387
d Total income. Add all **income** amounts in column (b) and enter total	2d		1571485631
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	289761177	
(2) To insurance carriers for the provision of benefits	2e(2)	0	
(3) Other	2e(3)	0	
(4) Total benefit payments. Add lines **2e(1)** through **(3)**	2e(4)		289761177
f Corrective distributions (see instructions)	2f		119047
g Certain deemed distributions of participant loans (see instructions)	2g		73862
h Interest expense	2h		0
i Administrative expenses: **(1)** Professional fees	2i(1)	0	
(2) Contract administrator fees	2i(2)	0	
(3) Investment advisory and management fees	2i(3)	0	
(4) Other	2i(4)	973850	
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		973850
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		290927936
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		1280557695
l Transfers of assets:			
(1) To this plan	2l(1)		0
(2) From this plan	2l(2)		0

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, LLC **(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		7896

			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		25000000
f	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	**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**		X	

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
QUALCOMM INCORPORATED EMPLOYEE SAVINGS AND RETIREMENT PLAN

B Three-digit plan number (PN) ▶ 001

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

D Employer Identification Number (EIN)
95-3685934

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** |

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

EIN(s): 04-6568107

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

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

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

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

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

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

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

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

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

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

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

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

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

Part III Amendments

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

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

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

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

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

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

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

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

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

☐ Yes.

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

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

☐ No. Other. Provide explanation _____

Report of Independent Auditors

To the Administrator of QUALCOMM Incorporated Employee Savings and Retirement 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 QUALCOMM Incorporated Employee Savings and Retirement 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 6 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 September 8, 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.

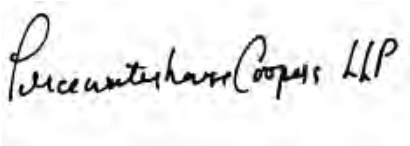
Other Matter – Supplemental Schedules Required by ERISA

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).



San Francisco, California
October 7, 2022

QUALCOMM Incorporated Employee Savings and Retirement Plan

Financial Statements and Supplemental Schedules
December 31, 2021 and 2020

QUALCOMM Incorporated
Employee Savings and Retirement Plan
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QUALCOMM Incorporated
Employee Savings and Retirement Plan
Statements of Net Assets Available for Benefits
December 31, 2021 and 2020

	2021	2020
Investments at fair value		
Mutual funds	$ 803,760,734	$ 655,140,599
Collective trusts	6,037,292,565	5,039,760,749
Self-directed brokerage accounts ("SDBAs")	854,630,191	692,075,172
Total investments at fair value	7,695,683,490	6,386,976,520
Investments at contract value	284,480,283	306,715,231
Participant contributions receivable	7,661,556	6,278,866
Company contributions receivable	5,991,376	5,005,531
Notes receivable from participants	26,274,333	25,087,143
Noninterest-bearing cash	930,022	1,020,962
Net assets available for benefits	$ 8,021,021,060	$ 6,731,084,253

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

QUALCOMM Incorporated
Employee Savings and Retirement Plan
Statement of Changes in Net Assets Available for Benefits
Year Ended December 31, 2021

		2021
Additions		
Investment income		
Net appreciation in fair value of investments	$	1,065,580,116
Interest and dividends		97,011,871
Net investment income		1,162,591,987
Interest income on notes receivable from participants		1,318,111
Contributions		
Participants		312,300,936
Company		74,446,811
Participant rollovers		30,187,317
Total contributions		416,935,064
Total additions		1,580,845,162
Deductions		
Distributions to participants		(289,954,086)
Administrative expenses, net		(954,269)
Total deductions		(290,908,355)
Net increase in net assets available for benefits		1,289,936,807
Net assets available for benefits		
Beginning of year		6,731,084,253
End of year	$	8,021,021,060

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

1. Description of Plan

General

The QUALCOMM Incorporated Employee Savings and Retirement Plan (the "Plan") is a qualified 401(k) savings plan that was established in 1986 to enable employees of QUALCOMM Incorporated (the "Company" or the "Plan Administrator") to set aside earnings for the purpose of retirement. The Plan covers all eligible employees of the Company as defined in the Plan. The Qualcomm Incorporated US Retirement Committee (the "Committee") is responsible for oversight of the Plan, including determining the appropriateness of the Plan's investment offerings and monitoring investment performance. The following description provides only general information. Participants should refer to the Plan document for a more complete description of the Plan's provisions.

Participation

An eligible employee can participate in the Plan on the day the employee is first employed, provided he or she is at least 18 years old, with the exception of interns who are eligible to participate after 90 days of service. Leased, temporary or seasonal employees are not eligible to participate.

Employee Contributions

Participants are permitted to make pre-tax, Roth and traditional after-tax contributions to the Plan in amounts from 1% to 85% of their annual salary, up to prescribed limits established by the Internal Revenue Service ("IRS") which were $19,500 during both 2021 and 2020 excluding catch-up contributions. Additionally, participants are permitted to make pre-tax, Roth and traditional after-tax contributions of up to 85% of their eligible annual bonus compensation.

Rollover Contributions

All employees are eligible to make rollover contributions from previous employers' qualified defined contribution plans if the contributions satisfied the requirements of the Internal Revenue Code ("IRC").

Catch-up Contributions

In accordance with the Economic Growth and Tax Relief Reconciliation Act of 2001, the Plan allows for additional salary deferrals or "catch-up contributions" for employees age 50 and older, with a maximum catch-up of $6,500 during both 2021 and 2020.

Company Contributions

During 2021 and 2020, the Company contributed $1.00 for each dollar a participant contributed up to $1,500, $0.50 for each dollar the participant contributed for the next $1,500 and $0.33 for each dollar the participant contributed for the next $7,500. The Company also matches additional contributions of $0.10 for each dollar a participant contributes in excess of $10,500 up to the maximum allowable contribution for federal income tax purposes. The Company's matching and discretionary contributions are made to the employees' pre-tax accounts regardless of whether the employees' contributions were pre-tax or Roth contributions. The Company does not match employees' traditional after-tax contributions. The Company did not make any discretionary contributions to the Plan during 2021 or 2020.

Participant Accounts and Investment Alternatives
Each participant's account is credited with the participant's contributions and allocations of (a) the Company's contributions and (b) Plan investment earnings and expenses. Allocations are based on the participant's contributions and investment elections. Participants can allocate their contributions among the Plan's investment alternatives ("Participant Directed") or to self-directed brokerage accounts ("SDBAs"). The benefit to which a participant is entitled is based on the participant's vested account balance.

Vesting
Salary deferrals (including earnings thereon) are immediately 100% vested. Participants vest in the Company's matching and discretionary contributions and the related earnings at the rate of 50% on the first anniversary date and 100% on the second anniversary date of the employee's hire date. A participant automatically becomes 100% vested after attaining age 60 or after becoming disabled, deceased or Plan termination based upon the terms of the Plan document.

Forfeitures
A forfeiture is defined as the nonvested portion of a participant's account upon that participant's termination from the Company. Forfeitures can be used to offset the Company's matching contributions or to pay Plan administrative expenses. During 2021, employer contributions were reduced by nonvested forfeitures of $1,222,072. These accounts will be used to offset future employer contributions.

Distributions to Participants
Upon termination of employment or retirement, participants may elect to receive a lump-sum amount equal to the vested value of their account. If the lump-sum amount is valued at $5,000 or greater, participants may elect to receive the distribution in either a lump-sum amount or in installment payments or a partial distribution. A participant's vested account balance in excess of $1,000 but less than $5,000 is rolled over to a Fidelity Individual Retirement Account ("IRA") if the Plan is not directed otherwise by the participant, while vested account balances less than $1,000 are paid to the participant in cash in a lump sum. Hardship withdrawals are permitted if certain criteria are met. Participants may elect to have their account balances distributed to their beneficiaries in lump sum payments or in installments or a partial distribution in the event of the participant's death.

Effective September 1, 2021, a Participant may elect to receive a distribution from his or her Deferral Account, Traditional After-tax Contributions Account, Qualified Nonelective Contributions Account, Qualified Matching Contributions Account, Rollover Account, Roth Contribution Account, Roth Rollover Account, or Traditional After-tax Rollover Account, of an amount not to exceed $5,000 within the one-year period beginning on the date on which the child of such Participant is born or on which the legal adoption by the Participant is finalized with respect to any individual (other than a child of the Participant's spouse) who has not attained age 18 or is physically or mentally incapable of self-support.

Notes Receivable From Participants
Participants may obtain cash loans from the Plan with the approval of the Plan Administrator. Loan amounts are limited to the lesser of $50,000 reduced by the highest outstanding loan balance in the participant's account during the prior twelve-month period or one-half of the participant's vested account balance. Promissory notes are secured by all accounts of the participant. Loans bear interest at prime plus 1% and are repayable within five years or, if the loan is for the purchase of a primary residence, within ten years.

Effective April 1, 2020, the Plan adopted the temporary loan repayment deferral provision of the CARES Act. The deferral provision adopted by the Plan allows qualified Plan participants who have Plan loan repayments to defer such repayments until December 31, 2020. The Plan also adopted the CARES Act retirement plan loan limit provision in which qualified individuals eligible for a coronavirus-related distribution could obtain a loan for the lesser of $100,000 or the vested account balance as long as the loan is made within 180 days of the enactment of the CARES Act.

Administrative Expenses
Plan participants pay for the Plan's administrative expenses through a quarterly direct charge to their accounts. Certain administrative expenses related to a specific participant's account activity are charged directly to the participant's account. All other administrative expenses are paid by the Plan, and no expenses are paid by the Company. The Plan allocates revenue sharing credits back to participants' accounts who invest in the funds which generate the revenue credit. During 2021, total net administrative expenses were $954,269, including $1,018,528 in administrative expenses, partially offset by $64,259 in revenue sharing credits previously earned on the investments within the Plan.

Plan Termination
The Company expects and intends to continue the Plan on a permanent basis. However, the Company reserves the right to amend or discontinue the Plan at any time subject to the provisions of the Employment Retirement Income Security Act of 1974 ("ERISA"). In the event of a Plan termination, participants would become 100% vested in their accounts.

2. Summary of Significant Accounting Policies

Basis of Accounting
The financial statements of the Plan are prepared under the accrual method of accounting in conformity with accounting principles generally accepted in the United States of America ("U.S. GAAP").

Investment Valuation and Income Recognition
Investments are stated at fair value except for fully benefit-responsive investment contracts, which are reported at contract value. The Committee determines the Plan's valuation policies utilizing information provided by the Committee's Investment Adviser as well as the Fidelity Management Trust Company and Wells Fargo Bank, N.A. (collectively the "Trustees"). Wells Fargo Bank, N.A. is the trustee of the Wells Fargo/ BlackRock Short Term Investment Fund (Class S). The Plan's fair value measurements are discussed in Note 4.

Purchases and sales of investments are recorded on a trade-date basis. Interest income is accrued when earned. Dividend income is recorded on the ex-dividend date. Net appreciation (depreciation) in the fair value of investments includes the Plan's realized gains and losses during the year on investments sold as well as unrealized gains and losses during the year on investments held.

Distributions to Participants
Distributions to participants are recorded when paid.

Tax Status
The IRS determined and informed the Company in a letter dated June 6, 2016 that the Plan and related trust are designed in accordance with applicable sections of the IRC. Since receiving the determination letter, amendments to the Plan that have been effected have not changed the design or operation of the Plan as a whole. The Plan Administrator believes that the Plan is designed and is currently being operated in compliance with the applicable sections of the IRC and therefore believes that the Plan is qualified, and the related trust is tax exempt.

U.S. GAAP requires that the Plan Administrator 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 Administrator 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 asset) or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are no audits for any tax periods currently in progress. The Plan Administrator believes the Plan is no longer subject to income tax examinations for any fiscal year prior to 2019.

Contributions
Company and employee contributions are reported in the financial statements in the period in which the related employee services are rendered.

Use of Estimates
The preparation of the Plan's financial statements in conformity with U.S. GAAP requires that the Plan's Administrator make estimates and assumptions that affect the reported amounts of net assets available for benefits and changes in net assets available for benefits during the reporting periods. Actual results could differ from those estimates.

Notes Receivable From Participants
Notes receivable from participants are measured at their unpaid principal balances plus any accrued but unpaid interest. If a participant ceases to make loan repayments and the Plan Administrator deems the participant loan to be in default, the participant's available account balance is reduced, and a benefit payment is recorded.

Risks and Uncertainties
The Plan allows participants to invest their accounts in any combination of funds offered by the Plan and other investment securities in participants' SDBAs. Investment securities are subject to various risks, such as interest rate, market and credit risks. Due to the level of risk associated with certain investment securities and the level of uncertainty related to changes in the fair value of investment securities, it is at least reasonably possible that changes in risks in the near term could materially affect participants' account balances and the amounts reported in future financial statements. Fair 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, among others.

3. Party-in-Interest and Related Party Transactions

The Plan's Fidelity investments are party-in-interest transactions because they are managed by Fidelity Management and Research LLC, an affiliate of the Trustee, as permitted under ERISA. Notes receivable from participants and revenue sharing credits discussed in Note 1 also represent permitted party-in-interest transactions. The Plan's Wells Fargo investments are party-in-interest transactions because they are managed by Wells Fargo Bank, N.A., the Trustee, as permitted under ERISA.

4. Fair Value Measurements

Fair value is defined as the exchange price that would be received for an asset or paid to transfer a liability (an exit price) in the principal or most advantageous market for the asset or liability in an orderly transaction between market participants as of the measurement date. Applicable accounting guidance provides an established hierarchy for inputs used in measuring fair value that maximizes the use of observable inputs and minimizes the use of unobservable inputs by requiring that the most observable inputs be used when available. Observable inputs are inputs that market participants would use in valuing the asset or liability and are developed based on market data obtained from sources independent of the Plan. Unobservable inputs are inputs that reflect the Company's assumptions about the factors that market participants would use in valuing the asset or liability. There are three levels of inputs that may be used to measure fair value:

- Level 1 includes financial instruments for which quoted market prices for identical instruments are available in active markets.

- Level 2 includes financial instruments for which there are inputs other than quoted prices included within Level 1 that are observable for the instrument.

- Level 3 includes financial instruments for which fair value is derived from valuation techniques in which one or more significant inputs are unobservable, including the Company's own assumptions.

Assets and liabilities are classified based on the lowest level of input that is significant to the fair value measurements.

The valuation methodologies used for Plan assets measured at fair value were as follows:

- **Mutual funds (included as Level 1):** Valued at the daily closing price as reported by the fund. Mutual funds held by the Plan are open-end mutual funds that are registered with the Securities and Exchange Commission. These funds are required to publish their net asset value ("NAV") and to transact at that price. The mutual funds held by the Plan are deemed to be actively traded.

- **Common stock (included in SDBAs as Level 1):** Valued at the closing price reported in the active market in which the individual securities are traded.

- **Certificate of deposits, corporate bonds and preferred stock (included in SDBAs as Level 2):** Valued using pricing models that maximize the use of observable inputs for similar securities, or if the security is purchased at a discount, it is valued based on the straight-line amortization to face value at maturity. This includes basing values on yields currently available on comparable securities of issuers with similar credit ratings.

- **Collective trusts (included as Level 2):** Valued using the NAV of the collective trusts as published by the investment managers. The NAV is based on the fair value of the underlying assets owned by the collective trusts, minus their liabilities, and then divided by the number of shares outstanding. The NAV of the collective trusts is calculated based on a compilation of primarily observable market information, such as the share price of the underlying mutual funds held by the collective trusts. Participants can transact every business day in the collective trusts, and there are no restrictions on collective trust transactions.

There have been no changes in the methodologies used during the years ended December 31, 2021 and 2020. The valuation methodologies may produce fair value calculations that are not indicative of net realizable value or reflective of future fair value. Furthermore, although the Company believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date. The following tables present the fair value hierarchy for the Plan's financial instruments measured at fair value as of December 31, 2021 and 2020:

	December 31, 2021		
	Level 1	**Level 2**	**Total**
Mutual funds	$ 803,760,734	$ —	$ 803,760,734
Collective Trusts	—	6,037,292,565	6,037,292,565
SDBAs	851,991,966	2,638,225	854,630,191
Total investments at fair value	$ 1,655,752,700	$6,039,930,790	$ 7,695,683,490

	December 31, 2020		
	Level 1	**Level 2**	**Total**
Mutual funds	$ 655,140,599	$ —	$ 655,140,599
Collective Trusts	—	5,039,760,749	5,039,760,749
SDBAs	687,464,647	4,610,525	692,075,172
Total investments at fair value	$ 1,342,605,246	$5,044,371,274	$ 6,386,976,520

5. Investment Contracts

The Plan holds a portfolio of synthetic guaranteed investment contracts. 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 term of the Plan. Contract value represents contributions made under each contract, plus earnings, less withdrawals. The Plan had $284,480,283 and $306,715,231 in synthetic guaranteed investment contracts at December 31, 2021 and December 31, 2020, respectively.

Synthetic guaranteed investment contracts are issued by insurance companies or other financial institutions and are backed by a portfolio of bonds. The bond portfolio may be structured as a fixed income separate account or collective fund. The issuer guarantees that all qualified participant withdrawals will be at contract value and that the crediting rate applied will not be less than 0%.The synthetic guaranteed investments are wrap contracts paired with underlying investments, primarily consisting of high-quality fixed income securities owned by the Plan.

The Plan’s ability to receive amounts due is dependent on the issuer’s ability to meet its obligations. The issuer’s ability to meet its contractual obligations may be affected by future economic and regulatory developments.

Certain events limit the ability of the Plan to transact at contract value with the issuer. Such events may include, but are not limited to: (1) amendments to the Plan documents (including complete or partial plan termination or merger with another plan), (2) changes to the Plan’s prohibition on competing investment options or deletion of equity wash provisions, (3) bankruptcy of the Company or other Company events that cause a significant withdrawal from the Plan, or (4) the failure of the Plan’s trust to qualify for exemption from federal income taxes or any required prohibited transaction exemption under the Employee Retirement Income Security Act. The Plan’s administrator does not believe that the occurrence of any such event, which would limit the Plan’s ability to transact at contract value with participants, is probable. Certain events allow the contract issuer to terminate the contract with the Plan and settle at an amount different from contract value. Such events may include, but are not limited to: (1) an uncured violation of the Plan’s investment guidelines, (2) a breach of material obligation under the contract, (3) a material misrepresentation, (4) a material amendment to the agreement without the consent of the issuer. At December 31, 2021, we are unaware of any events occurring in 2021 that would allow contract issuers to terminate the contracts held by the Plan.

6. Information Certified by the Plan’s Trustees

The Trustees hold the Plan's investments and participant notes receivable and executes all related transactions. The investments, participant notes receivable balances, and noninterest-bearing cash included in the accompanying financial statements and the related notes as of December 31, 2020 was obtained or derived from information supplied to the Plan Administrator and certified as complete and accurate by the Trustees.

The investments (except for Wells Fargo/BlackRock Short Term Investment Fund (Class S)), participant notes receivable balances and related interest income, noninterest-bearing cash and related investment income and losses included in the accompanying financial statements and the related notes and the supplemental schedule of assets (held at end of year) as of and for the year ended December 31, 2021 are based solely on information certified by Fidelity Management Trust Company. The above 2021 investment information was obtained by management and agreed to or

derived from information certified as complete and accurate by Fidelity Management Trust Company.

7. Difference between Financial Statements and Form 5500

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

	2021	2020
Net assets available for benefits per the financial statements	$ 8,021,021,060	$ 6,731,084,253
Adjustments from contract value to fair value for fully benefit-responsive investment contracts	13,199,100	29,067,737
Adjustment for Stable Value Fund Fixed Income investments pending trades	(6,848,594)	(13,338,119)
Net assets available for benefits per the Form 5500	$ 8,027,371,566	$ 6,746,813,871

The following is a reconciliation of the net increase in the net assets available for benefits per the Plan's financial statements to the Form 5500:

	2021
Net increase in net assets available for benefits per the financial statements	$ 1,289,936,807
Adjustments from contract value to fair value for fully benefit-responsive investment contracts	(15,868,637)
Adjustment for Stable Value Fund Fixed Income investments pending trades	6,489,525
Net increase in net assets available for benefits per the Form 5500	$ 1,280,557,695

8. Subsequent Events

On April 1, 2022, Wells Fargo Bank, N.A. resigned as the trustee of the Wells Fargo/BlackRock Short Term Investment Fund (Class S) (the "Fund"), and effective April 1, 2022, SEI Trust Company became the successor trustee of the Fund.

No additional subsequent events were identified through October 7, 2022, the date these financial statements were available to be issued.

Supplemental Schedules

QUALCOMM Incorporated
Employee Savings and Retirement Plan
Schedule H, Line 4i – Schedule of Assets (Held at End of Year) **
December 31, 2021

(a)	(b)	(c)	(d)	(e)
	Identity of Issue, Borrower, Lessor or Similar Party	Description of Investment, including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Cost***	Current Value
	Mutual Funds			
	American Beacon Small Cap Value Fund Class R5	Mutual fund		247,799,669
	American Funds EuroPacific Growth Fund® Class R-6	Mutual fund		165,259,186
	Vanguard Windsor™ II Fund Admiral™ Shares	Mutual fund		199,741,352
	Vanguard Explorer Fund Admiral Shares	Mutual fund		181,102,528
	DFA World ex US Core Equity Portfolio	Mutual fund		9,802,296
	Vanguard Federal Money Market Fund Investor	Mutual fund		55,703
	Total			803,760,734
	Collective Trusts			
*	Fidelity® Contrafund® Commingled Pool	Collective Trust		1,023,087,300
*	Fidelity® OTC Portfolio	Collective Trust		1,076,077,111
	Vanguard Institutional Extended Market Index Trust	Collective Trust		398,143,511
	Vanguard Institutional Total Bond Market Index Trust	Collective Trust		87,609,100
	Vanguard Institutional Total International Stock Market Index Trust	Collective Trust		47,876,208
*	Wells Fargo/ BlackRock Short Term Investment Fund (Class S)	Collective Trust		11,014,154
	Vanguard Target Retirement Income Trust Plus	Collective Trust		51,133,257
	Vanguard Target Retirement 2015 Trust Plus	Collective Trust		53,555,972
	Vanguard Target Retirement 2020 Trust Plus	Collective Trust		48,699,074
	Vanguard Target Retirement 2025 Trust Plus	Collective Trust		304,085,815
	Vanguard Target Retirement 2030 Trust Plus	Collective Trust		176,572,902
	Vanguard Target Retirement 2035 Trust Plus	Collective Trust		410,946,971
	Vanguard Target Retirement 2040 Trust Plus	Collective Trust		196,589,465
	Vanguard Target Retirement 2045 Trust Plus	Collective Trust		397,882,277
	Vanguard Target Retirement 2050 Trust Plus	Collective Trust		128,757,916
	Vanguard Target Retirement 2055 Trust Plus	Collective Trust		92,846,461
	Vanguard Target Retirement 2060 Trust Plus	Collective Trust		54,084,796
	Vanguard Target Retirement 2065 Trust Plus	Collective Trust		13,019,274
	Vanguard Institutional 500 Index Trust	Collective Trust		1,141,671,249
	MetWest Total Return Bond Fund (Class B)	Collective Trust		323,639,752
	Total			6,037,292,565

QUALCOMM Incorporated
Employee Savings and Retirement Plan
Schedule H, Line 4i – Schedule of Assets (Held at End of Year) **
December 31, 2021

(a)	(b)	(c)	(d)	(e)
	Identity of Issue, Borrower, Lessor or Similar Party	**Description of Investment, including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value**	**Cost*** **	**Current Value**
	Synthetic Guaranteed Investment Contracts			
	Stable Value Fund Fixed Income Securities (see detail)	Separate Investment Trust		284,319,516
	Stable Value Fund Cash Equivalents (see detail)	Separate Investment Trust		13,359,867
	Transamerica Premier Life Insurance Company (Contract no. MDA01349TR)	Wrapper		—
	Prudential Insurance Company of America (Contract no. GA-64203)	Wrapper		—
	Voya Retirement Insurance and Annuity Company (Contract no. MCA-800261)	Wrapper		—
	Nationwide Life Insurance Company (Contract no. GAL_QCM_IP 0119)	Wrapper		—
	Total			297,679,383
	Self-directed brokerage accounts ("SDBAs")			854,630,191
	Noninterest-bearing cash	Cash		930,022
*	Notes receivable from participants	4.25% to 6.50% maturing from 2022 to 2031		26,274,333

QUALCOMM Incorporated
Employee Savings and Retirement Plan
Schedule H, Line 4i - Schedule of Assets (Held at End of Year) **
December 31, 2021

(a)	(b)	(c)		(d)	(e)	
	Identify of Issue, borrower, Lessor or Similar Party	Description of Investment, including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value		Cost***	Current Value	
	* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	AMERICAN EXPRESS CO 3.4% 02/22/2024		99.886			
	SEMI-ANN. 3.400% 02/22/2024		104.8726	819,065.20	859,955.00	40,889.80
	025816CC1		820,000			
	AMERICAN EXPRESS CR ACCOUNT SECD NT TR 2		99.9831			
	MONTHLY 2.870% 10/15/2024		100.5334	1,849,687.91	1,859,867.16	10,179.25
	02588QAB4		1,850,000			
	AMERICAN HONDA FINANCE CORP 3.55% 01/12/		99.973			
	SEMI-ANN. 3.550% 01/12/2024		104.9612	499,865.00	524,805.90	24,940.90
	02665WCT6		500,000			
	AMERICREDIT AUTOMOBILE RECEIVABLES TRUST		99.9868			
	MONTHLY 2.970% 11/20/2023		100.1017	10,248.40	10,260.17	11.77
	03066GAD1		10,249.7500			
	AMPHENOL CORPORATION NEW 3.2% 04/01/2024		97.682			
	SEMI-ANN. 3.200% 04/01/2024		103.9562	488,410.00	519,780.79	31,370.79
	032095AG6		500,000			
	AMPHENOL CORPORATION NEW 4.35% 06/01/202		99.904			
	SEMI-ANN. 4.350% 06/01/2029		113.6123	99,904.00	113,612.34	13,708.34
	032095AH4		100,000			
	ANDOVER MA 1.873% 11/1/2029		100.00			
	SEMI-ANN. 1.873% 11/01/2029		99.8799	600,000.00	599,279.58	(720.42)
	034286FK5		600,000			
	ANGLO AMERICAN CAPITAL PLC 2.25% 03/17/2		99.428			
	SEMI-ANN. 2.250% 03/17/2028		98.5188	198,856.00	197,037.50	(1,818.50)
	034863AZ3		200,000			
	ANN ARBOR MI SD 2.394% 5/1/2026		100.00			
	SEMI-ANN. 2.394% 05/01/2026		103.2801	520,000.00	537,056.47	17,056.47
	035519VY0		520,000			
	APPLE INC 1.125% 05/11/2025		99.821			
	SEMI-ANN. 1.125% 05/11/2025		99.6859	269,516.70	269,151.97	(364.73)
	037833DT4		270,000			
	ASCENSION HEALTH 2.532% 11/15/2029		104.8786			
	SEMI-ANN. 2.532% 11/15/2029		103.7864	485,587.70	480,531.17	(5,056.53)
	04352EAA3		463,000			
	ASTRAZENECA FINANCE LLC 0.7% 05/28/2024		99.991			
	SEMI-ANN. 0.700% 05/28/2024		99.2037	349,968.50	347,212.81	(2,755.69)
	04636NAC7		350,000			

QUALCOMM Incorporated
Employee Savings and Retirement Plan
Schedule H, Line 4i - Schedule of Assets (Held at End of Year) **
December 31, 2021

(a)	(b)	(c)		(d)	(e)	
	Identify of Issue, borrower,Lessor or Similar Party	Description of Investment, including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value		Cost***	Current Value	
	* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	AT&T INC FRN 3ML+118 06/12/2024		97.62			
	QUARTERLY FLOATING 06/12/2024		101.346	488,100.00	506,730.00	18,630.00
	00206RGD8		500,000			
	AT&T INC 1.65% 02/01/2028		99.874			
	SEMI-ANN. 1.650% 02/01/2028		97.8826	199,748.00	195,765.24	(3,982.76)
	00206RKG6		200,000			
	AT&T INC 2.25% 02/01/2032		99.819			
	SEMI-ANN. 2.250% 02/01/2032		96.6322	119,782.80	115,958.59	(3,824.21)
	00206RKH4		120,000			
	AT&T INC 2.3% 06/01/2027		99.852			
	SEMI-ANN. 2.300% 06/01/2027		101.7354	104,844.60	106,822.14	1,977.54
	00206RJX1		105,000			
	AT&T INC 4.35% 03/01/2029		99.508			
	SEMI-ANN. 4.350% 03/01/2029		112.3276	208,966.80	235,887.98	26,921.18
	00206RHJ4		210,000			
	BAE SYSTEMS HOLDINGS INC 3.85% 12/15/202		111.05			
	SEMI-ANN. 3.850% 12/15/2025		107.1810	288,730.00	278,670.61	(10,059.39)
	05523UAP5		260,000			
	BAKER HUGHES A GE CO LLC / CO-OBLIGOR IN		100.1034			
	SEMI-ANN. 2.061% 12/15/2026		100.8974	310,320.40	312,781.88	2,461.48
	05724BAD1		310,000			
	BANK OF AMERICA CORP 1.734%/VAR 07/22/20		101.0188			
	SEMI-ANN. FLOATING 07/22/2027		99.2717	303,056.50	297,815.20	(5,241.30)
	06051GJS9		300,000			
	BANK OF AMERICA CORPORATION SOFR 0.981%/		100.00			
	SEMI-ANN. FLOATING 09/25/2025		98.7857	210,000.00	207,450.02	(2,549.98)
	06051GJG5		210,000			
	BANK OF AMERICA CORPORATION SOFR 1.53%/V		100.00			
	SEMI-ANN. FLOATING 12/06/2025		100.163	330,000.00	330,537.90	537.90
	06051GKE8		330,000			
	BANK OF AMERICA CORPORATION 1.197/VAR 10		100.00			
	SEMI-ANN. FLOATING 10/24/2026		98.0042	600,000.00	588,025.34	(11,974.66)
	06051GJK6		600,000			
	BANK OF AMERICA CORPORATION 2.015/VAR 02		100.00			
	SEMI-ANN. FLOATING 02/13/2026		101.2870	310,000.00	313,989.71	3,989.71
	06051GHY8		310,000			

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* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	BANK OF AMERICA CORPORATION 2.456%/VAR 1	104.6932			
	SEMI-ANN. FLOATING 10/22/2025	102.7063	617,690.00	605,967.41	(11,722.59)
	06051GHW2	590,000			
	BANK OF AMERICA CORPORATION 3.705/VAR 04	114.185			
	SEMI-ANN. FLOATING 04/24/2028	108.5232	616,599.00	586,025.24	(30,573.76)
	06051GGL7	540,000			
	BANK OF AMERICA CORPORATION 3ML+0 03/05/	100.187			
	SEMI-ANN. FLOATING 03/05/2024	102.9722	500,935.00	514,861.05	13,926.05
	06051GHF9	500,000			
	BANK OF MONTREAL QUE 1.85% 05/01/2025	99.924			
	SEMI-ANN. 1.850% 05/01/2025	101.4766	399,696.00	405,906.48	6,210.48
	06367WB85	400,000			
	BANK OF MONTREAL QUE 3.3% 02/05/2024	99.794			
	SEMI-ANN. 3.300% 02/05/2024	104.6303	379,217.20	397,595.02	18,377.82
	06367WHH9	380,000			
	BANK OF NOVA SCOTIA 1.3% 09/15/2026	99.995			
	SEMI-ANN. 1.300% 09/15/2026	98.0063	309,984.50	303,819.53	(6,164.97)
	0641598K5	310,000			
	BANK OF NOVA SCOTIA 3.4% 02/11/2024	99.909			
	SEMI-ANN. 3.400% 02/11/2024	104.9213	589,463.10	619,035.95	29,572.85
	064159MK9	590,000			
	BAXTER INTERNATIONAL INC 1.322% 11/29/20	100.00			
	SEMI-ANN. 1.322% 11/29/2024	99.8600	800,000.00	798,879.72	(1,120.28)
	071813CF4	800,000			
	BAYER US FIN LLC 3.375% 10/08/2024 144A	95.369			
	SEMI-ANN. 3.375% 10/08/2024	104.5190	476,845.00	522,594.91	45,749.91
	07274EAG8	500,000			
	BEXAR CNTY TX 5% 6/15/2026	123.027			
	SEMI-ANN. 5.000% 06/15/2026	115.7865	879,643.05	827,873.40	(51,769.65)
	088281P20	715,000			
	BLACK HILLS CORP 3.95% 01/15/2026	112.108			
	SEMI-ANN. 3.950% 01/15/2026	107.1753	369,956.40	353,678.54	(16,277.86)
	092113AL3	330,000			
	BMW US CAPITAL LLC 1.25% 08/12/2026 144A	99.8335			
	SEMI-ANN. 1.250% 08/12/2026	98.4029	259,567.10	255,847.50	(3,719.60)
	05565EBW4	260,000			

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	* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	BNP PARIBAS 1.675%/VAR 06/30/2027 144A		100.00			
	SEMI-ANN. FLOATING 06/30/2027		98.3137	200,000.00	196,627.30	(3,372.70)
	09659W2Q6		200,000			
	BNP PARIBAS 4.4% 08/14/2028 144A		99.329			
	SEMI-ANN. 4.400% 08/14/2028		112.0726	248,322.50	280,181.39	31,858.89
	09659W2F0		250,000			
	BNP PARIBAS 4.705%/VAR 01/10/2025 144A		101.872			
	SEMI-ANN. FLOATING 01/10/2025		106.4610	488,985.60	511,012.99	22,027.39
	09659W2G8		480,000			
	BOEING CO 2.7% 02/01/2027		99.73			
	SEMI-ANN. 2.700% 02/01/2027		101.6790	349,055.00	355,876.62	6,821.62
	097023CM5		350,000			
	BOEING CO 5.04% 05/01/2027		100.00			
	SEMI-ANN. 5.040% 05/01/2027		112.5995	295,000.00	332,168.42	37,168.42
	097023CU7		295,000			
	BOSTON PPTYS LTD PARTNERSHIP 3.125% 09/0		96.80			
	SEMI-ANN. 3.125% 09/01/2023		102.8642	561,440.00	596,612.15	35,172.15
	10112RAV6		580,000			
	BOSTON PPTYS LTD PARTNERSHIP 3.8% 02/01/		99.319			
	SEMI-ANN. 3.800% 02/01/2024		104.5827	427,071.70	449,705.46	22,633.76
	10112RAW4		430,000			
	BP CAP MARKETS AMERICA INC 3.194% 04/06/		100.00			
	SEMI-ANN. 3.194% 04/06/2025		105.4656	110,000.00	116,012.21	6,012.21
	10373QBJ8		110,000			
	BRAZOS EDUCATION LOAN AUTHORITY INC 1ML+		100.00			
	MONTHLY FLOATING 11/25/2071		99.9722	1,183,949.01	1,183,619.87	(329.14)
	10620WAF5		1,183,949.0100			
	BRAZOS EDUCATION LOAN AUTHORITY INC 1ML+		100.00			
	MONTHLY FLOATING 01/25/2072		100.0000	625,000.00	624,999.69	(0.31)
	10620WAJ7		625,000			
	BRAZOS HIGHER ED AUTH INC A2 3ML+80 02/2		100.00			
	QUARTERLY FLOATING 02/25/2030		100.3342	360,555.85	361,760.97	1,205.12
	10620NCG1		360,555.8500			
	BRISTOL-MYERS SQUIBB CO 2.9% 07/26/2024		99.5840			
	SEMI-ANN. 2.900% 07/26/2024		104.6430	292,776.84	307,650.51	14,873.67
	110122CM8		294,000			

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* *	***SECURITIES * ***		***UNIT COST MARKET PRICE SHARES/PAR***	***COST***	***MARKET VALUE***	***UNREALIZED GAIN(LOSS)***
	CANADIAN PAC RY CO 1.75% 12/02/2026		99.852			
	SEMI-ANN. 1.750% 12/02/2026		100.3609	249,630.00	250,902.18	1,272.18
	13645RBE3		250,000			
	CANADIAN PAC RY CO 4.5% 01/15/2022		102.7220			
	SEMI-ANN. 4.500% 01/15/2022		100.1180	539,290.75	525,619.41	(13,671.34)
	13645RAP9		525,000			
	CAPITAL ONE FINANCIAL CORP 3.3% 10/30/20		97.029			
	SEMI-ANN. 3.300% 10/30/2024		105.2461	242,572.50	263,115.32	20,542.82
	14040HBT1		250,000			
	CAPITAL ONE FINANCIAL CORP 3.9% 01/29/20		99.784			
	SEMI-ANN. 3.900% 01/29/2024		105.2328	498,920.00	526,163.99	27,243.99
	14040HCA1		500,000			
	CAPITAL ONE MULTI-ASST EXEC TR 2.84% 12/		99.9826			
	MONTHLY 2.840% 12/15/2024		100.2819	934,837.12	937,635.95	2,798.83
	14041NFT3		935,000			
	CARRIER GLOBAL CORP 2.242% 02/15/2025		100.00			
	SEMI-ANN. 2.242% 02/15/2025		102.3981	370,000.00	378,872.86	8,872.86
	14448CAN4		370,000			
	CHESAPEAKE FUNDING II LLC 2.94% 04/15/20		99.9851			
	MONTHLY 2.940% 04/15/2031		100.7383	198,245.66	199,739.08	1,493.42
	165183BY9		198,275.1200			
	CHEVRON CORP NEW 1.554% 05/11/2025		100.00			
	SEMI-ANN. 1.554% 05/11/2025		100.8477	300,000.00	302,543.18	2,543.18
	166764BW9		300,000			
	CIGNA CORP 3.75% 07/15/2023		99.491			
	SEMI-ANN. 3.750% 07/15/2023		103.9910	110,435.01	115,430.03	4,995.02
	125523AF7		111,000			
	CINTAS CORP NO 2 3.25% 06/01/2022		99.464			
	SEMI-ANN. 3.250% 06/01/2022		100.4200	497,320.00	502,100.02	4,780.02
	17252MAL4		500,000			
	CITIGROUP COML MTG TR 2014-GC21 3.855% 0		102.3125			
	MONTHLY 3.855% 05/10/2047		105.0768	849,193.75	872,137.61	22,943.86
	17322MAW6		830,000			
	CITIGROUP INC FRN 3ML+102.3 06/01/2024		99.877			
	QUARTERLY FLOATING 06/01/2024		101.044	499,385.00	505,220.00	5,835.00
	172967MA6		500,000			

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* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	CITIGROUP INC 0.981%/VAR 5/01/2025	100.00			
	SEMI-ANN. FLOATING 05/01/2025	99.2114	120,000.00	119,053.71	(946.29)
	172967MX6	120,000			
	CITIGROUP INC 3.142%/VAR 01/24/2023	98.037			
	SEMI-ANN. FLOATING 01/24/2023	100.1265	490,185.00	500,632.36	10,447.36
	172967LV1	500,000			
	CITIGROUP INC 3.2% 10/21/2026	106.428			
	SEMI-ANN. 3.200% 10/21/2026	105.9688	266,070.00	264,922.06	(1,147.94)
	172967KY6	250,000			
	CITIGROUP INC 3.4% 05/01/2026	110.999			
	SEMI-ANN. 3.400% 05/01/2026	107.2259	372,956.64	360,279.18	(12,677.46)
	172967KN0	336,000			
	CITIGROUP INC 4.044/VAR 06/01/2024	100.076			
	SEMI-ANN. FLOATING 06/01/2024	104.2194	500,380.00	521,097.23	20,717.23
	172967LZ2	500,000			
	CITIZENS BANK NA 3.7% 03/29/2023	101.288			
	SEMI-ANN. 3.700% 03/29/2023	103.1582	429,461.12	437,390.94	7,929.82
	17401QAQ4	424,000			
	CLACK&WASH OR 1.914% 6/15/2026	100.00			
	SEMI-ANN. 1.914% 06/15/2026	102.1993	500,000.00	510,996.40	10,996.40
	178882PL4	500,000			
	CNH EQUIPMENT TRUST 2019-A A3 3.01% 04/1	99.9780			
	MONTHLY 3.010% 04/15/2024	100.9486	237,230.55	239,533.65	2,303.10
	12596JAC7	237,282.6900			
	COMCAST CORP NEW 3.3% 04/01/2027	99.733			
	SEMI-ANN. 3.300% 04/01/2027	107.4824	274,265.75	295,576.52	21,310.77
	20030NDK4	275,000			
	COMCAST CORP NEW 3.7% 04/15/2024	96.562			
	SEMI-ANN. 3.700% 04/15/2024	106.2414	386,248.00	424,965.76	38,717.76
	20030NCR0	400,000			
	COMERICA INC 3.7% 07/31/2023	100.212			
	SEMI-ANN. 3.700% 07/31/2023	104.0633	200,424.00	208,126.61	7,702.61
	200340AS6	200,000			
	COMM 2012-CR2 A4 3.147% 08/45	99.7305			
	MONTHLY 3.147% 08/15/2045	100.2666	972,372.07	977,599.64	5,227.57
	12624KAD8	975,000			

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* * SECURITIES * *			UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	COMM 2012-CR3 A3 2.822% 10/15/45		98.5859			
	MONTHLY 2.822% 10/15/2045		100.5341	530,228.69	540,706.52	10,477.83
	12624PAE5		537,834			
	COMM 2013-CCRE13 MTG TR 4.194% 10/10/204		103.9688			
	MONTHLY 4.194% 11/10/2046		104.9164	1,341,196.88	1,353,421.30	12,224.42
	12630BBA5		1,290,000			
	COMM 2013-CCRE9 MTG TR VAR 07/10/2045		105.2539			
	MONTHLY FLOATING 07/10/2045		103.7646	1,263,046.87	1,245,175.56	(17,871.31)
	12625UBF9		1,200,000			
	COMM 2013-CR6 A4 MTG TR 3.101% 03/10/204		99.6406			
	MONTHLY 3.101% 03/10/2046		101.0043	1,494,609.38	1,515,063.90	20,454.52
	12624XAD0		1,500,000			
	COMM 2014-CCRE19 MTG TR 3.796% 08/10/204		102.4041			
	MONTHLY 3.796% 08/10/2047		105.5138	1,228,849.61	1,266,165.72	37,316.11
	12592GBD4		1,200,000			
	COMM 2014-CCRE21 MTG TR 3.528% 12/10/204		100.5391			
	MONTHLY 3.528% 12/10/2047		103.8939	734,853.48	759,374.30	24,520.82
	12592RBF5		730,913.4100			
	COMM 2014-CR14 A4 VAR 02/10/2047		104.0977			
	MONTHLY FLOATING 02/10/2047		105.0544	1,337,654.88	1,349,949.04	12,294.16
	12630DAY0		1,285,000			
	COMM 2014-CR17 A5 3.977% 05/10/2047		104.7383			
	MONTHLY 3.977% 05/10/2047		105.5340	1,120,699.61	1,129,213.48	8,513.87
	12631DBB8		1,070,000			
	CREDIT SUISSE GRP AG 2.997%/VAR 12/14/20		95.09			
	SEMI-ANN. FLOATING 12/14/2023		101.6123	475,450.00	508,061.29	32,611.29
	225401AD0		500,000			
	CREDIT SUISSE GRP AG 3.574% 01/09/2023 1		98.848			
	SEMI-ANN. 3.574% 01/09/2023		100.0282	247,120.00	250,070.59	2,950.59
	225401AB4		250,000			
	CRH AMER INC 3.875% 05/18/2025 144A		110.211			
	SEMI-ANN. 3.875% 05/18/2025		106.8291	330,633.00	320,487.31	(10,145.69)
	12626PAM5		300,000			
	CUBESMART LP 2.25% 12/15/2028		99.515			
	SEMI-ANN. 2.250% 12/15/2028		100.0132	89,563.50	90,011.91	448.41
	22966RAH9		90,000			

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	CVS HEALTH CORP 1.3% 08/21/2027	99.72			
	SEMI-ANN. 1.300% 08/21/2027	96.9422	877,536.00	853,091.35	(24,444.65)
	126650DM9	880,000			
	CVS HEALTH CORP 2.625% 08/15/2024	99.485			
	SEMI-ANN. 2.625% 08/15/2024	103.541	119,382.00	124,249.20	4,867.20
	126650DE7	120,000			
	DAIMLER FIN NORTH AMER LLC 2.55% 08/15/2	99.963			
	SEMI-ANN. 2.550% 08/15/2022	101.1337	359,866.80	364,081.35	4,214.55
	233851DU5	360,000			
	DAIMLER TRUCKS FINANCE NORTH AMERICA LLC	99.974			
	SEMI-ANN. 1.625% 12/13/2024	100.7511	299,922.00	302,253.41	2,331.41
	233853AD2	300,000			
	DAIMLER TRUCKS FINANCE NORTH AMERICA LLC	99.565			
	SEMI-ANN. 2.000% 12/14/2026	100.4267	348,477.50	351,493.32	3,015.82
	233853AF7	350,000			
	DEERE & CO 2.75% 04/15/2025	99.864			
	SEMI-ANN. 2.750% 04/15/2025	104.4627	269,632.80	282,049.23	12,416.43
	244199BH7	270,000			
	DEERE JOHN CAPITAL CORP 1.75% 03/09/2027	99.934			
	SEMI-ANN. 1.750% 03/09/2027	100.6804	154,897.70	156,054.61	1,156.91
	24422EVF3	155,000			
	DELL EQUIPMENT FINANCE TRUST 2019-1 2.83	99.9908			
	MONTHLY 2.830% 03/22/2024	100.1323	324.87	325.33	0.46
	24704BAE4	324.9000			
	DESERT CA CCD 2.208% 8/1/2030	100.00			
	SEMI-ANN. 2.208% 08/01/2030	101.5829	505,000.00	512,993.85	7,993.85
	250375LV2	505,000			
	DIAGEO CAPITAL PLC 1.375% 09/29/2025	99.632			
	SEMI-ANN. 1.375% 09/29/2025	99.4464	249,080.00	248,616.01	(463.99)
	25243YBC2	250,000			
	DIGITAL REALTY TRUST LP 4.45% 07/15/2028	115.181			
	SEMI-ANN. 4.450% 07/15/2028	112.7145	299,470.60	293,057.79	(6,412.81)
	25389JAT3	260,000			
	DISCOVER CARD EXECUTION NT TR 2019-A1 A1	99.9979			
	MONTHLY 3.040% 07/15/2024	100.0832	1,049,977.74	1,050,873.39	895.65
	254683CK9	1,050,000			

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* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	DISNEY (WALT) CO 3.35% 03/24/2025	99.945			
	SEMI-ANN. 3.350% 03/24/2025	106.3624	129,928.50	138,271.12	8,342.62
	254687FN1	130,000			
	DLLAD 2021-1A A2 0.64% 09/21/2026 144A	99.9938			
	MONTHLY 0.640% 09/21/2026	98.2178	704,955.94	692,435.56	(12,520.38)
	233262AC8	705,000			
	DLLMT 2021-1 LLC 1% 07/21/2025 144A	99.9956			
	MONTHLY 1.000% 07/21/2025	99.4308	429,981.17	427,552.35	(2,428.82)
	23345FAC6	430,000			
	DOMINION ENERGY SOUTH CAROLINA INC 2.3%	99.938			
	SEMI-ANN. 2.300% 12/01/2031	100.8231	59,962.80	60,493.85	531.05
	25731VAA2	60,000			
	DUKE ENERGY CAROLINAS LLC 2.5% 03/15/202	97.9651			
	SEMI-ANN. 2.500% 03/15/2023	101.6567	541,747.26	562,161.36	20,414.10
	26442CAQ7	553,000			
	DUPONT DE NEMOURS INC FRN 3ML+111 11/15/	99.955			
	QUARTERLY FLOATING 11/15/2023	101.3070	369,833.50	374,835.96	5,002.46
	26078JAH3	370,000			
	DUPONT DE NEMOURS INC 4.493% 11/15/2025	104.334			
	SEMI-ANN. 4.493% 11/15/2025	110.4953	521,670.00	552,476.30	30,806.30
	26078JAC4	500,000			
	DY9 LEASING LLC 2.372% 03/19/2027	105.4700			
	QUARTERLY 2.372% 03/19/2027	102.9335	1,307,340.18	1,275,899.13	(31,441.05)
	26818LAB6	1,239,537.4921			
	EAST OHIO GAS CO/THE 1.3% 06/15/2025 144	99.453			
	SEMI-ANN. 1.300% 06/15/2025	98.6265	298,359.00	295,879.52	(2,479.48)
	27409LAA1	300,000			
	EATON CORP 2.75% 11/02/2022	97.277			
	SEMI-ANN. 2.750% 11/02/2022	101.8646	486,385.00	509,323.11	22,938.11
	278062AC8	500,000			
	ECMC GROUP STUDENT LOAN TRUST 2018-1 1ML	98.5352			
	MONTHLY FLOATING 02/27/2068	99.9397	653,012.40	662,320.86	9,308.46
	26828HAA5	662,720.2200			
	ECMC GROUP STUDENT LOAN TRUST 2021-1 1ML	100.00			
	MONTHLY FLOATING 11/25/2070	99.9555	643,462.47	643,176.32	(286.15)
	26833RAB4	643,462.4700			

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* *	***SECURITIES * ***		***UNIT COST MARKET PRICE SHARES/PAR***	***COST***	***MARKET VALUE***	***UNREALIZED GAIN(LOSS)***
	ECOLAB INC 1.65% 02/01/2027		100.0107			
	SEMI-ANN. 1.650% 02/01/2027		100.4532	200,021.40	200,906.42	885.02
	278865BL3		200,000			
	EDUCATIONAL SERVICES OF AMERICA INC 1ML+		99.2852			
	MONTHLY FLOATING 04/25/2039		99.7296	353,622.87	355,205.82	1,582.95
	28137QAA7		356,168.9400			
	EL PASO283443 3% 9/15/2026		104.282			
	SEMI-ANN. 3.000% 09/15/2026		106.9484	495,339.50	508,004.95	12,665.45
	283443KK4		475,000			
	EMD FIN LLC 3.25% 03/19/2025 144A		107.621			
	SEMI-ANN. 3.250% 03/19/2025		105.2291	150,669.40	147,320.68	(3,348.72)
	26867LAL4		140,000			
	EMERSON ELECTRIC CO 2% 12/21/2028		99.779			
	SEMI-ANN. 2.000% 12/21/2028		99.9882	668,519.30	669,920.99	1,401.69
	291011BQ6		670,000			
	EMORY UNIVERSITY GA 1.566% 09/01/2025		100.00			
	SEMI-ANN. 1.566% 09/01/2025		99.4850	155,000.00	154,201.68	(798.32)
	29157TAC0		155,000			
	ENTERGY ARKANSAS LLC 3.05% 06/01/2023		98.40			
	SEMI-ANN. 3.050% 06/01/2023		102.4570	492,000.00	512,284.96	20,284.96
	29364DAR1		500,000			
	ENTERGY ARKANSAS LLC 3.7% 06/01/2024		101.239			
	SEMI-ANN. 3.700% 06/01/2024		105.0492	506,195.00	525,245.76	19,050.76
	29364DAS9		500,000			
	ENTERPRISE FLEET FING 2019-1 LLC 2.98% 1		99.9992			
	MONTHLY 2.980% 10/20/2024		100.2887	125,122.51	125,484.66	362.15
	29374AAB0		125,123.4900			
	ENTERPRISE PRODS OPER LLC 3.5% 02/01/202		100.538			
	SEMI-ANN. 3.500% 02/01/2022		100.2200	552,959.00	551,210.09	(1,748.91)
	29379VBS1		550,000			
	EQUIFAX INC 3.95% 06/15/2023		98.615			
	SEMI-ANN. 3.950% 06/15/2023		103.9251	493,075.00	519,625.68	26,550.68
	294429AN5		500,000			
	EQUINOR ASA 1.75% 01/22/2026		99.599			
	SEMI-ANN. 1.750% 01/22/2026		100.6056	39,839.60	40,242.24	402.64
	29446MAJ1		40,000			

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* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	EQUINOR ASA 2.875% 04/06/2025	103.4025			
	SEMI-ANN. 2.875% 04/06/2025	104.3615	558,373.50	563,551.89	5,178.39
	29446MAD4	540,000			
	EVERGY KANSAS CENTRAL 2.55% 07/01/2026	105.201			
	SEMI-ANN. 2.550% 07/01/2026	103.6556	568,085.40	559,740.28	(8,345.12)
	95709TAN0	540,000			
	FANNIEMAE 30YR 3% 04/01/2050#BP0957	105.5781			
	MONTHLY 3.000% 04/01/2050	103.5914	400,598.84	393,060.55	(7,538.29)
	3140K8B34	379,433.5700			
	FEDERAL HOME LN MTG MLT CTF GT 1.336% 09	102.9953			
	MONTHLY 1.336% 09/25/2027	99.1369	1,452,233.73	1,397,830.29	(54,403.44)
	3137F64P9	1,410,000			
	FEDERAL HOME LN MTG MLT CTF GT 2019-K735	102.994			
	MONTHLY 2.862% 05/25/2026	105.7890	1,235,928.00	1,269,468.24	33,540.24
	3137FMU67	1,200,000			
	FEDERAL REALTY INVESTMENT TR 1.25% 02/15	99.339			
	SEMI-ANN. 1.250% 02/15/2026	97.9444	129,140.70	127,327.67	(1,813.03)
	313747BB2	130,000			
	FEDERAL REALTY INVESTMENT TR 2.75% 06/01	95.406			
	SEMI-ANN. 2.750% 06/01/2023	101.9846	190,812.00	203,969.16	13,157.16
	313747AT4	200,000			
	FEDERATION DES CAISE DESJARDIN 0.45% 10/	99.878			
	SEMI-ANN. 0.450% 10/07/2023	99.1471	749,085.00	743,603.54	(5,481.46)
	31430WET7	750,000			
	FEDEX CORP 4.2% 10/17/2028	100.589			
	SEMI-ANN. 4.200% 10/17/2028	112.9893	211,236.90	237,277.49	26,040.59
	31428XBR6	210,000			
	FHLG ARM 3.072% 11/01/2044#2B3360	101.0858			
	MONTHLY FLOATING 11/01/2044	102.9546	25,278.59	25,745.92	467.33
	31326HWV2	25,007.0600			
	FHLG ARM 3.16% 07/01/2044#2B2966	100.6563			
	MONTHLY FLOATING 07/01/2044	102.9246	81,509.06	83,345.91	1,836.85
	31326HJK1	80,977.6300			
	FHLG 15YR 2.5% 01/01/2035#QN1350	101.4961			
	MONTHLY 2.500% 01/01/2035	103.8830	728,928.59	746,070.68	17,142.09
	3133G7QB2	718,183.8900			

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	* * SECURITIES * *	UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	FHLG 15YR 2.5% 01/01/2035#QN1355	101.4336			
	MONTHLY 2.500% 01/01/2035	103.6642	875,610.91	894,866.39	19,255.48
	3133G7QG1	863,235.6200			
	FHLG 15YR 2.5% 02/01/2035#QN1511	101.7812			
	MONTHLY 2.500% 02/01/2035	103.5080	520,828.70	529,664.53	8,835.83
	3133G7VC4	511,713.8100			
	FHLG 15YR 2.5% 02/01/2035#QN1577	101.9141			
	MONTHLY 2.500% 02/01/2035	103.6642	101,527.24	103,270.74	1,743.50
	3133G7XE8	99,620.4400			
	FHLG 15YR 2.5% 02/01/2035#QN1678	101.7969			
	MONTHLY 2.500% 02/01/2035	103.5080	317,648.06	322,987.35	5,339.29
	3133G72K8	312,041.0700			
	FHLG 15YR 2.5% 11/01/2034#QN0876	100.9375			
	MONTHLY 2.500% 11/01/2034	103.5080	855,962.91	877,760.75	21,797.84
	3133G66M2	848,012.8000			
	FHLG 15YR 2.5% 12/01/2034#QN1198	101.0235			
	MONTHLY 2.500% 12/01/2034	103.6642	112,747.94	115,695.16	2,947.22
	3133G7KK8	111,605.6900			
	FHLG 30YR 2% 12/01/2051#QD2058	100.4883			
	MONTHLY 2.000% 12/01/2051	100.2317	280,693.66	279,976.86	(716.80)
	3133AYJB7	279,329.7400			
	FHLG 30YR 2% 12/01/2051#QD2067	100.3789			
	MONTHLY 2.000% 12/01/2051	100.0754	490,863.58	489,379.50	(1,484.08)
	3133AYJL5	489,010.6900			
	FHLG 30YR 2% 12/01/2051#QD2940	99.9336			
	MONTHLY 2.000% 12/01/2051	99.9192	129,913.67	129,894.92	(18.75)
	3133B0HR7	130,000			
	FHLG 30YR 2% 12/01/2051#QD3152	100.0234			
	MONTHLY 2.000% 12/01/2051	99.9192	115,026.95	114,907.05	(119.90)
	3133B0QD8	115,000			
	FHLG 30YR 2% 12/01/2051#QD3165	100.1602			
	MONTHLY 2.000% 12/01/2051	100.0754	95,152.15	95,071.65	(80.50)
	3133B0QS5	95,000			
	FHLG 30YR 3.5% 01/01/2048#G67707	100.4844			
	MONTHLY 3.500% 01/01/2048	108.2938	1,370,491.77	1,477,002.71	106,510.94
	3132XCR49	1,363,885.4600			

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	**** * SECURITIES * ****	***UNIT COST MARKET PRICE SHARES/PAR***	***COST***	***MARKET VALUE***	***UNREALIZED GAIN(LOSS)***
	FHLG 30YR 3.5% 03/01/2048#G67710	100.1758			
	MONTHLY 3.500% 03/01/2048	106.7703	1,436,087.38	1,530,624.53	94,537.15
	3132XCR72	1,433,567.4300			
	FHLG 30YR 3.5% 08/01/2046#G67700	100.5156			
	MONTHLY 3.500% 08/01/2046	107.5125	1,116,745.70	1,194,482.18	77,736.48
	3132XCRV9	1,111,017.0300			
	FHLG 30YR 3.5% 10/45#G60238	100.6172			
	MONTHLY 3.500% 10/01/2045	107.6375	406,029.24	434,358.93	28,329.69
	31335AHP6	403,538.6600			
	FHLG 30YR 3% 04/01/2050#QA9008	105.5313			
	MONTHLY 3.000% 04/01/2050	103.5914	970,890.53	953,043.85	(17,846.68)
	3133A4AH9	920,002.8700			
	FHLG 30YR 3% 04/01/2050#QA9071	105.5313			
	MONTHLY 3.000% 04/01/2050	103.6070	359,403.62	352,850.34	(6,553.28)
	3133A4CG9	340,566.0500			
	FHLG 30YR 3% 12/01/2049#QA5182	101.8477			
	MONTHLY 3.000% 12/01/2049	104.4742	718,378.53	736,904.83	18,526.30
	31346YXK4	705,346.1600			
	FHLG 30YR 3% 12/01/2049#QA5215	101.8125			
	MONTHLY 3.000% 12/01/2049	103.5914	342,206.73	348,185.89	5,979.16
	31346YYL1	336,114.6700			
	FHLM ARM 0% 10/01/2046#2B5647	98.6055			
	MONTHLY FLOATING 10/01/2046	103.2945	504,644.96	528,642.37	23,997.41
	31326LHY4	511,781.9200			
	FHLM ARM 2.481% 03/01/2047#840637	99.7227			
	MONTHLY FLOATING 03/01/2047	103.5173	30,508.35	31,669.23	1,160.88
	31347AV68	30,593.1900			
	FHLM ARM 2.553% 11/46#2B5726	99.3867			
	MONTHLY FLOATING 11/01/2046	103.6432	484,652.91	505,409.18	20,756.27
	31326LLF0	487,643.5500			
	FHLM ARM 2.631% 07/01/2046#840357	98.6875			
	MONTHLY FLOATING 07/01/2046	103.3923	150,477.46	157,651.24	7,173.78
	31347AME1	152,478.7300			
	FHLM ARM 2.808% 01/01/2046#2B5033	100.1289			
	MONTHLY FLOATING 01/01/2046	102.7951	41,570.13	42,677.06	1,106.93
	31326KSW8	41,516.6200			

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* * SECURITIES * *			UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	FHLM ARM 2.808% 06/01/2045#849709		100.1250			
	MONTHLY FLOATING 06/01/2045		102.8584	1,193,400.94	1,225,980.27	32,579.33
	31300MYE7		1,191,911.0400			
	FHLM ARM 2.879% 02/01/2046#2B5130		100.7656			
	MONTHLY FLOATING 02/01/2046		103.3533	40,883.24	41,933.14	1,049.90
	31326KVX2		40,572.6100			
	FHLM ARM 2.904% 03/01/2046#840260		99.7656			
	MONTHLY FLOATING 03/01/2046		103.2258	67,244.49	69,576.71	2,332.22
	31347AJD7		67,402.4600			
	FHLM ARM 2.907% 03/01/2046#2B5188		100.4414			
	MONTHLY FLOATING 03/01/2046		103.0937	43,089.63	44,227.49	1,137.86
	31326KXR3		42,900.2800			
	FHLM ARM 2.949% 07/01/2045#2B4390		100.1250			
	MONTHLY FLOATING 07/01/2045		102.6270	325,583.66	333,719.64	8,135.98
	31326J2X7		325,177.2000			
	FHLM ARM 2.966% 01/01/2042#2B0180		100.1250			
	MONTHLY FLOATING 01/01/2042		103.0442	629,927.83	648,293.47	18,365.64
	3128LLFV3		629,141.4000			
	FHLM ARM 2.988% 12/01/2041#2B0103		100.1250			
	MONTHLY FLOATING 12/01/2041		102.8605	143,961.65	147,894.87	3,933.22
	3128LLDG8		143,781.9300			
	FHLM ARM 3.099% 12/01/2041#2B0088		100.125			
	MONTHLY FLOATING 12/01/2041		102.5529	1,446,236.71	1,481,305.62	35,068.91
	3128LLCZ7		1,444,431.1700			
	FHLM ARM 3.18% 11/01/2041#1B8988		100.125			
	MONTHLY FLOATING 11/01/2041		102.2331	893,537.98	912,351.22	18,813.24
	3128UHLU7		892,422.4500			
	FHLM ARM 3.239% 12/01/2041#848661		100.125			
	MONTHLY FLOATING 12/01/2041		102.6748	750,326.03	769,434.25	19,108.22
	31300LTS4		749,389.2900			
	FIFTH THIRD BANCORP 2.375% 01/28/2025		99.972			
	SEMI-ANN. 2.375% 01/28/2025		102.6607	89,974.80	92,394.60	2,419.80
	316773CY4		90,000			
	FIFTH THIRD BANCORP 3.65% 01/25/2024		99.8140			
	SEMI-ANN. 3.650% 01/25/2024		104.7606	538,995.59	565,707.42	26,711.83
	316773CX6		540,000			

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	FISERV INC 3.85% 06/01/2025		108.317			
	SEMI-ANN. 3.850% 06/01/2025		106.7938	292,455.90	288,343.20	(4,112.70)
	337738AP3		270,000			
	FLORIDA GAS TRANSMISSION CO LLC 4.35% 07		101.97			
	SEMI-ANN. 4.350% 07/15/2025		107.9313	509,850.00	539,656.38	29,806.38
	340711AW0		500,000			
	FMC CORP 3.2% 10/01/2026		107.957			
	SEMI-ANN. 3.200% 10/01/2026		105.7049	151,139.80	147,986.86	(3,152.94)
	302491AT2		140,000			
	FNMA ARM 2.392% 12/01/2046#BE4194		98.2656			
	MONTHLY FLOATING 12/01/2046		103.6502	130,564.16	137,718.55	7,154.39
	3140FPUU1		132,868.6200			
	FNMA ARM 2.424% 05/01/2043#AL3544		98.5625			
	MONTHLY FLOATING 05/01/2043		103.1079	16,678.88	17,448.07	769.19
	3138EK5E1		16,922.1400			
	FNMA ARM 2.488% 09/01/2042#AP7557		99.7188			
	MONTHLY FLOATING 09/01/2042		103.3307	26,142.50	27,089.41	946.91
	3138MBMF0		26,216.2300			
	FNMA ARM 2.704% 07/01/2046#BC1205		99.3750			
	MONTHLY FLOATING 07/01/2046		103.6711	100,245.50	104,579.23	4,333.73
	3140EVKT3		100,875.9800			
	FNMA ARM 2.712% 07/01/2043#AL7431		99.5156			
	MONTHLY FLOATING 07/01/2043		103.0622	107,276.53	111,099.65	3,823.12
	3138EQHH8		107,798.6800			
	FNMA ARM 2.769% 05/01/2046#BC2832		99.5625			
	MONTHLY FLOATING 05/01/2046		103.5190	99,404.50	103,354.68	3,950.18
	3140EXEE9		99,841.2900			
	FNMA ARM 2.844% 10/01/2045#BA2731		99.7813			
	MONTHLY FLOATING 10/01/2045		103.3820	27,599.95	28,595.92	995.97
	3140E7A91		27,660.4400			
	FNMA ARM 3.69% 01/01/2049#BJ7558		101.7344			
	MONTHLY FLOATING 01/01/2049		103.4242	659,729.28	670,687.75	10,958.47
	3140H9MG5		648,482.1600			
	FNMA ARM 7/45#AY5666		99.2969			
	MONTHLY FLOATING 07/01/2045		103.2858	97,454.81	101,369.77	3,914.96
	3138YKJL8		98,144.8900			

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	FNMA 15YR 2.5% 01/01/2035#FM2268		101.9063			
	MONTHLY 2.500% 01/01/2035		103.6642	753,462.87	766,460.66	12,997.79
	3140X5QW6		739,368.6400			
	FNMA 15YR 2.5% 02/01/2035#BK0700		102.0859			
	MONTHLY 2.500% 02/01/2035		103.6642	60,883.36	61,824.63	941.27
	3140HDX66		59,639.3200			
	FNMA 15YR 2.5% 02/01/2035#BK0706		101.9922			
	MONTHLY 2.500% 02/01/2035		103.6642	64,653.40	65,713.30	1,059.90
	3140HDYC2		63,390.5400			
	FNMA 15YR 2.5% 02/01/2035#BK0707		102.1953			
	MONTHLY 2.500% 02/01/2035		103.8830	745,034.94	757,338.41	12,303.47
	3140HDYD0		729,030.4500			
	FNMA 15YR 2.5% 02/01/2035#BO9283		101.9141			
	MONTHLY 2.500% 02/01/2035		103.6642	123,727.89	125,852.63	2,124.74
	3140K5J57		121,404.1300			
	FNMA 15YR 2.5% 11/01/2034#BO3664		100.8750			
	MONTHLY 2.500% 11/01/2034		103.5080	760,089.21	779,928.45	19,839.24
	3140JYCA2		753,496.1100			
	FNMA 15YR 2.5% 11/01/2034#CA4446		101.6406			
	MONTHLY 2.500% 11/01/2034		104.1642	731,386.89	749,546.16	18,159.27
	3140QB5G9		719,581.2800			
	FNMA 15YR 2.5% 12/01/2034#BK0498		100.9297			
	MONTHLY 2.500% 12/01/2034		103.6642	622,223.29	639,081.40	16,858.11
	3140HDRU0		616,491.8400			
	FNMA 15YR 2.5% 12/01/2034#BO6253		101.0313			
	MONTHLY 2.500% 12/01/2034		103.6642	165,684.65	170,002.52	4,317.87
	3140K15P7		163,993.4600			
	FNMA 15YR 3% 01/01/2035#CA5070		103.3516			
	MONTHLY 3.000% 01/01/2035		105.1242	776,053.49	789,364.12	13,310.63
	3140QCT48		750,887.0200			
	FNMA 15YR 3% 12/01/2034#BK0505		102.8828			
	MONTHLY 3.000% 12/01/2034		105.0617	323,649.28	330,503.71	6,854.43
	3140HDR30		314,580.5200			
	FNMA 15YR 4% 02/01/2034#CA3155		103.5234			
	MONTHLY 4.000% 02/01/2034		106.9525	508,814.55	525,668.42	16,853.87
	3140QAQH6		491,496.9500			

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* * SECURITIES * *			UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	FNMA 15YR 4% 02/01/2034#CA3156		103.3359			
	MONTHLY 4.000% 02/01/2034		106.5463	348,661.00	359,492.87	10,831.87
	3140QAQJ2		337,405.3700			
	FNMA 30YR 1.03% 12/01/2027#BL9422		101.0313			
	MONTHLY 1.030% 12/01/2027		96.9313	1,858,352.56	1,782,938.17	(75,414.39)
	3140J2PG5		1,839,383.9000			
	FNMA 30YR 1.39% 11/01/2028#BS3059		100.2656			
	MONTHLY 1.390% 11/01/2028		98.1146	1,458,864.84	1,427,568.01	(31,296.83)
	3140LDMH9		1,455,000			
	FNMA 30YR 2.08% 10/01/2026#BL3670		100.3125			
	MONTHLY 2.080% 10/01/2026		102.059	1,294,031.25	1,316,561.10	22,529.85
	3140HVCG7		1,290,000			
	FNMA 30YR 2.19% 11/01/2026#BL4480		100.2813			
	MONTHLY 2.190% 11/01/2026		102.5859	661,856.25	677,067.01	15,210.76
	3140HV6S8		660,000			
	FNMA 30YR 2% 12/01/2051#BT9487		99.9727			
	MONTHLY 2.000% 12/01/2051		99.9192	109,969.92	109,911.09	(58.83)
	3140LYRH8		110,000			
	FNMA 30YR 2% 12/01/2051#BT9492		100.125			
	MONTHLY 2.000% 12/01/2051		100.0754	110,137.50	110,082.96	(54.54)
	3140LYRN5		110,000			
	FNMA 30YR 2% 12/01/2051#CB2279		100.0449			
	MONTHLY 2.000% 12/01/2051		100.3879	1,630,732.56	1,636,323.10	5,590.54
	3140QMQ98		1,630,000			
	FNMA 30YR 3.069% 09/01/2025#BM6010		102.3468			
	MONTHLY FLOATING 09/01/2025		104.3658	453,140.05	462,079.29	8,939.24
	3140JAVC9		442,749.6000			
	FNMA 30YR 3.1% 02/01/2024#BL1496		100.125			
	MONTHLY 3.100% 02/01/2024		103.2965	3,776,574.31	3,896,199.97	119,625.66
	3140HSUW9		3,771,859.4900			
	FNMA 30YR 3.5% 02/01/2047#BE7488		100.1875			
	MONTHLY 3.500% 02/01/2047		106.8776	209,378.41	223,359.88	13,981.47
	3140FTKA8		208,986.5600			
	FNMA 30YR 3% 04/01/2047#FM1000		101.0312			
	MONTHLY 3.000% 04/01/2047		104.5914	139,545.34	144,462.67	4,917.33
	3140X4DE3		138,120.9800			

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* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	FNMA 30YR 3% 04/01/2050#BO7852	105.5312			
	MONTHLY 3.000% 04/01/2050	103.5914	1,095,874.97	1,075,730.87	(20,144.10)
	3140K3WN8	1,038,436.4600			
	FNMA 30YR 3% 04/01/2050#BP5167	105.5391			
	MONTHLY 3.000% 04/01/2050	104.4664	338,901.81	335,457.32	(3,444.49)
	3140KCW57	321,115.0400			
	FNMA 30YR 3% 04/01/2050#BP5168	105.6875			
	MONTHLY 3.000% 04/01/2050	104.7945	272,164.26	269,864.67	(2,299.59)
	3140KCW65	257,517.9200			
	FNMA 30YR 3% 04/01/2050#QA8876	105.6875			
	MONTHLY 3.000% 04/01/2050	104.7477	192,305.11	190,594.98	(1,710.13)
	3133A32H0	181,956.3300			
	FNMA 30YR 3% 04/01/2050#QA8877	105.5313			
	MONTHLY 3.000% 04/01/2050	104.4664	611,545.31	605,374.58	(6,170.73)
	3133A32J6	579,492.1400			
	FNMA 30YR 3% 11/01/2049#BO8255	101.5781			
	MONTHLY 3.000% 11/01/2049	103.5914	1,269,400.75	1,294,560.22	25,159.47
	3140K4E55	1,249,679.2400			
	FNMA 30YR 3% 12/01/2049#BO5023	101.7945			
	MONTHLY 3.000% 12/01/2049	104.4351	826,315.87	847,751.02	21,435.15
	3140K0SM1	811,748.7500			
	FNMA 30YR 3% 12/01/2049#BO9979	101.8125			
	MONTHLY 3.000% 12/01/2049	103.5914	250,652.47	255,031.95	4,379.48
	3140K6CR4	246,190.2700			
	FORD CR AUTO OWNER TR 2019-1 A 3.52% 07/	99.9771			
	MONTHLY 3.520% 07/15/2030	104.8410	1,399,679.82	1,467,774.56	68,094.74
	34532PAA8	1,400,000			
	FORD CR AUTO OWNER TR 2020-REV1 2.04% 08	99.9656			
	MONTHLY 2.040% 08/15/2031	101.8242	949,672.82	967,330.19	17,657.37
	34531NAA4	950,000			
	FORD CR AUTO OWNER TR 2020-REV2 1.06% 04	99.9676			
	MONTHLY 1.060% 04/15/2033	98.0101	1,609,478.84	1,577,962.13	(31,516.71)
	34532JAA2	1,610,000			
	FORD CREDIT AUTO OWNER TRUST 2021-1 A 1.	99.9996			
	MONTHLY 1.370% 10/17/2033	98.8051	779,996.80	770,679.47	(9,317.33)
	345340AA1	780,000			

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* * SECURITIES * *			UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	FORD MTR CR CO LLC 3.35% 11/01/2022		99.948			
	SEMI-ANN. 3.350% 11/01/2022		101.25	199,896.00	202,500.00	2,604.00
	345397ZU0		200,000			
	FORT BEND TX 5% 3/1/2026		117.304			
	SEMI-ANN. 5.000% 03/01/2026		114.6092	739,015.20	722,037.83	(16,977.37)
	346766WQ7		630,000			
	FORTUNE BRANDS HOME & SEC INC 4% 09/21/2		99.662			
	SEMI-ANN. 4.000% 09/21/2023		104.7638	239,188.80	251,433.17	12,244.37
	34964CAC0		240,000			
	FRISCO TX ISCD 1.551% 2/15/2028		100.00			
	SEMI-ANN. 1.551% 02/15/2028		99.1655	590,000.00	585,076.57	(4,923.43)
	35880CD84		590,000			
	GENERAL DYNAMICS CORP 3.5% 04/01/2027		99.152			
	SEMI-ANN. 3.500% 04/01/2027		108.8663	237,964.80	261,279.16	23,314.36
	369550BL1		240,000			
	GENERAL MILLS INC 3.7% 10/17/2023		99.43			
	SEMI-ANN. 3.700% 10/17/2023		104.6373	497,150.00	523,186.64	26,036.64
	370334CE2		500,000			
	GENERAL MTRS FINL CO INC 2.4% 10/15/2028		99.75			
	SEMI-ANN. 2.400% 10/15/2028		99.7213	478,800.00	478,662.37	(137.63)
	37045XDP8		480,000			
	GENERAL MTRS FINL CO INC 3.55% 07/08/202		99.937			
	SEMI-ANN. 3.550% 07/08/2022		101.4524	159,899.20	162,323.88	2,424.68
	37045XCU8		160,000			
	GEORGIA PAC LLC 1.75% 09/30/2025 144A		99.98			
	SEMI-ANN. 1.750% 09/30/2025		100.3916	189,962.00	190,744.07	782.07
	37331NAJ0		190,000			
	GM FINANCIAL REVOLVING RECEIVABLES TRUST		99.9801			
	MONTHLY 1.170% 06/12/2034		98.3223	489,902.54	481,779.47	(8,123.07)
	36263HAA6		490,000			
	GOLDMAN SACHS GROUP INC (THE) SOFR 1.948		99.8878			
	SEMI-ANN. FLOATING 10/21/2027		99.5600	649,271.00	647,140.23	(2,130.77)
	38141GYM0		650,000			
	GOLDMAN SACHS GROUP INC (THE) 2.908%/VAR		97.997			
	SEMI-ANN. FLOATING 06/05/2023		100.8327	489,985.00	504,163.34	14,178.34
	38141GWJ9		500,000			

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	GOLDMAN SACHS GROUP INC (THE) 3.272/VAR	94.424			
	SEMI-ANN. FLOATING 09/29/2025	104.9243	472,120.00	524,621.72	52,501.72
	38141GWQ3	500,000			
	GOLDMAN SACHS GROUP INC (THE) 3.5% 01/23	109.85			
	SEMI-ANN. 3.500% 01/23/2025	105.4240	329,550.00	316,271.99	(13,278.01)
	38148LAC0	300,000			
	GOLDMAN SACHS GROUP INC (THE) 3.625% 02/	99.878			
	SEMI-ANN. 3.625% 02/20/2024	104.9057	319,609.60	335,698.35	16,088.75
	38141GXE9	320,000			
	GOVERNMENT NAT MTG AS REMIC PT 1ML+72 01	100.00			
	MONTHLY FLOATING 01/20/2069	103.1211	908,497.71	936,852.83	28,355.12
	38381TC37	908,497.7100			
	GSMS 2013-GC16 A4 4.271% 11/46	104.7422			
	MONTHLY 4.271% 11/10/2046	104.6615	1,162,638.28	1,161,742.98	(895.30)
	36248GAD2	1,110,000			
	HALLIBURTON CO 2.92% 03/01/2030	99.974			
	SEMI-ANN. 2.920% 03/01/2030	102.8726	309,919.40	318,905.10	8,985.70
	406216BL4	310,000			
	HALLIBURTON CO 3.8% 11/15/2025	98.828			
	SEMI-ANN. 3.800% 11/15/2025	107.5019	30,636.68	33,325.60	2,688.92
	406216BG5	31,000			
	HEALTH CARE SVCS CORP 1.5% 06/01/2025 14	102.537			
	SEMI-ANN. 1.500% 06/01/2025	99.7739	266,596.20	259,412.02	(7,184.18)
	42218SAD0	260,000			
	HEALTHPEAK PROPERTIES 2.125% 12/01/2028	99.398			
	SEMI-ANN. 2.125% 12/01/2028	100.1381	99,398.00	100,138.09	740.09
	42250PAD5	100,000			
	HEWLETT PACKARD ENTERPRISE CO 4.45% 10/0	99.956			
	SEMI-ANN. 4.450% 10/02/2023	105.5200	349,846.00	369,319.83	19,473.83
	42824CBG3	350,000			
	HI ST 1.535% 8/1/2027	100.00			
	SEMI-ANN. 1.535% 08/01/2027	99.5396	1,115,000.00	1,109,865.98	(5,134.02)
	419792G34	1,115,000			
	HOME DEPOT INC 2.5% 04/15/2027	99.513			
	SEMI-ANN. 2.500% 04/15/2027	104.2854	144,293.85	151,213.87	6,920.02
	437076CA8	145,000			

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	HP INC 1.45% 06/17/2026 144A	99.808			
	SEMI-ANN. 1.450% 06/17/2026	98.0198	209,596.80	205,841.49	(3,755.31)
	40434LAD7	210,000			
	HSBC HOLDINGS PLC 2.633%/VAR 11/07/2025	100.00			
	SEMI-ANN. FLOATING 11/07/2025	102.5686	200,000.00	205,137.29	5,137.29
	404280CE7	200,000			
	HSBC HOLDINGS PLC 3.803%/VAR 03/11/2025	100.00			
	SEMI-ANN. FLOATING 03/11/2025	104.9372	715,000.00	750,301.07	35,301.07
	404280BZ1	715,000			
	HSBC HOLDINGS PLC 4.292%/VAR 09/12/2026	100.787			
	SEMI-ANN. FLOATING 09/12/2026	107.9607	503,935.00	539,803.38	35,868.38
	404280BX6	500,000			
	HUNTINGTON BANCSHARES INC/OH 2.625% 08/0	99.781			
	SEMI-ANN. 2.625% 08/06/2024	102.9743	429,058.30	442,789.61	13,731.31
	446150AQ7	430,000			
	IBM CORPORATION 3% 05/15/2024	99.618			
	SEMI-ANN. 3.000% 05/15/2024	104.4604	498,090.00	522,302.12	24,212.12
	459200JY8	500,000			
	INTEL CORP 3.75% 03/25/2027	99.805			
	SEMI-ANN. 3.750% 03/25/2027	109.9643	379,259.00	417,864.24	38,605.24
	458140BQ2	380,000			
	INTERSTATE PWR & LT CO 3.25% 12/01/2024	98.644			
	SEMI-ANN. 3.250% 12/01/2024	104.9758	463,626.80	493,386.08	29,759.28
	461070AL8	470,000			
	INTERSTATE PWR & LT CO 4.1% 09/26/2028	118.163			
	SEMI-ANN. 4.100% 09/26/2028	110.9150	319,040.10	299,470.38	(19,569.72)
	461070AP9	270,000			
	J P MORGAN CHASE COML MTG SECS TR 2013-C	103.5898			
	MONTHLY FLOATING 01/15/2046	103.3261	850,564.45	848,398.71	(2,165.74)
	46640JAR8	821,088.6400			
	JOHN DEERE OWNER TRUST 2021 0.36% 09/15/	99.9808			
	MONTHLY 0.360% 09/15/2025	99.191	1,099,788.58	1,091,101.00	(8,687.58)
	47788UAC6	1,100,000			
	JPMBB COML MTG SES TR 2014-C19 3.997% 04	102.9963			
	MONTHLY 3.996% 04/15/2047	104.6737	1,235,955.47	1,256,084.04	20,128.57
	46641WAV9	1,200,000			

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	JPMORGAN CHASE & CO FRN 3ML+89 07/23/202	100.205			
	QUARTERLY FLOATING 07/23/2024	100.9159	501,025.00	504,579.56	3,554.56
	46647PAW6	500,000			
	JPMORGAN CHASE & CO SOFR 1.47%/VAR 09/22	100.00			
	SEMI-ANN. FLOATING 09/22/2027	98.0227	260,000.00	254,858.90	(5,141.10)
	46647PCP9	260,000			
	JPMORGAN CHASE & CO VAR/3.782 02/01/2028	113.747			
	SEMI-ANN. FLOATING 02/01/2028	108.2533	318,491.60	303,109.20	(15,382.40)
	46625HRY8	280,000			
	JPMORGAN CHASE & CO 0.768%/VAR 08/09/202	100.00			
	SEMI-ANN. FLOATING 08/09/2025	98.4153	60,000.00	59,049.20	(950.80)
	46647PCM6	60,000			
	JPMORGAN CHASE & CO 0.824/VAR 06/01/2025	100.00			
	SEMI-ANN. FLOATING 06/01/2025	98.8325	230,000.00	227,314.64	(2,685.36)
	46647PCH7	230,000			
	JPMORGAN CHASE & CO 0.969%/VAR 06/23/202	100.2336			
	SEMI-ANN. FLOATING 06/23/2025	99.0266	390,911.10	386,203.69	(4,707.41)
	46647PCK0	390,000			
	JPMORGAN CHASE & CO 1.578%/VAR 04/22/202	100.00			
	SEMI-ANN. FLOATING 04/22/2027	98.8214	340,000.00	335,992.69	(4,007.31)
	46647PCB0	340,000			
	JPMORGAN CHASE & CO 3.207 VAR 04/01/2023	100.00			
	SEMI-ANN. FLOATING 04/01/2023	100.5958	62,000.00	62,369.39	369.39
	46647PBB1	62,000			
	JPMORGAN CHASE & CO 3.559%/VAR 04/23/24	99.856			
	SEMI-ANN. FLOATING 04/23/2024	103.3388	499,280.00	516,693.82	17,413.82
	46647PAP1	500,000			
	JPMORGAN CHASE & CO 3.96%/VAR 01/29/2027	99.9527			
	SEMI-ANN. FLOATING 01/29/2027	108.0486	409,806.00	442,999.46	33,193.46
	46647PBA3	410,000			
	KENTUCKY UTILITIES CO 3.3% 10/01/2025	98.117			
	SEMI-ANN. 3.300% 10/01/2025	105.4196	245,292.50	263,548.89	18,256.39
	491674BK2	250,000			
	KIMCO REALTY CORP 2.7% 03/01/2024	95.147			
	SEMI-ANN. 2.700% 03/01/2024	102.6807	267,363.07	288,532.87	21,169.80
	49446RAR0	281,000			

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	KIMCO REALTY CORP 3.4% 11/01/2022	98.521			
	SEMI-ANN. 3.400% 11/01/2022	101.8264	492,605.00	509,131.89	16,526.89
	49446RAN9	500,000			
	KINDER MORGAN INC DEL 1.75% 11/15/2026	99.828			
	SEMI-ANN. 1.750% 11/15/2026	99.6087	339,415.20	338,669.68	(745.52)
	49456BAU5	340,000			
	KING&SNOHO WA 4.493% 12/1/2025	102.197			
	SEMI-ANN. 4.493% 12/01/2025	100.1828	510,985.00	500,914.20	(10,070.80)
	494656F89	500,000			
	KLA CORP 4.65% 11/01/2024	112.122			
	SEMI-ANN. 4.650% 11/01/2024	108.4139	179,395.20	173,462.31	(5,932.89)
	482480AE0	160,000			
	LACLEDE GAS CO FRN SOFR+50 12/02/2024	100.00			
	QUARTERLY FLOATING 12/02/2024	100.0123	590,000.00	590,072.60	72.60
	84859DAB3	590,000			
	LAKE CTRL IN M 1.20% 1/15/2026	100.00			
	SEMI-ANN. 1.200% 01/15/2026	99.1953	460,000.00	456,298.47	(3,701.53)
	507686RH8	460,000			
	LAM RESEARCH CORP 3.75% 03/15/2026	99.889			
	SEMI-ANN. 3.750% 03/15/2026	108.855	299,667.00	326,565.00	26,898.00
	512807AS7	300,000			
	LEE FL WS 2.251% 10/1/2026	100.00			
	SEMI-ANN. 2.251% 10/01/2026	103.9432	495,000.00	514,518.84	19,518.84
	523530LN1	495,000			
	LELAND STANFORD JR UNIV CALIF 1.289% 06/	100.00			
	SEMI-ANN. 1.289% 06/01/2027	98.4742	205,000.00	201,872.09	(3,127.91)
	85440KAC8	205,000			
	LINN CNTY OR CM 2.327% 6/15/2025	100.00			
	SEMI-ANN. 2.327% 06/15/2025	103.7785	495,000.00	513,703.33	18,703.33
	535809GE1	495,000			
	LOUISVILLE GAS & ELECTRIC CO 3.3% 10/01/	98.5961			
	SEMI-ANN. 3.300% 10/01/2025	105.7048	788,768.40	845,638.23	56,869.83
	546676AW7	800,000			
	LOWES COS INC 1.7% 09/15/2028	99.777			
	SEMI-ANN. 1.700% 09/15/2028	97.9862	129,710.10	127,382.04	(2,328.06)
	548661ED5	130,000			

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	Identify of Issue, borrower,Lessor or Similar Party	Description of Investment, including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value		Cost***	Current Value	
* * SECURITIES * *			UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	LOWES COS INC 4% 04/15/2025		110.089			
	SEMI-ANN. 4.000% 04/15/2025		108.1416	286,231.40	281,168.28	(5,063.12)
	548661DT1		260,000			
	M&T BANK CORP FRN 3ML+68 07/26/2023		98.9401			
	QUARTERLY FLOATING 07/26/2023		100.7165	549,117.32	558,976.36	9,859.04
	55261FAK0		555,000			
	MA SCH BLDG 1.753% 8/15/2030		99.285			
	SEMI-ANN. 1.753% 08/15/2030		98.8901	347,497.50	346,115.35	(1,382.15)
	576000ZJ5		350,000			
	MARATHON PETROLEUM CORP 4.7% 05/01/2025		99.805			
	SEMI-ANN. 4.700% 05/01/2025		109.0922	329,356.50	360,004.27	30,647.77
	56585ABH4		330,000			
	MARSH & MCLENNAN COS INC 3.875% 03/15/20		99.945			
	SEMI-ANN. 3.875% 03/15/2024		105.7627	189,895.50	200,949.21	11,053.71
	571748BF8		190,000			
	MARSH & MCLENNAN COS INC 4.375% 03/15/20		99.965			
	SEMI-ANN. 4.375% 03/15/2029		113.9896	299,895.00	341,968.88	42,073.88
	571748BG6		300,000			
	MARTA GA 2.111% 7/1/2031		100.00			
	SEMI-ANN. 2.111% 07/01/2031		98.9086	375,000.00	370,907.40	(4,092.60)
	5917457W8		375,000			
	MASSMUTUAL GLOBAL FDG II 2.75% 06/22/202		96.105			
	SEMI-ANN. 2.750% 06/22/2024		103.6789	240,262.50	259,197.30	18,934.80
	57629WCE8		250,000			
	MASSMUTUAL GLOBAL FDG II 2.95% 01/11/202		96.111			
	SEMI-ANN. 2.950% 01/11/2025		104.7645	576,666.00	628,587.01	51,921.01
	57629WCG3		600,000			
	MASTERCARD INC 3.3% 03/26/2027		99.721			
	SEMI-ANN. 3.300% 03/26/2027		108.0631	264,260.65	286,367.20	22,106.55
	57636QAR5		265,000			
	MCCORMICK & CO INC 3.15% 08/15/2024		96.438			
	SEMI-ANN. 3.150% 08/15/2024		104.4053	482,190.00	522,026.74	39,836.74
	579780AM9		500,000			
	MCDONALDS CORP 1.45% 09/01/2025		99.816			
	SEMI-ANN. 1.450% 09/01/2025		100.8907	39,926.40	40,356.28	429.88
	58013MFL3		40,000			

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* *	***SECURITIES * ***		***UNIT COST MARKET PRICE SHARES/PAR***	***COST***	***MARKET VALUE***	***UNREALIZED GAIN(LOSS)***
	MCDONALDS CORP 3.35% 04/01/2023		99.562			
	SEMI-ANN. 3.350% 04/01/2023		102.9430	118,478.78	122,502.12	4,023.34
	58013MFE9		119,000			
	MCDONALDS CORP 3.5% 07/01/2027		99.515			
	SEMI-ANN. 3.500% 07/01/2027		108.4453	169,175.50	184,357.00	15,181.50
	58013MFP4		170,000			
	MEDTRONIC INC 3.5% 03/15/2025		103.645			
	SEMI-ANN. 3.500% 03/15/2025		106.4676	246,675.10	253,392.91	6,717.81
	585055BS4		238,000			
	MERCK & CO INC 1.7% 06/10/2027		99.958			
	SEMI-ANN. 1.700% 06/10/2027		100.5987	439,815.20	442,634.12	2,818.92
	58933YBC8		440,000			
	MERCK & CO INC 1.9% 12/10/2028		99.824			
	SEMI-ANN. 1.900% 12/10/2028		100.4708	144,744.80	145,682.60	937.80
	58933YBD6		145,000			
	METLIFE SECURITIZATION TRUST 2019-1A A1A		101.8157			
	MONTHLY 3.750% 04/25/2058		102.4148	216,523.71	217,797.80	1,274.09
	59166EAB1		212,662.4700			
	METROPOLITAN LIFE GLBL FDG I 3.6% 01/11/		99.918			
	SEMI-ANN. 3.600% 01/11/2024		105.1356	479,606.40	504,650.88	25,044.48
	59217GCT4		480,000			
	MICROCHIP TECHNOLOGY INC 4.333% 06/01/20		98.163			
	SEMI-ANN. 4.333% 06/01/2023		104.2346	245,407.50	260,586.41	15,178.91
	595017AP9		250,000			
	MID AMERICA APTS LP 1.1% 09/15/2026		99.553			
	SEMI-ANN. 1.100% 09/15/2026		96.6580	39,821.20	38,663.18	(1,158.02)
	59523UAT4		40,000			
	MID AMERICA APTS LP 1.7% 02/15/2031		99.465			
	SEMI-ANN. 1.700% 02/15/2031		95.4941	119,358.00	114,592.89	(4,765.11)
	59523UAS6		120,000			
	MID AMERICA APTS LP 3.95% 03/15/2029		99.72			
	SEMI-ANN. 3.950% 03/15/2029		111.6368	49,860.00	55,818.40	5,958.40
	59523UAQ0		50,000			
	MITSUBISHI UFJ FIN GRP INC FRN 3ML+79 07		100.028			
	QUARTERLY FLOATING 07/25/2022		100.394	500,140.00	501,970.00	1,830.00
	606822AQ7		500,000			

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* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	MITSUBISHI UFJ FIN GRP INC 1.538%/VAR 07	100.00			
	SEMI-ANN. FLOATING 07/20/2027	98.2195	520,000.00	510,741.19	(9,258.81)
	606822BY9	520,000			
	MITSUBISHI UFJ FIN GRP INC 1.64%/VAR 10/	100.00			
	SEMI-ANN. FLOATING 10/13/2027	98.6933	390,000.00	384,904.05	(5,095.95)
	606822BZ6	390,000			
	MITSUBISHI UFJ FIN GRP INC 2.193% 02/25/	100.00			
	SEMI-ANN. 2.193% 02/25/2025	101.9799	200,000.00	203,959.72	3,959.72
	606822BN3	200,000			
	MMAF EQUIP FIN LLC 2020-B 0.66% 11/15/20	99.9996			
	MONTHLY 0.660% 11/15/2027	97.7651	924,996.49	904,327.45	(20,669.04)
	60700KAD4	925,000			
	MONDELEZ INTL HLDGS NETH B V 1.25% 09/24	99.619			
	SEMI-ANN. 1.250% 09/24/2026	97.4449	358,628.40	350,801.63	(7,826.77)
	60920LAR5	360,000			
	MORGAN STANLEY BK AMER MERRILL LYNCH TR	101.1250			
	MONTHLY 3.600% 06/15/2047	103.1922	969,838.63	989,663.90	19,825.27
	61763MAE0	959,049.3200			
	MORGAN STANLEY BK OF AMER MERRILL LYNCH	101.875			
	MONTHLY 3.741% 08/15/2047	104.9075	1,222,500.00	1,258,890.48	36,390.48
	61763UAZ5	1,200,000			
	MORGAN STANLEY 0.791%/VAR 01/22/2025	99.514			
	SEMI-ANN. FLOATING 01/22/2025	98.9869	298,542.00	296,960.69	(1,581.31)
	61747YEB7	300,000			
	MORGAN STANLEY 2.188%/VAR 04/28/2026	105.09			
	SEMI-ANN. FLOATING 04/28/2026	101.9617	325,779.00	316,081.26	(9,697.74)
	6174468Q5	310,000			
	MORGAN STANLEY 3.625% 01/20/2027	95.729			
	SEMI-ANN. 3.625% 01/20/2027	108.4159	67,010.30	75,891.10	8,880.80
	61746BEF9	70,000			
	MORGAN STANLEY 3.7% 10/23/2024	98.155			
	SEMI-ANN. 3.700% 10/23/2024	106.4950	490,775.00	532,475.01	41,700.01
	61761JVL0	500,000			
	MORGAN STANLEY 3.875% 01/27/2026	99.146			
	SEMI-ANN. 3.875% 01/27/2026	108.1331	495,730.00	540,665.51	44,935.51
	61746BDZ6	500,000			

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	* * SECURITIES * *	UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	MORGAN STANLEY 3.875% 04/29/2024	99.684			
	SEMI-ANN. 3.875% 04/29/2024	106.0091	79,747.20	84,807.25	5,060.05
	61746BDQ6	80,000			
	MORGAN STANLEY 4% 07/23/2025	101.893			
	SEMI-ANN. 4.000% 07/23/2025	108.3740	509,465.00	541,870.03	32,405.03
	6174468C6	500,000			
	MPLX LP 1.75% 03/01/2026	99.785			
	SEMI-ANN. 1.750% 03/01/2026	98.9939	189,591.50	188,088.50	(1,503.00)
	55336VBR0	190,000			
	MS ST 1.887% 10/1/2029	100.00			
	SEMI-ANN. 1.887% 10/01/2029	101.0096	1,065,000.00	1,075,752.13	10,752.13
	605581QP5	1,065,000			
	MSBAM 2013-C7 A4 2.918% 02/46	98.6523			
	MONTHLY 2.918% 02/15/2046	101.2395	846,437.15	868,635.00	22,197.85
	61690KAE2	858,000			
	MSBAM 2013-C9 A4 3.102% 5/46	98.9844			
	MONTHLY 3.102% 05/15/2046	101.7186	989,843.75	1,017,186.00	27,342.25
	61762DAW1	1,000,000			
	NATURE CONSERVANCY/THE FRN 3ML+108 02/01	100.00			
	QUARTERLY FLOATING 02/01/2024	99.8618	475,000.00	474,343.63	(656.37)
	63902HAC3	475,000			
	NAVIENT STUDENT LOAN TRUST 2021-1 1ML+ 1	100.00			
	MONTHLY FLOATING 12/26/2069	100.0571	754,343.11	754,773.61	430.50
	63942NAB4	754,343.1100			
	NC ED ASSIST 3ML+90 7/25/2041	100.0296			
	QUARTERLY FLOATING 07/25/2041	99.8187	643,745.75	642,388.30	(1,357.45)
	658262FX3	643,555.1300			
	ND PUB FIN AUTH 1.81% 12/1/2027	100.00			
	SEMI-ANN. 1.810% 12/01/2027	100.9296	500,000.00	504,647.75	4,647.75
	65887PWE1	500,000			
	NELNET STUDENT LN TR 2021-C 1.32% 04/20/	99.9699			
	MONTHLY 1.320% 04/20/2062	98.4440	220,808.80	217,438.55	(3,370.25)
	64035GAB5	220,875.3300			
	NELNET STUDENT LOAN TRUST 2021-A 1.36% 0	99.9828			
	MONTHLY 1.360% 04/20/2062	98.2589	775,859.04	762,481.70	(13,377.34)
	64035DAB2	775,992.9000			

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* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	NELNET STUDENT LOAN TRUST 2021-D 1.63% 0	99.9924			
	MONTHLY 1.630% 04/20/2062	99.3496	1,126,990.52	1,119,744.67	(7,245.85)
	64034YAB7	1,127,075.7300			
	NESTLE HOLDINGS INC 1.15% 01/14/2027 144	99.887			
	SEMI-ANN. 1.150% 01/14/2027	97.5703	279,683.60	273,196.70	(6,486.90)
	641062AV6	280,000			
	NEW YORK LIFE GLOBAL FDG 2.35% 07/14/202	105.149			
	SEMI-ANN. 2.350% 07/14/2026	103.2491	262,872.50	258,122.71	(4,749.79)
	64952WCH4	250,000			
	NEW YORK ST D 1.538% 3/15/2027	100.00			
	SEMI-ANN. 1.538% 03/15/2027	99.1408	255,000.00	252,809.12	(2,190.88)
	64990FD68	255,000			
	NEXTERA ENERGY CAP HLDGS INC 1.875% 01/1	99.931			
	SEMI-ANN. 1.875% 01/15/2027	100.5930	614,575.65	618,646.87	4,071.22
	65339KBY5	615,000			
	NISSAN AUTO RECEIVABLES 2019-A OWNER TRU	99.9849			
	MONTHLY 2.900% 10/16/2023	100.7070	439,078.55	442,249.97	3,171.42
	65479KAD2	439,145.0800			
	NORFOLK SOUTHERN CORP 3.65% 08/01/2025	101.356			
	SEMI-ANN. 3.650% 08/01/2025	106.8895	506,780.00	534,447.52	27,667.52
	655844CA4	500,000			
	NORTH TEXAS HIGHER EDUCATION AUTHORITY I	100.00			
	MONTHLY FLOATING 09/25/2061	100.1947	640,000.00	641,246.02	1,246.02
	66286VAB3	640,000			
	NORTH TX STUD 0% 10/25/2061	100.00			
	MONTHLY FLOATING 10/25/2061	99.4340	720,000.00	715,924.51	(4,075.49)
	662826FP6	720,000			
	NORTHERN STATES PWR CO WIS 3.3% 06/15/20	100.191			
	SEMI-ANN. 3.300% 06/15/2024	103.9176	440,840.40	457,237.45	16,397.05
	665789AY9	440,000			
	NORTHROP GRUMMAN CORP 2.93% 01/15/2025	96.66			
	SEMI-ANN. 2.930% 01/15/2025	104.1694	241,650.00	260,423.48	18,773.48
	666807BM3	250,000			
	NORTHWESTERN MUTUAL GLOBAL FUNDING 0.8%	99.824			
	SEMI-ANN. 0.800% 01/14/2026	97.1157	279,507.20	271,923.97	(7,583.23)
	66815L2A6	280,000			

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* * SECURITIES * *			UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	NTT FINANCE CORP 1.162% 04/03/2026 144A		100.00			
	SEMI-ANN. 1.162% 04/03/2026		98.1045	420,000.00	412,039.07	(7,960.93)
	62954WAC9		420,000			
	NUTRIEN LTD 1.9% 05/13/2023		99.91			
	SEMI-ANN. 1.900% 05/13/2023		101.2774	199,820.00	202,554.86	2,734.86
	67077MAV0		200,000			
	NUTRIEN LTD 4% 12/15/2026		115.807			
	SEMI-ANN. 4.000% 12/15/2026		109.3337	220,033.30	207,734.05	(12,299.25)
	67077MAE8		190,000			
	OCCIDENTAL PETROLEUM CORP 3.5% 06/15/202		101.444			
	SEMI-ANN. 3.500% 06/15/2025		102.493	305,346.44	308,503.93	3,157.49
	674599CG8		301,000			
	ONCOR ELEC DELIVERY CO LLC 2.75% 06/01/2		103.48			
	SEMI-ANN. 2.750% 06/01/2024		103.6550	289,744.00	290,234.11	490.11
	68233JBM5		280,000			
	OR ST TAXM PENSN 5.892% 6/1/27		105.47			
	SEMI-ANN. 5.892% 06/01/2027		117.1308	458,794.50	509,518.94	50,724.44
	68607LXQ5		435,000			
	ORACLE CORP 2.5% 04/01/2025		99.963			
	SEMI-ANN. 2.500% 04/01/2025		102.3432	1,279,526.40	1,309,992.64	30,466.24
	68389XBT1		1,280,000			
	OTIS WORLDWIDE CORP 2.056% 04/05/2025		99.999			
	SEMI-ANN. 2.056% 04/05/2025		101.6624	319,996.80	325,319.83	5,323.03
	68902VAH0		320,000			
	PACIFICORP 3.35% 07/01/2025		97.976			
	SEMI-ANN. 3.350% 07/01/2025		105.4445	269,434.00	289,972.24	20,538.24
	695114CS5		275,000			
	PALOMAR CA CCD 1.473% 8/1/2028		100.00			
	SEMI-ANN. 1.473% 08/01/2028		98.2315	390,000.00	383,102.73	(6,897.27)
	697511FW8		390,000			
	PARKER-HANNIFIN CORP 3.3% 11/21/2024		98.235			
	SEMI-ANN. 3.300% 11/21/2024		104.9075	355,610.70	379,765.02	24,154.32
	70109HAL9		362,000			
	PARKER-HANNIFIN CORP 3.5% 09/15/2022		100.3690			
	SEMI-ANN. 3.500% 09/15/2022		102.0637	632,324.60	643,001.42	10,676.82
	70109HAK1		630,000			

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* *	***SECURITIES * ***		***UNIT COST MARKET PRICE SHARES/PAR***	***COST***	***MARKET VALUE***	***UNREALIZED GAIN(LOSS)***
	PEACEHEALTH OBLIGATED GROUP 1.375% 11/15		100.00			
	SEMI-ANN. 1.375% 11/15/2025		99.3396	95,000.00	94,372.64	(627.36)
	70462GAB4		95,000			
	PERKINELMER INC 1.9% 09/15/2028		99.928			
	SEMI-ANN. 1.900% 09/15/2028		97.6268	289,791.20	283,117.69	(6,673.51)
	714046AM1		290,000			
	PERNOD RICARD INTERNATIONAL FINANCE LLC		99.594			
	SEMI-ANN. 1.250% 04/01/2028		94.7216	189,228.60	179,971.04	(9,257.56)
	71427QAA6		190,000			
	PHEAA STUDENT LOAN TRUST 2016-1 1ML+115		101.0625			
	MONTHLY FLOATING 09/25/2065		101.7488	817,618.87	823,170.95	5,552.08
	69343FAA5		809,023			
	PHILLIPS 66 1.3% 02/15/2026		99.96			
	SEMI-ANN. 1.300% 02/15/2026		97.8258	119,952.00	117,390.99	(2,561.01)
	718546AZ7		120,000			
	PHILLIPS 66 3.7% 04/06/2023		99.885			
	SEMI-ANN. 3.700% 04/06/2023		103.3756	69,919.50	72,362.94	2,443.44
	718546AU8		70,000			
	PHILLIPS 66 3.85% 04/09/2025		105.9062			
	SEMI-ANN. 3.850% 04/09/2025		106.6264	275,356.00	277,228.66	1,872.66
	718546AV6		260,000			
	PIONEER NATURAL RESOURCES CO 1.125% 01/1		98.7565			
	SEMI-ANN. 1.125% 01/15/2026		97.1003	464,155.50	456,371.48	(7,784.02)
	723787AT4		470,000			
	PPG INDUSTRIES INC 1.2% 03/15/2026		99.432			
	SEMI-ANN. 1.200% 03/15/2026		97.8125	318,182.40	312,999.91	(5,182.49)
	693506BU0		320,000			
	PPG INDUSTRIES INC 2.4% 08/15/2024		99.827			
	SEMI-ANN. 2.400% 08/15/2024		103.0897	269,532.90	278,342.07	8,809.17
	693506BQ9		270,000			
	PRICOA GLOBAL FDG I 1.2% 09/01/2026 144A		99.773			
	SEMI-ANN. 1.200% 09/01/2026		97.9066	638,547.20	626,602.16	(11,945.04)
	74153WCP2		640,000			
	PRINCE GEOR MD .994% 9/15/2025		100.00			
	SEMI-ANN. 0.994% 09/15/2025		98.9849	925,000.00	915,609.96	(9,390.04)
	7417017H3		925,000			

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* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	RABOBANK NEDERLAND COOP CENTL 1.004%/VAR	100.00			
	SEMI-ANN. FLOATING 09/24/2026	97.3115	250,000.00	243,278.76	(6,721.24)
	74977RDJ0	250,000			
	RABOBANK NEDERLAND COOP CENTL 2.625% 07/	99.763			
	SEMI-ANN. 2.625% 07/22/2024	103.2413	768,175.10	794,958.20	26,783.10
	74977RDF8	770,000			
	RAYTHEON TECHNOLOGIES CORP 3.65% 08/16/2	99.814			
	SEMI-ANN. 3.650% 08/16/2023	103.9649	16,968.38	17,674.04	705.66
	913017DB2	17,000			
	RAYTHEON TECHNOLOGIES CORP 3.95% 08/16/2	111.47			
	SEMI-ANN. 3.950% 08/16/2025	108.4321	312,116.00	303,609.91	(8,506.09)
	913017DD8	280,000			
	RAYTHEON TECHNOLOGIES CORP 4.125% 11/16/	114.235			
	SEMI-ANN. 4.125% 11/16/2028	111.8543	148,505.50	145,410.55	(3,094.95)
	913017CY3	130,000			
	REGIONS FINL CORP NEW 1.8% 08/12/2028	99.745			
	SEMI-ANN. 1.800% 08/12/2028	97.8225	329,158.50	322,814.15	(6,344.35)
	7591EPAT7	330,000			
	RELX CAPITAL INC 3.5% 03/16/2023	98.87			
	SEMI-ANN. 3.500% 03/16/2023	102.9358	247,175.00	257,339.51	10,164.51
	74949LAB8	250,000			
	ROCHE HLDGS INC 1.93% 12/13/2028 144A	100.00			
	SEMI-ANN. 1.930% 12/13/2028	100.6067	745,000.00	749,519.80	4,519.80
	771196BW1	745,000			
	ROCHESTER GAS & ELECTRIC CORP 3.1% 06/01	110.774			
	SEMI-ANN. 3.100% 06/01/2027	105.5520	321,244.60	306,100.84	(15,143.76)
	771367CD9	290,000			
	ROCKWELL AUTOMATION INC 2.875% 03/01/202	98.233			
	SEMI-ANN. 2.875% 03/01/2025	104.4677	510,811.60	543,231.93	32,420.33
	773903AG4	520,000			
	ROGERS COMMUNICATIONS INC 3.625% 12/15/2	97.987			
	SEMI-ANN. 3.625% 12/15/2025	106.3175	489,935.00	531,587.39	41,652.39
	775109BE0	500,000			
	ROPER TECHNOLOGIES INC 1% 09/15/2025	99.868			
	SEMI-ANN. 1.000% 09/15/2025	97.7017	59,920.80	58,621.02	(1,299.78)
	776743AM8	60,000			

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* * SECURITIES * *			UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	ROPER TECHNOLOGIES INC 3.85% 12/15/2025		110.443			
	SEMI-ANN. 3.850% 12/15/2025		107.7723	132,531.60	129,326.70	(3,204.90)
	776743AB2		120,000			
	ROYAL BANK OF CANADA 2.55% 07/16/2024		101.418			
	SEMI-ANN. 2.550% 07/16/2024		103.3150	375,246.60	382,265.66	7,019.06
	78013XZU5		370,000			
	ROYAL BANK OF CANADA 3.7% 10/05/2023		100.655			
	SEMI-ANN. 3.700% 10/05/2023		104.8922	503,275.00	524,460.99	21,185.99
	78013XW20		500,000			
	RYDER SYSTEM INC 1.75% 09/01/2026		99.876			
	SEMI-ANN. 1.750% 09/01/2026		99.2763	249,690.00	248,190.86	(1,499.14)
	78355HKS7		250,000			
	RYDER SYSTEM INC 3.65% 03/18/2024		99.906			
	SEMI-ANN. 3.650% 03/18/2024		105.1710	359,661.60	378,615.59	18,953.99
	78355HKL2		360,000			
	SAN DIEGO CA CC 2.013% 8/1/2030		100.00			
	SEMI-ANN. 2.013% 08/01/2030		100.2109	955,000.00	957,013.62	2,013.62
	797272RS2		955,000			
	SAN RAMON CA SD 1.67% 8/1/2028		100.00			
	SEMI-ANN. 1.670% 08/01/2028		99.5112	395,000.00	393,069.32	(1,930.68)
	7994082H1		395,000			
	SANTA BARBA U 1.438% 8/1/2027		100.00			
	SEMI-ANN. 1.438% 08/01/2027		98.8662	500,000.00	494,331.10	(5,668.90)
	801315KS0		500,000			
	SANTANDER RETAIL AUTO LEASE TRUST 2021-B		99.9874			
	MONTHLY 0.510% 08/20/2024		99.0283	754,904.64	747,663.97	(7,240.67)
	80286DAC2		755,000			
	SCHLUMBERGER FINANCE CANADA LTD 2.65% 11		97.773			
	SEMI-ANN. 2.650% 11/20/2022		101.6121	537,751.50	558,866.71	21,115.21
	80685XAB7		550,000			
	SCHWAB CHARLES CORP 2% 03/20/2028		99.831			
	SEMI-ANN. 2.000% 03/20/2028		101.3238	209,645.10	212,779.94	3,134.84
	808513BP9		210,000			
	SEASONED CREDIT RISK TRANSFER TRUST SERI		103.0383			
	MONTHLY 2.000% 11/25/2059		100.7063	720,935.16	704,619.04	(16,316.12)
	35563PQN2		699,677.0100			

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* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	SEASONED CREDIT RISK TRANSFER TRUST SERI	106.3054			
	MONTHLY 2.500% 05/25/2060	101.9325	678,808.45	650,885.56	(27,922.89)
	35563PSE0	638,545.5420			
	SEASONED CREDIT RISK TRANSFER TRUST SERI	102.3372			
	MONTHLY 2.000% 11/25/2060	99.9456	730,031.20	712,970.44	(17,060.76)
	35563P3S6	713,358.8600			
	SEASONED CREDIT RISK TRANSFER TRUST SERI	101.8242			
	MONTHLY 4.000% 03/25/2058	106.0620	978,312.44	1,019,028.05	40,715.61
	35563PHK8	960,785.6100			
	SEASONED CREDIT RISK TRANSFER TRUST SERI	104.5267			
	MONTHLY 3.500% 10/25/2058	103.5575	871,008.11	862,931.71	(8,076.40)
	35563PLH0	833,287.3500			
	SHERWIN WILLIAMS CO 3.125% 06/01/2024	95.658			
	SEMI-ANN. 3.125% 06/01/2024	104.3804	478,290.00	521,901.99	43,611.99
	824348AV8	500,000			
	SIEMENS FINANCIERINGSMAATSCHAPPIJ NV 1.2	99.898			
	SEMI-ANN. 1.200% 03/11/2026	98.3682	249,745.00	245,920.45	(3,824.55)
	82620KAZ6	250,000			
	SIMON PROPERTY GROUP LP 1.375% 01/15/202	99.871			
	SEMI-ANN. 1.375% 01/15/2027	97.6626	439,432.40	429,715.49	(9,716.91)
	828807DP9	440,000			
	SLM STUDENT LN TR 3ML+67 12/17/2068 144A	100.00			
	QUARTERLY FLOATING 12/17/2068	99.9505	790,000.00	789,608.63	(391.37)
	78442GJH0	790,000			
	SMALL BUS ADMIN GTD DEV PARTN 1.034% 09/	100.00			
	SEMI-ANN. 1.034% 09/10/2030	97.3179	1,016,383.98	989,123.14	(27,260.84)
	831641FQ3	1,016,383.9800			
	SMALL BUS ADMIN GTD DEV PARTN 1.304% 09/	100.00			
	SEMI-ANN. 1.304% 09/10/2031	99.4998	985,000.00	980,072.73	(4,927.27)
	831641FS9	985,000			
	SMALL BUS ADMIN GTD DEV PARTN 1.667% 03/	100.00			
	SEMI-ANN. 1.667% 03/10/2031	100.5926	577,104.32	580,524.01	3,419.69
	831641FR1	577,104.3200			
	SMALL BUS ADMIN GTD DEV PARTN 2.078% 03/	100.00			
	SEMI-ANN. 2.078% 03/10/2030	101.2233	864,975.83	875,557.25	10,581.42
	831641FP5	864,975.8300			

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* *	***SECURITIES * ***	***UNIT COST MARKET PRICE SHARES/PAR***	***COST***	***MARKET VALUE***	***UNREALIZED GAIN(LOSS)***
	SMALL BUS ADMIN GTD DEV PARTN 2.98% 06/0	102.3398			
	SEMI-ANN. 2.980% 06/01/2035	104.4347	556,236.76	567,622.43	11,385.67
	83162CXB4	543,519.2500			
	SMALL BUS ADMIN GTD DEV PARTN 3.37% 01/0	100.00			
	SEMI-ANN. 3.370% 01/01/2039	107.3425	1,332,405.67	1,430,238.09	97,832.42
	83162CA60	1,332,405.6700			
	SMALL BUS ADMIN GTD DEV PARTN 3.62% 09/0	101.1900			
	SEMI-ANN. 3.620% 09/01/2033	105.8459	347,282.66	363,261.53	15,978.87
	83162CVU4	343,198.5900			
	STAFFRD TX MSD 5% 8/15/2025	114.932			
	SEMI-ANN. 5.000% 08/15/2025	113.1627	718,325.00	707,266.63	(11,058.37)
	852519LG0	625,000			
	STANLEY BLACK & DECKER INC 3.4% 03/01/20	99.9435			
	SEMI-ANN. 3.400% 03/01/2026	106.6152	219,875.60	234,553.48	14,677.88
	854502AK7	220,000			
	STATE STREET CORP 2.354%/VAR 11/01/2025	100.00			
	SEMI-ANN. FLOATING 11/01/2025	103.0642	110,000.00	113,370.61	3,370.61
	857477BE2	110,000			
	STATE STREET CORP 2.653/VAR 05/15/2023	99.408			
	SEMI-ANN. FLOATING 05/15/2023	100.7251	482,128.80	488,516.56	6,387.76
	857477AZ6	485,000			
	SUMITOMO MITSUI FINL GRP INC FRN 3ML+80	99.985			
	QUARTERLY FLOATING 10/16/2023	100.9183	499,925.00	504,591.55	4,666.55
	86562MBE9	500,000			
	SUMITOMO MITSUI FINL GRP INC 1.402% 09/1	100.00			
	SEMI-ANN. 1.402% 09/17/2026	97.6058	300,000.00	292,817.27	(7,182.73)
	86562MCH1	300,000			
	SUMITOMO MITSUI FINL GRP INC 1.474% 07/0	100.00			
	SEMI-ANN. 1.474% 07/08/2025	99.4763	200,000.00	198,952.63	(1,047.37)
	86562MCA6	200,000			
	SUNNYVALE CA SD 1.824% 9/1/2029	100.00			
	SEMI-ANN. 1.824% 09/01/2029	99.9977	530,000.00	529,987.65	(12.35)
	867578VK9	530,000			
	THERMO FISHER SCIENTIFIC INC 1.215% 10/1	100.00			
	SEMI-ANN. 1.215% 10/18/2024	99.8890	420,000.00	419,533.93	(466.07)
	883556CS9	420,000			

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* * SECURITIES * *			UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	TORONTO DOMINION BANK 0.75% 06/12/2023		99.926			
	SEMI-ANN. 0.750% 06/12/2023		100.0045	119,911.20	120,005.41	94.21
	89114QCG1		120,000			
	TORONTO DOMINION BANK 3.25% 03/11/2024		99.872			
	SEMI-ANN. 3.250% 03/11/2024		104.4990	619,206.40	647,893.58	28,687.18
	89114QCB2		620,000			
	TOTAL CAP INTL 2.434% 01/10/2025		100.00			
	SEMI-ANN. 2.434% 01/10/2025		103.0701	110,000.00	113,377.11	3,377.11
	89153VAS8		110,000			
	TOTAL CAP INTL 3.7% 01/15/2024		101.564			
	SEMI-ANN. 3.700% 01/15/2024		105.1153	507,820.00	525,576.39	17,756.39
	89153VAG4		500,000			
	TOWD POINT MORTGAGE TRUST 2019-HY2 1ML+1		100.2036			
	MONTHLY FLOATING 05/25/2058		100.3753	341,851.47	342,437.09	585.62
	89177HAA0		341,156.8600			
	TOWD POINT MORTGAGE TRUST 2021-1 VAR 11/		101.6521			
	MONTHLY FLOATING 11/25/2061		101.6114	826,013.75	825,682.77	(330.98)
	89179YAR4		812,588.8000			
	TOWD PT MTG TR 2019-HY1 1ML+100 10/25/20		99.8821			
	MONTHLY FLOATING 10/25/2048		100.4006	318,009.21	319,660.02	1,650.81
	89177EAA7		318,384.4800			
	TOWD PT MTG TR 2019-4 2.9% 10/25/2059 14		100.9695			
	MONTHLY 2.900% 10/25/2059		102.1652	549,567.36	556,075.68	6,508.32
	89178BAA2		544,290.5400			
	TOYOTA AUTO LN EXTD NT TR 2019-1 2.56% 1		106.4883			
	MONTHLY 2.560% 11/25/2031		103.2720	457,899.61	444,069.56	(13,830.05)
	89231XAA9		430,000			
	TOYOTA AUTO LN EXTD NT TR 2020-1 1.35% 0		99.9942			
	MONTHLY 1.350% 05/25/2033		99.7489	814,952.97	812,953.70	(1,999.27)
	89237JAA4		815,000			
	TOYOTA AUTO LN EXTD NT TR 2021-1 STEP 02		99.9922			
	MONTHLY FLOATING 02/27/2034		98.1161	1,269,901.07	1,246,074.85	(23,826.22)
	89237MAA7		1,270,000			
	TOYOTA AUTO RECEIVABLES 2019-A OWNER TRU		99.9818			
	MONTHLY 2.910% 07/17/2023		100.7808	426,056.33	429,461.27	3,404.94
	89239AAD5		426,133.9700			

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* *	***SECURITIES * ***		***UNIT COST MARKET PRICE SHARES/PAR***	***COST***	***MARKET VALUE***	***UNREALIZED GAIN(LOSS)***
	TOYOTA MOTOR CREDIT CORP 0.625% 09/13/20		99.953			
	SEMI-ANN. 0.625% 09/13/2024		98.6288	239,887.20	236,709.13	(3,178.07)
	89236TJN6		240,000			
	TRANS-ALLEGHENY INTST LINE CO 3.85% 06/0		100.5058			
	SEMI-ANN. 3.850% 06/01/2025		105.8998	356,795.50	375,944.30	19,148.80
	893045AE4		355,000			
	TSMC GLOBAL LTD 1.25% 04/23/2026 144A		99.759			
	SEMI-ANN. 1.250% 04/23/2026		97.9569	289,301.10	284,074.97	(5,226.13)
	872882AH8		290,000			
	TSMC GLOBAL LTD 1% 09/28/2027 144A		99.603			
	SEMI-ANN. 1.000% 09/28/2027		94.47	298,809.00	283,410.00	(15,399.00)
	872882AF2		300,000			
	TYCO ELECTRONICS GROUP SA 3.45% 08/01/20		97.997			
	SEMI-ANN. 3.450% 08/01/2024		104.8388	489,985.00	524,193.92	34,208.92
	902133AR8		500,000			
	UBS GROUP AG 1.494%/VAR 08/10/2027 144A		100.00			
	SEMI-ANN. FLOATING 08/10/2027		97.5529	370,000.00	360,945.83	(9,054.17)
	902613AH1		370,000			
	UBSBB 2012-C3 A4 3.091% 8/49		99.4727			
	MONTHLY 3.091% 08/10/2049		100.7296	277,088.24	280,589.63	3,501.39
	90349DAD4		278,557.1900			
	UDR INC 3.5% 01/15/2028		107.858			
	SEMI-ANN. 3.500% 01/15/2028		107.1892	312,788.20	310,848.58	(1,939.62)
	90265EAN0		290,000			
	UMBS 30YR 2.5% 01/01/2052 #TBA		102.0117			
	MONTHLY 2.500% 01/01/2052		102.1094	3,644,878.71	3,648,369.58	3,490.87
	HIJ468000		3,573,000			
	UMBS 30YR 2.5% 02/01/2052 #TBA		101.7422			
	MONTHLY 2.500% 02/01/2052		101.8555	3,635,248.36	3,639,297.73	4,049.37
	IAF974000		3,573,000			
	UMBS 30YR 2% 01/01/2052 #TBA		99.2265			
	MONTHLY 2.000% 01/01/2052		99.7594	540,784.23	543,688.62	2,904.39
	HIJ467000		545,000			
	UMBS 30YR 2% 02/01/2052 #TBA		99.3438			
	MONTHLY 2.000% 02/01/2052		99.5406	541,423.44	542,496.43	1,072.99
	IAF973000		545,000			

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	* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	UNION PACIFIC CORP 3.5% 06/08/2023		100.3888			
	SEMI-ANN. 3.500% 06/08/2023		103.4290	759,943.03	782,957.89	23,014.86
	907818EU8		757,000			
	UNITED PARCEL SERVICE INC 3.9% 04/01/202		99.895			
	SEMI-ANN. 3.900% 04/01/2025		107.9130	239,748.00	258,991.23	19,243.23
	911312BX3		240,000			
	US BANK NA CINCINNATI OHIO 2.8% 01/27/20		96.27			
	SEMI-ANN. 2.800% 01/27/2025		104.4508	539,112.00	584,924.61	45,812.61
	90331HMS9		560,000			
	UST NOTES 0.125% 06/30/2023		99.7523			
	SEMI-ANN. 0.125% 06/30/2023		99.3242	3,790,586.95	3,774,320.32	(16,266.63)
	91282CCK5		3,800,000			
	UST NOTES 0.125% 07/31/2023		99.9105			
	SEMI-ANN. 0.125% 07/31/2023		99.2148	2,997,314.74	2,976,445.32	(20,869.42)
	91282CCN9		3,000,000			
	UST NOTES 0.125% 08/15/2023		99.8688			
	SEMI-ANN. 0.125% 08/15/2023		99.1836	5,742,457.41	5,703,056.66	(39,400.75)
	91282CAF8		5,750,000			
	UST NOTES 0.25% 11/15/2023		100.0647			
	SEMI-ANN. 0.250% 11/15/2023		99.1758	6,579,254.44	6,520,807.60	(58,446.84)
	91282CAW1		6,575,000			
	UST NOTES 0.375% 04/15/2024		100.2621			
	SEMI-ANN. 0.375% 04/15/2024		98.9961	1,503,930.81	1,484,941.41	(18,989.40)
	91282CBV2		1,500,000			
	UST NOTES 0.375% 07/15/2024		100.1956			
	SEMI-ANN. 0.375% 07/15/2024		98.7656	3,005,869.43	2,962,968.75	(42,900.68)
	91282CCL3		3,000,000			
	UST NOTES 0.625% 03/31/2027		100.5302			
	SEMI-ANN. 0.625% 03/31/2027		96.6602	5,931,283.17	5,702,949.20	(228,333.97)
	912828ZE3		5,900,000			
	UST NOTES 0.625% 12/31/2027		99.4731			
	SEMI-ANN. 0.625% 12/31/2027		95.6836	2,208,301.85	2,124,175.79	(84,126.06)
	91282CBB6		2,220,000			
	UST NOTES 0.75% 11/15/2024		99.7205			
	SEMI-ANN. 0.750% 11/15/2024		99.4375	3,365,567.94	3,356,015.63	(9,552.31)
	91282CDH1		3,375,000			

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	Identify of Issue, borrower,Lessor or Similar Party	Description of Investment, including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Cost***	Current Value	
* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	UST NOTES 1.125% 02/15/2031	95.8071			
	SEMI-ANN. 1.125% 02/15/2031	97.0508	3,215,284.83	3,257,024.21	41,739.38
	91282CBL4	3,356,000			
	UST NOTES 1.25% 08/15/2031	99.5356			
	SEMI-ANN. 1.250% 08/15/2031	97.7656	895,820.00	879,890.63	(15,929.37)
	91282CCS8	900,000			
	UST NOTES 1.5% 01/31/2027	100.4883			
	SEMI-ANN. 1.500% 01/31/2027	101.1055	427,075.33	429,698.24	2,622.91
	912828Z78	425,000			
	UST NOTES 1.5% 02/15/2030	107.0930			
	SEMI-ANN. 1.500% 02/15/2030	100.5156	1,900,900.87	1,784,152.34	(116,748.53)
	912828Z94	1,775,000			
	UST NOTES 1.625% 05/15/2031	103.1853			
	SEMI-ANN. 1.625% 05/15/2031	101.2656	2,476,446.28	2,430,375.00	(46,071.28)
	91282CCB5	2,400,000			
	UST NOTES 1.625% 08/15/2029	99.7990			
	SEMI-ANN. 1.625% 08/15/2029	101.4492	1,147,688.63	1,166,666.02	18,977.39
	912828YB0	1,150,000			
	UST NOTES 1.75% 11/15/2029	99.8051			
	SEMI-ANN. 1.750% 11/15/2029	102.50	873,294.52	896,875.00	23,580.48
	912828YS3	875,000			
	UST NOTES 2.375% 05/15/2029	103.2962			
	SEMI-ANN. 2.375% 05/15/2029	106.5820	1,446,146.18	1,492,148.43	46,002.25
	9128286T2	1,400,000			
	UTAH ST BUILD AMER	102.619			
	SEMI-ANN. 3.539% 07/01/2025	104.5240	769,642.50	783,930.15	14,287.65
	917542QV7	750,000			
	UTAH ST BRD REGENTS REV 2012-1 A 1ML+75	100.0000			
	MONTHLY FLOATING 12/26/2031	100.2550	692,911.47	694,678.67	1,767.20
	91754RVZ7	692,911.4657			
	VERIZON COMMUNICATIONS INC 2.355% 03/15/	100.382			
	SEMI-ANN. 2.355% 03/15/2032	98.5318	570,169.76	559,660.68	(10,509.08)
	92343VGM0	568,000			
	VERIZON MASTER TRUST 2021-1 A 0.5% 05/20	99.9927			
	MONTHLY 0.500% 05/20/2027	98.7095	1,284,905.68	1,268,416.56	(16,489.12)
	92348KAA1	1,285,000			

QUALCOMM Incorporated
Employee Savings and Retirement Plan
Schedule H, Line 4i - Schedule of Assets (Held at End of Year) **
December 31, 2021

(a)	(b)	(c)		(d)	(e)	
	Identify of Issue, borrower,Lessor or Similar Party	Description of Investment, including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value		Cost***	Current Value	
	* * SECURITIES * *		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
	VERIZON MASTER TRUST 2021-1 A 0.99% 04/2		99.9856			
	MONTHLY 0.990% 04/20/2028		99.5165	1,329,808.21	1,323,569.85	(6,238.36)
	92348KAD5		1,330,000			
	VERIZON OWNER TR 2020-B 0.47% 02/20/2025		99.979			
	MONTHLY 0.470% 02/20/2025		99.7345	1,254,736.45	1,251,667.72	(3,068.73)
	92290BAA9		1,255,000			
	VERIZON OWNER TR 2020-C 0.41% 04/21/2025		99.9838			
	MONTHLY 0.410% 04/21/2025		99.5426	1,069,826.34	1,065,106.03	(4,720.31)
	92348CAA9		1,070,000			
	VERIZON OWNER TRUST 2019-A 2.93% 09/20/2		99.98			
	MONTHLY 2.930% 09/20/2023		100.5477	214,704.43	215,923.57	1,219.14
	92347YAA2		214,747.3800			
	VIRGINIA HOUSIN 3.125% 11/25/2039		99.9702			
	MONTHLY 3.125% 11/25/2039		101.8438	436,732.20	444,917.22	8,185.02
	92812VMA1		436,862.2200			
	VOLKSWAGEN GROUP AMER FIN LLC 3.35% 05/1		106.275			
	SEMI-ANN. 3.350% 05/13/2025		105.2098	212,550.00	210,419.69	(2,130.31)
	928668BE1		200,000			
	VOLVO FINL EQUIP LLC SER 2019-1 3% 03/15		99.9996			
	MONTHLY 3.000% 03/15/2023		100.2221	104,866.32	105,099.72	233.40
	92888DAC9		104,866.7600			
	VOLVO FINL EQUIP LLC SER 2020-1 0.51% 10		99.9990			
	MONTHLY 0.510% 10/15/2024		99.6942	1,659,983.23	1,654,923.55	(5,059.68)
	92888EAC7		1,660,000			
	VT STUD LOAN .811% 7/28/2034		98.8516			
	MONTHLY FLOATING 07/28/2034		99.5893	714,239.97	719,570.48	5,330.51
	924279AC6		722,537.8695			
	WEC ENERGY GROUP INC 0.8% 03/15/2024		99.959			
	SEMI-ANN. 0.800% 03/15/2024		98.9746	399,836.00	395,898.32	(3,937.68)
	92939UAF3		400,000			
	WELLTOWER INC 2.05% 01/15/2029		99.715			
	SEMI-ANN. 2.050% 01/15/2029		98.4176	229,344.50	226,360.51	(2,983.99)
	95040QAN4		230,000			
	WELLTOWER INC 3.625% 03/15/2024		99.657			
	SEMI-ANN. 3.625% 03/15/2024		105.1701	239,176.80	252,408.13	13,231.33
	95040QAG9		240,000			

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	Identify of Issue, borrower,Lessor or Similar Party	Description of Investment, including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value		Cost***	Current Value	
	** SECURITIES **		UNIT COST MARKET PRICE SHARES/PAR	COST	MARKET VALUE	UNREALIZED GAIN(LOSS)
*	WFRBS COML MTG TR 2014-C19 4.101% 03/15/		103.5422			
	MONTHLY 4.101% 03/15/2047		105.1453	1,553,132.81	1,577,179.35	24,046.54
	92938VAQ8		1,500,000			
*	WFRBS 2013-C11 A5 3.071% 03/45		99.1992			
	MONTHLY 3.071% 03/15/2045		101.3726	834,311.18	852,590.66	18,279.48
	92937EAZ7		841,046.1200			
*	WFRBS 2013-C17 A4 4.023% 12/15/2046		103.0859			
	MONTHLY 4.023% 12/15/2046		104.1323	551,509.77	557,107.59	5,597.82
	92938GAD0		535,000			
	WI ST 1.402% 5/1/2029		100.00			
	SEMI-ANN. 1.402% 05/01/2029		97.8105	240,000.00	234,745.25	(5,254.75)
	97705MVN2		240,000			
	WILLIAMS COS INC 3.9% 01/15/2025		108.577			
	SEMI-ANN. 3.900% 01/15/2025		106.2662	304,015.60	297,545.27	(6,470.33)
	96950FAQ7		280,000			
	WORLD OMNI AUTO RECEIVABLES TRUST 2019-A		99.9834			
	MONTHLY 3.040% 05/15/2024		100.9398	405,228.22	409,104.63	3,876.41
	98162YAD5		405,295.6200			
	WRKCO INC 3.75% 03/15/2025		109.131			
	SEMI-ANN. 3.750% 03/15/2025		106.5397	294,653.70	287,657.21	(6,996.49)
	96145DAF2		270,000			
	YALE UNIVERSITY 0.873% 04/15/2025		100.00			
	SEMI-ANN. 0.873% 04/15/2025		98.9800	250,000.00	247,450.07	(2,549.93)
	98459LAA1		250,000			
	3M CO 2.65% 04/15/2025		99.919			
	SEMI-ANN. 2.650% 04/15/2025		104.3745	34,971.65	36,531.08	1,559.43
	88579YBM2		35,000			
	3M CO 2% 02/14/2025		99.399			
	SEMI-ANN. 2.000% 02/14/2025		102.2981	268,377.30	276,204.74	7,827.44
	88579YBH3		270,000			
	7 ELEVEN INC 0.95% 02/10/2026 144A		99.762			
	SEMI-ANN. 0.950% 02/10/2026		96.8328	139,666.80	135,565.94	(4,100.86)
	817826AC4		140,000			

QUALCOMM Incorporated
Employee Savings and Retirement Plan
Schedule H, Line 4i - Schedule of Assets (Held at End of Year) **
December 31, 2021

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	Identify of Issue, borrower,Lessor or Similar Party	Description of Investment, including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value		Cost***	Current Value
	**** * SECURITIES * ****	***UNIT COST MARKET PRICE SHARES/PAR***		***COST***	***MARKET VALUE***	***UNREALIZED GAIN(LOSS)***
	TOTAL FIXED INCOME			281,642,259.21	284,319,516.40	2,677,257.19
	CASH EQUIVALENTS					
	FID BANK TRST ST INV FUND	1.00				
	388996472	1.00		12,570,336.04	12,570,336.04	0.00
		12,570,336.0400				
	TRUIST BANK 2.15% 12/06/2024	99.83				
	SEMI-ANN. 2.150% 12/06/2024	103.0243		269,541.00	278,165.68	8,624.68
	07330NAT2	270,000				
	US BANK NA CINCINNATI OHIO 2.05% 01/21/2	99.787				
	ANNUAL 2.050% 01/21/2025	102.2731		498,935.00	511,365.71	12,430.71
	90331HPL1	500,000				
	TOTAL CASH EQUIVALENTS			13,338,812.04	13,359,867.43	21,055.39

* Represents a party-in-interest.
** Information certified as complete and accurate by Fidelity Management Trust Company, the Trustee, except for Wells Fargo/BlackRock Short Term Investment Fund (Class S).
*** All investments are Participant Directed; therefore, disclosure of cost is not required.

QUALCOMM Incorporated
Employee Savings and Retirement Plan
Schedule H, Line 4a – Schedule of Delinquent Participant Contributions
Year Ended December 31, 2021

	Participant Contributions Transferred Late to the Plan	Total that Constitutes Nonexempt Prohibited Transactions			
	Check Here if Late Participant Loan Repayments are Included	Contributions Not Corrected	Contributions Corrected Outside VFCP	Contributions Pending In VFCP	Total Fully Corrected Under VFCP and PTE 2002-51
2021	☐	$ —	$ 7,896	$ —	$ —