

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
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Part I	Annual Report Identification Information
For calendar plan year 2021 or fiscal plan year beginning <u>01/01/2021</u> and ending <u>12/31/2021</u>	
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 <u>FIRST TRUST PORTFOLIOS L.P. 401(K) PLAN</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">1b Three-digit plan number (PN) ▶</td> <td style="width: 20%; text-align: center;"><u>001</u></td> </tr> <tr> <td colspan="2">1c Effective date of plan <u>03/16/1992</u></td> </tr> </table>	1b Three-digit plan number (PN) ▶	<u>001</u>	1c Effective date of plan <u>03/16/1992</u>	
1b Three-digit plan number (PN) ▶	<u>001</u>				
1c Effective date of plan <u>03/16/1992</u>					
2a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) <u>FIRST TRUST PORTFOLIOS L.P.</u> <u>120 E LIBERTY DRIVE, STE 400</u> <u>WHEATON, IL 60187</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>2b Employer Identification Number (EIN) <u>36-3768815</u></td> </tr> <tr> <td>2c Plan Sponsor's telephone number <u>630-765-8611</u></td> </tr> <tr> <td>2d Business code (see instructions) <u>523900</u></td> </tr> </table>	2b Employer Identification Number (EIN) <u>36-3768815</u>	2c Plan Sponsor's telephone number <u>630-765-8611</u>	2d Business code (see instructions) <u>523900</u>	
2b Employer Identification Number (EIN) <u>36-3768815</u>					
2c Plan Sponsor's telephone number <u>630-765-8611</u>					
2d Business code (see instructions) <u>523900</u>					

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

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

SIGN HERE	Filed with authorized/valid electronic signature.	10/15/2022	PATRICIA COSTELLO
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE	Signature of DFE	Date	Enter name of individual signing as DFE

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

Form 5500 (2021)
v. 210624

3a Plan administrator's name and address ☒ Same as Plan Sponsor		3b Administrator's EIN
		3c Administrator's telephone number
4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report: a Sponsor's name c Plan Name		4b EIN 4d PN
5 Total number of participants at the beginning of the plan year		5 958
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) 901
a(2) Total number of active participants at the end of the plan year		6a(2) 945
b Retired or separated participants receiving benefits.....		6b 0
c Other retired or separated participants entitled to future benefits		6c 69
d Subtotal. Add lines 6a(2) , 6b , and 6c		6d 1014
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.		6e 0
f Total. Add lines 6d and 6e		6f 1014
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)		6g 990
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested		6h 14
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item).....		7
8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions: 2E 2F 2G 2J 2K 2R 2S 2T 3D		
b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:		
9a Plan funding arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor	9b Plan benefit arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor	
10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)		
a Pension Schedules (1) ☒ R (Retirement Plan Information) (2) ☐ MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary (3) ☐ SB (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary	b General Schedules (1) ☒ H (Financial Information) (2) ☐ I (Financial Information – Small Plan) (3) ☐ <u>0</u> A (Insurance Information) (4) ☒ C (Service Provider Information) (5) ☒ D (DFE/Participating Plan Information) (6) ☐ G (Financial Transaction Schedules)	

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

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

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

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

11c Enter the Receipt Confirmation Code for the 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) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Service Provider Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110
		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 FIRST TRUST PORTFOLIOS L.P. 401(K) PLAN	B Three-digit plan number (PN) ▶	001
C Plan sponsor's name as shown on line 2a of Form 5500 FIRST TRUST PORTFOLIOS L.P.	D Employer Identification Number (EIN) 36-3768815	

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

1 Information on Persons Receiving Only Eligible Indirect Compensation

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

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

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

ONEAMERICA RETIREMENT SERVICES LLC

46-5378846

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
15 36 37 50 64	NONE	12478	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

BMO HARRIS BANK NA

36-2085229

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
19 21 25 28 52 62 68	NONE	0	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

MATRIX TRUST COMPANY

75-3182674

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
19 21 25 62	NONE	0	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

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

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

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

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

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

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

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
BMO HARRIS BANK NA	19 21 25 28 52 62 68	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
ONEAMERICA RETIREMENT SERVICES LLC 46-5378846	ONEAMERICA HAS A REVENUE SHARING AGREEMENT WITH BMO HARRIS BANK NA 2.25 BPS ON MARKET VALUE ANNUALIZED MONTHLY	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
MATRIX TRUST COMPANY	19 21 25 62	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
ONEAMERICA RETIREMENT SERVICES LLC 46-5378846	SEE ATTACHED	
(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
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(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.
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan <u>FIRST TRUST PORTFOLIOS L.P. 401(K) PLAN</u>	B Three-digit plan number (PN) ►	<u>001</u>
C Plan or DFE sponsor's name as shown on line 2a of Form 5500 <u>FIRST TRUST PORTFOLIOS L.P.</u>	D Employer Identification Number (EIN) <u>36-3768815</u>	

Part I	Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs) (Complete as many entries as needed to report all interests in DFEs)
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a Name of MTIA, CCT, PSA, or 103-12 IE: <u>FIRST TRUST TARGET DATE FUND 2020</u>		
b Name of sponsor of entity listed in (a): <u>HAND BENEFITS & TRUST COMPANY</u>		
c EIN-PN <u>74-2008758-046</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>164899</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>FIRST TRUST TARGET DATE FUND 2030</u>		
b Name of sponsor of entity listed in (a): <u>HAND BENEFITS & TRUST COMPANY</u>		
c EIN-PN <u>74-2008758-047</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>984291</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>FIRST TRUST TARGET DATE FUND 2040</u>		
b Name of sponsor of entity listed in (a): <u>HAND BENEFITS & TRUST COMPANY</u>		
c EIN-PN <u>74-2008758-048</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>2757349</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>FIRST TRUST TARGET DATE FUND 2050</u>		
b Name of sponsor of entity listed in (a): <u>HAND BENEFITS & TRUST COMPANY</u>		
c EIN-PN <u>74-2008758-049</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>2267416</u>
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
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103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)

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

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

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

SCHEDULE H (Form 5500) 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
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021		
A Name of plan FIRST TRUST PORTFOLIOS L.P. 401(K) PLAN	B Three-digit plan number (PN) ►	001
C Plan sponsor's name as shown on line 2a of Form 5500 FIRST TRUST PORTFOLIOS L.P.	D Employer Identification Number (EIN) 36-3768815	

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

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash.....	1a	0	4236
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	259516	287652
(2) Participant contributions.....	1b(2)	179169	178983
(3) Other	1b(3)	20121	0
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)		
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)		
(5) Partnership/joint venture interests	1c(5)	44629	90216
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans	1c(8)	1030345	1226601
(9) Value of interest in common/collective trusts	1c(9)	4409011	6173955
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)		
(12) Value of interest in 103-12 investment entities	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	191677376	236317933
(14) Value of funds held in insurance company general account (unallocated contracts).....	1c(14)		
(15) Other.....	1c(15)	20471783	26418126

1d Employer-related investments:		(a) Beginning of Year	(b) End of Year
(1) Employer securities.....	1d(1)		
(2) Employer real property.....	1d(2)		
e Buildings and other property used in plan operation	1e		
f Total assets (add all amounts in lines 1a through 1e)	1f	218091950	270697702

Liabilities

g Benefit claims payable	1g		
h Operating payables	1h		
i Acquisition indebtedness.....	1i		
j Other liabilities.....	1j	0	144466
k Total liabilities (add all amounts in lines 1g through 1j)	1k	0	144466

Net Assets

l Net assets (subtract line 1k from line 1f)	1l	218091950	270553236
---	-----------	-----------	-----------

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)	2664609	
(B) Participants	2a(1)(B)	14458213	
(C) Others (including rollovers).....	2a(1)(C)	2436853	
(2) Noncash contributions.....	2a(2)		19559675
(3) Total contributions. Add lines 2a(1)(A) , (B), (C), and line 2a(2)	2a(3)		
b Earnings on investments:			
(1) Interest:			
(A) Interest-bearing cash (including money market accounts and certificates of deposit).....	2b(1)(A)		
(B) U.S. Government securities	2b(1)(B)		
(C) Corporate debt instruments	2b(1)(C)		
(D) Loans (other than to participants)	2b(1)(D)		
(E) Participant loans.....	2b(1)(E)	65188	
(F) Other	2b(1)(F)	5139	
(G) Total interest. Add lines 2b(1)(A) through (F).....	2b(1)(G)		70327
(2) Dividends: (A) Preferred stock.....	2b(2)(A)		12164600
(B) Common stock	2b(2)(B)		
(C) Registered investment company shares (e.g. mutual funds).....	2b(2)(C)	12164600	
(D) Total dividends. Add lines 2b(2)(A) , (B), and (C)	2b(2)(D)		12164600
(3) Rents	2b(3)		
(4) Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)	44085	7155
(B) Aggregate carrying amount (see instructions).....	2b(4)(B)	36930	
(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)		
(5) Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)		-5008
(B) Other	2b(5)(B)	-5008	
(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)		

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts.....	2b(6)		318380
(7) Net investment gain (loss) from pooled separate accounts.....	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts.....	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities.....	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds).....	2b(10)		23682213
c Other income.....	2c		2017339
d Total income. Add all income amounts in column (b) and enter total.....	2d		57814681
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers.....	2e(1)	5340917	
(2) To insurance carriers for the provision of benefits.....	2e(2)		
(3) Other.....	2e(3)		
(4) Total benefit payments. Add lines 2e(1) through (3).....	2e(4)		5340917
f Corrective distributions (see instructions).....	2f		
g Certain deemed distributions of participant loans (see instructions).....	2g		
h Interest expense.....	2h		
i Administrative expenses: (1) Professional fees.....	2i(1)	12478	
(2) Contract administrator fees.....	2i(2)		
(3) Investment advisory and management fees.....	2i(3)		
(4) Other.....	2i(4)		
(5) Total administrative expenses. Add lines 2i(1) through (4).....	2i(5)		12478
j Total expenses. Add all expense amounts in column (b) and enter total.....	2j		5353395
Net Income and Reconciliation			
k Net income (loss). Subtract line 2j from line 2d.....	2k		52461286
l Transfers of assets:			
(1) To this plan.....	2l(1)		
(2) From this plan.....	2l(2)		

Part III Accountant's Opinion

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

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

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

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

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

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

(1) Name: **DELOITTE & TOUCHE LLP**

(2) EIN: **13-3891517**

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

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

Part IV Compliance Questions

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

During the plan year:

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

	Yes	No	Amount
4a		X	

	Yes	No	Amount
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)			
4b		X	
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)			
4c		X	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)			
4d		X	
e Was this plan covered by a fidelity bond?	X		5000000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?		X	
4f		X	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?		X	
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?		X	
4h		X	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	X		
4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)		X	
4j		X	
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?		X	
4k		X	
l Has the plan failed to provide any benefit when due under the plan?		X	
4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)		X	
4m		X	
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.			
4n			

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

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

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

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

SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Retirement Plan Information This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	OMB No. 1210-0110 2021 This Form is Open to Public Inspection.
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan FIRST TRUST PORTFOLIOS L.P. 401(K) PLAN	B Three-digit plan number (PN) ► 001
C Plan sponsor's name as shown on line 2a of Form 5500 FIRST TRUST PORTFOLIOS L.P.	D Employer Identification Number (EIN) 36-3768815

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

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

1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....	1	0
2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits): EIN(s): 39-6436442 75-3182674		
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

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

Schedule R (Form 5500) 2021
v. 201209

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 _____

First Trust Portfolios L.P. 401(k) Plan

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

EIN: 36-3768815, Plan No: 001

FIRST TRUST PORTFOLIOS L.P. 401(k) PLAN

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



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INDEPENDENT AUDITORS' REPORT

First Trust Portfolios L.P. 401(k) Plan:

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

We have performed an audit of the financial statements of First Trust Portfolios L.P. 401(k) Plan (the "Plan"), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), as permitted by ERISA Section 103(a)(3)(C) (ERISA Section 103(a)(3)(C) audit). The financial statements comprise the statements of net assets available for benefits as of December 31, 2021, and the related statement of changes in net assets available for benefits for the year then ended, and the related notes to the financial statements.

Management, having determined it is permissible in the circumstances, has elected to have the audit of the Plan's 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 certifications from qualified institutions as of and for the year ended December 31, 2021, stating that the certified investment information, as described in Note 3 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 Auditor's Responsibilities for the Audit of the Financial Statements section:

- The amounts and disclosures in the 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 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 (GAAS). Our responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the Plan and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our 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.

Auditor's Report on the 2020 Financial Statements

We were engaged to audit the 2020 financial statements of the Plan. As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA, the plan administrator instructed us not to perform and we did not perform any auditing procedures with respect to the information certified by a qualified institution. In our report dated September 30, 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 these 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 that 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.

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

In performing an audit in accordance with GAAS, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.

- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for a reasonable period of time.

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

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

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

Other Matter — Supplemental Schedule Required by ERISA

The supplemental schedule of assets (held at end of year) as of December 31, 2021, is presented for purposes of additional analysis and is not a required part of the financial statements but is supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information included in the supplemental schedule, other than that agreed to or derived from the certified investment information, has been subjected to auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with GAAS. For information included in the supplemental schedule 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 schedule, we evaluated whether the supplemental schedule, other than the information agreed to or derived from the certified investment information, including its form and content, is presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion:

- The form and content of the supplemental schedule, other than the information in the supplemental schedule 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 schedule 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).

Deloitte & Touche LLP

Chicago, Illinois
October 14, 2022

FIRST TRUST PORTFOLIOS L.P. 401(k) PLAN

STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS AS OF DECEMBER 31, 2021 AND 2020

	2021	2020
ASSETS:		
Cash	\$ 4,236	\$ -
Participant-directed investments-at fair value	269,000,230	216,602,799
Notes receivable from participants	1,226,601	1,030,345
Participant contributions receivable	178,983	179,169
Employer contributions receivable	287,652	259,516
Accrued investment income	-	20,121
Total assets	<u>270,697,702</u>	<u>218,091,950</u>
LIABILITIES:		
Payables for securities purchased	<u>144,466</u>	<u>-</u>
Total liabilities	<u>144,466</u>	<u>-</u>
NET ASSETS AVAILABLE FOR BENEFITS	<u>\$ 270,553,236</u>	<u>\$ 218,091,950</u>

See notes to financial statements.

FIRST TRUST PORTFOLIOS L.P. 401(k) PLAN

STATEMENT OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS FOR THE YEAR ENDED DECEMBER 31, 2021

ADDITIONS:

Contributions:

Employer contributions	\$ 2,664,609
Participant contributions	14,458,213
Rollover contributions	<u>2,436,853</u>
Total contributions	<u>19,559,675</u>

Investment income:

Net appreciation in fair value of investments	26,020,079
Dividends and interest	<u>12,169,739</u>
Net investment income	<u>38,189,818</u>

Interest from notes receivable from participants	<u>65,188</u>
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DEDUCTIONS:

Benefits paid to participants	5,340,917
Administrative expenses	<u>12,478</u>
Total deductions	<u>5,353,395</u>

INCREASE IN NET ASSETS	<u>52,461,286</u>
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NET ASSETS AVAILABLE FOR BENEFITS:

Beginning of year	<u>218,091,950</u>
End of year	<u>\$ 270,553,236</u>

See notes to financial statements.

FIRST TRUST PORTFOLIOS L.P. 401(k) PLAN

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

1. DESCRIPTION OF THE PLAN

The following description of the First Trust Portfolios L.P. 401(k) Plan (the “Plan”) is provided for general information purposes only. Participants should refer to the Plan document for more complete information.

General — The Plan is a defined contribution plan, amended and restated effective January 1, 2015 to comply with regulatory requirements, covering substantially all salaried and non-salaried employees of First Trust Portfolios L.P. (the “Partnership”), the sponsor of the Plan. BMO Harris Bank N.A. (“BMO”) served as trustee and custodian of the Plan through May 20, 2021. Effective May 21, 2021, Matrix Trust Company (“Matrix”) began serving as trustee and custodian of the Plan (collectively, the “Trustees”). OneAmerica Retirement Services LLC provides recordkeeping and administrative services. The Plan, established on March 16, 1992, is subject to the provisions of the Employee Retirement Income Security Act of 1974 (“ERISA”).

Eligibility of Participants — Employees of the Partnership become eligible for participation in the Plan on the date of hire. The effective date of participation is the first day of the month following the hire date. If the first day of employment is the first day of the month, benefits are effective immediately. In addition, once eligibility requirements have been met, employees may enter the Plan monthly, on the first day of each month.

Contributions — The Plan is funded by participants’ pre-tax voluntary contributions and may also be funded by Partnership contributions. Each year, participants may contribute up to 100% of their pre-tax annual compensation, as defined in the Plan document, subject to certain Internal Revenue Code (“IRC”) limitations. Effective July 1, 2012, the Plan was amended to exclude all fringe benefits, expense reimbursements, deferred compensation and welfare benefits from the definition of plan compensation for purposes of matching contributions. During the year ended December 31, 2021, the Partnership made matching contributions equal to 25% of a participant’s contributions, up to 6% of a participant’s eligible compensation. Participants need to be employed on the last day of each quarter to receive that quarter’s match. The Plan also permits catch up contributions and rollovers.

Plan Amendments — Effective March 1, 2019, the Plan was amended to provide automatic enrollment with a 6% deferral for those participants who contribute less than 6%. Employees who currently defer 6% or more are not subject to automatic enrollment. Employees may choose to opt out of the automatic enrollment with proper notice. The Plan also implemented an annual 1% auto-escalation of contributions up to 15% as of January 1, 2020.

Participant Accounts — Individual accounts are maintained for each Plan participant. Each participant’s account is credited with the participant’s contribution, the Partnership’s matching contribution, and the participant’s investment earnings, and charged with withdrawals, activity fees, and the participant’s investment losses. Allocations are based on participant earnings or account balances, as defined. The benefit to which a participant is entitled is the benefit that can be provided from the participant’s vested account.

Investments — Participants direct the investment of their contributions into various investment options offered by the Plan and may change investments and transfer amounts between funds daily. Participants may direct their investments through a trustee sponsored brokerage account, which offers the option to invest in a variety of individual stocks, exchange traded funds, limited partnerships, mutual funds, collective trusts and money market funds.

Vesting — Participants are 100% vested at all times in the portion of their account attributable to their contributions and the earnings thereon. Partnership contributions and earnings thereon vest at a rate of 20% per year over a period of five years.

Notes Receivable from Participants — Participants may borrow from their Plan accounts up to a maximum of \$50,000 or 50% of their account balance, whichever is less. The maximum loan term is 5 years or up to 15 years for the purchase of a primary residence. The loans are secured by the vested balance in the participant’s account

and bear interest at a rate determined by the Plan. Interest rates are based on the prime rate plus 2% at the time the loan is made. Principal and interest are paid ratably through payroll deductions.

Distributions and Withdrawals — Participation in the Plan terminates upon retirement, death, or disability; such former participant or designated beneficiary will receive a lump-sum distribution. Upon termination of employment with the Partnership, for other than retirement, death, or disability, participants with vested account balances less than \$1,000 will receive a lump-sum distribution, while the participants with vested account balances of \$5,000 or more may elect to receive a lump-sum distribution or may elect to defer payment until reaching the age of 65. For participants with vested account balances between \$1,000 and \$5,000, the Plan document provides that this amount, if not otherwise directed by the employee, will be rolled over into an IRA. Participants of the Plan actively employed by the Partnership upon attainment of the normal retirement age of 65 may elect to defer distributions until the earlier of an actual retirement date or age 70½.

Participants may withdraw a portion of their vested account balance upon demonstrating a “financial hardship” as defined in the Plan document.

Forfeited Accounts — Amounts related to forfeited nonvested accounts are used to reduce Partnership contributions. For the year ended December 31, 2021, Partnership contributions were reduced by \$4,330 from forfeited nonvested accounts. There were forfeitures outstanding of \$3,868 and \$11,521 as of December 31, 2021 and 2020, respectively.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Accounting — The accompanying financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America (“GAAP”).

Use of Estimates — The preparation of financial statements in conformity with GAAP requires management to make estimates and assumptions that affect the reported amounts of assets, liabilities, and changes therein and disclosure of contingent assets and liabilities. Actual results could differ from those estimates.

Risks and Uncertainties — The Plan utilizes various investment instruments. Investment securities, in general, are exposed to various risks, such as interest rate, credit, and overall market volatility. Market risks include global events which could impact the value of investment securities, such as a pandemic or international conflict. Due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the value of the participants’ account balances and the amounts reported in the financial statements.

Investment Valuation and Income Recognition — The Plan’s investments are stated at fair value. Fair value of a financial instrument is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Mutual funds are valued at the daily closing price as reported by the fund. Mutual funds held by the plan are open-ended mutual funds that are registered with the Securities Exchange Commission. These funds are required to publish their daily net asset value and to transact at that price. The mutual funds held by the Plan are deemed to be actively traded. The money market fund is represented by the net asset value (“NAV”) of their shares. The limited partnerships are publicly listed and are valued at quoted market prices at year end. Common stocks are valued at the closing price reported on the active market on which the individual securities are traded. Exchange Traded Funds are valued based on at the daily closing price as reported by the fund. The collective trusts are valued at the net asset value of units of a bank collective trust. The net asset value as provided by the trustee is used as a practical expedient to estimate fair value. The net asset value is based on the fair value of the underlying investments held by the fund less its liabilities. This practical expedient is not used when it is determined to be probable that the fund will sell the investment for an amount different than the reported net asset value.

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date. Net appreciation/(depreciation) includes the Plan’s gains and losses on investments bought and sold as well as held during the year.

The Plan has a revenue-sharing agreement, whereby certain investment managers return a portion of the investment fees to the Plan. These fees or revenue sharing amounts are allocated to individual participant accounts based on their respective shares of each investment. For the current year, \$94,007 was allocated from the revenue-sharing agreement and is included in Net appreciation in the fair value of investments on the

Statement of Changes in Net Assets Available for Benefits. The Plan held undistributed revenues of \$3,708 and \$0 on December 31, 2021 and December 31, 2020, respectively.

Notes Receivable from Participants — Notes receivables from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Delinquent notes receivable from participants are recorded as distributions based on the terms of the Plan document.

Contributions — Contributions from participants are recorded when withheld from payroll. Employer matching contributions are recorded on a quarterly basis.

Administrative Expenses — Expenses recorded in the Statement of Changes in Net Assets Available for Benefits include loan activity charges and activity charges for other withdrawals. All other administrative expenses of the Plan are paid by the Partnership. Fees paid by the Plan for mutual fund and collective trust investment management services are included as a reduction of return for such investments.

Payment of Benefits — Benefit payments to participants are recorded upon distribution. There were no amounts allocated to accounts of persons who have elected to withdraw from the Plan but have not yet been paid at December 31, 2021 and 2020.

3. FAIR VALUE MEASUREMENTS

Accounting Standards Codification (“ASC”) 820, *Fair Value Measurement*, established a single authoritative definition of fair value, set a framework for measuring fair value, and requires additional disclosures about fair value measurements. In accordance with ASC 820, the Plan classifies its investments into Level 1, which refers to securities valued using quoted prices from active markets for identical assets; Level 2, which refers to securities not traded on an active market but for which observable market inputs are readily available; and Level 3, which refers to securities valued based on significant unobservable inputs. Assets and liabilities are classified in their entirety based on the lowest level of input that is significant to the fair value measurement. For the year ended December 31, 2021, there were no transfers in or out of Levels 1, 2, or 3.

The following tables set forth by level within the fair value hierarchy a summary of the Plan investments at December 31, 2021 and 2020, both of which are measured at fair value on a recurring basis.

Plan Investments				
Fair Value Measurements at December 31, 2021				
	Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)	Total
Mutual Fund – Short Government	\$ 2,404,307	\$ -	\$ -	\$ 2,404,307
Mutual Fund -- Long Government	13,362,523	-	-	13,362,523
Mutual Fund – Intermediate -Term Bond	4,378,488	-	-	4,378,488
Mutual Fund – Balanced	10,453,191	-	-	10,453,191
Mutual Fund – Large Cap Blend	52,268,641	-	-	52,268,641
Mutual Fund – Large Cap Growth	34,722,517	-	-	34,722,517
Mutual Fund – Large Cap Value	22,914,767	-	-	22,914,767
Mutual Fund -- Mid-Cap Value	8,047,181	-	-	8,047,181
Mutual Funds – Mid-Cap Growth	19,155,020	-	-	19,155,020
Mutual Fund -- Mid-Cap	6,772,058	-	-	6,772,058
Mutual Fund – Small Cap Value	6,181,733	-	-	6,181,733
Mutual Fund -- Small Cap	8,983,380	-	-	8,983,380
Mutual Fund -- Small Cap Growth	5,259,387	-	-	5,259,387
Mutual Fund – Foreign Large Cap	10,342,496	-	-	10,342,496
Mutual Fund – Emerging Markets	5,711,336	-	-	5,711,336
Mutual Fund – High Yield Bond	2,020,069	-	-	2,020,069
Mutual Funds -- Target Retirement	9,658,873	-	-	9,658,873
Mutual Fund – International Growth	11,793,778	-	-	11,793,778
Mutual Fund - Retirement Income Fund	277,970	-	-	277,970
Mutual Fund - High Income Fund	1,610,217	-	-	1,610,217
Individually Directed Accounts:				
Common Stocks	9,105,175	-	-	9,105,175
Limited Partnership	90,216	-	-	90,216
Exchange Traded Funds	14,195,059	-	-	14,195,059
Mutual Funds	584,306	-	-	584,306
Money Market	2,414,342	-	-	2,414,342
Unit Trusts	71,402	-	-	71,402
Options	47,842	-	-	47,842
Total	\$ 262,826,274	\$ -	\$ -	\$ 262,826,274

Plan Investments				
Fair Value Measurements at December 31, 2020				
	Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)	Total
Mutual Fund – Short Government	\$ 2,594,269	\$ -	\$ -	\$ 2,594,269
Mutual Fund -- Long Government	9,573,971	-	-	9,573,971
Mutual Fund – Intermediate -Term Bond	5,081,287	-	-	5,081,287
Mutual Fund – Balanced	7,363,719	-	-	7,363,719
Mutual Fund – Large Cap Blend	42,073,834	-	-	42,073,834
Mutual Fund – Large Cap Growth	31,711,279	-	-	31,711,279
Mutual Fund – Large Cap Value	16,392,808	-	-	16,392,808
Mutual Fund – Mid-Cap Value	5,226,635	-	-	5,226,635
Mutual Funds – Mid-Cap Growth	17,404,615	-	-	17,404,615
Mutual Fund -- Mid-Cap	4,740,483	-	-	4,740,483
Mutual Fund – Small Cap Value	4,384,160	-	-	4,384,160
Mutual Fund -- Small Cap	5,904,237	-	-	5,904,237
Mutual Fund -- Small Cap Growth	4,301,345	-	-	4,301,345
Mutual Fund – Foreign Large Cap	8,372,122	-	-	8,372,122
Mutual Fund – Emerging Markets	5,879,957	-	-	5,879,957
Mutual Fund – High Yield Bond	1,906,726	-	-	1,906,726
Mutual Funds – Target Retirement	6,845,906	-	-	6,845,906
Mutual Funds- International Growth	10,441,442	-	-	10,441,442
Mutual Funds- Retirement Income Fund	263,246	-	-	263,246
Mutual Fund - High Income Fund	1,215,336	-	-	1,215,336
Individually Directed Accounts:				
Common Stocks	8,025,340	-	-	8,025,340
Limited Partnership	44,629	-	-	44,629
Exchange Traded Funds	8,778,667	-	-	8,778,667
Mutual Funds	506,841	-	-	506,841
Money Market	3,160,935	-	-	3,160,935
Total	\$ 212,193,789	\$ -	\$ -	\$ 212,193,789

The following tables set forth a summary of the Plan investments at December 31, 2021 and 2020, which are valued using the NAV practical expedient:

Fair Value Estimated Using Net Asset Value per Share at December 31, 2021			
Plan Investment	Fair Value	Redemption Frequency	Redemption Notice Period
First Trust Target Funds	\$ 6,173,956	Immediate	None

Fair Value Estimated Using Net Asset Value per Share at December 31, 2020			
Plan Investment	Fair Value	Redemption Frequency	Redemption Notice Period
First Trust Target Funds	\$ 4,409,010	Immediate	None

There are no unfunded commitments to the First Trust Target Funds as of December 31, 2021 and 2020.

The following is a summary of the certified investment information regarding the Plan as of December 31, 2021 and 2020, and for the year ended December 31, 2021, included in the Plan's financial statements, including Note 3 (with the exception of levels), and the supplemental schedule, that was prepared by or derived from information prepared by the Trustees of the Plan. The plan administrator has obtained certifications from the Trustees that such information is complete and accurate of December 31, 2021 and 2020, and for the year ended December 31, 2021.

The 2021 and 2020 Plan investments are shown below. Investments that represent a significant concentration of the Plan's net assets available for benefits as of December 31, 2021 and 2020 are marked with an asterisk:

Plan Investments	2021	Plan Investments	2020
T. Rowe Price Growth Stock Fund*	\$ 34,722,517	T. Rowe Price Growth Stock Fund*	\$ 31,711,279
Vanguard Short Term Federal	2,404,307	Vanguard Short Term Federal	2,594,269
Pimco Total Return	4,378,488	Pimco Total Return	5,081,287
Vanguard Balanced Index Fund	10,453,191	Vanguard Balanced Index Fund	7,363,719
Vanguard Developed Markets Index Fund	10,342,496	Vanguard Developed Markets Index Fund	8,372,122
Wells Fargo Advantage Emerging Market Equity	-	Wells Fargo Advantage Emerging Market Equity	5,879,957
Allsprings Emerging Markets Equity Fund	5,711,336	Allsprings Emerging Markets Equity Fund	-
Northern Small Cap Value	6,181,733	Northern Small Cap Value	4,384,160
Vanguard Institutional Index Fund*	52,268,641	Vanguard Institutional Index Fund*	42,073,834
T. Rowe Price Mid-Cap Growth Fund	12,136,377	T. Rowe Price Mid-Cap Growth Fund *	11,083,064
Individually Directed Account *	26,508,342	Individually Directed Account *	20,516,412
Dodge and Cox Stock Fund*	22,914,767	Dodge and Cox Stock Fund*	16,392,808
Columbia Acorn Fund	7,018,643	Columbia Acorn Fund	6,321,551
First Trust Target Funds (a)	6,173,956	First Trust Target Funds (a)	4,409,010
Vanguard Institutional Target Retirement Funds	9,658,873	Vanguard Target Retirement Funds	6,845,906
Federated US Treasury Cash Reserve Fund	13,362,523	Federated US Treasury Cash Reserve Fund	9,573,971
First Trust Short Duration High Income Fund (a)	1,610,217	First Trust Short Duration High Income Fund (a)	1,215,336
Vanguard Mid Cap Value Index Fund	8,047,181	Vanguard Mid Cap Value Index Fund	5,226,635
Vanguard Mid Cap Index Fund	6,772,058	Vanguard Mid Cap Index Fund	4,740,483
Vanguard Small Cap Growth Index Fund	5,259,387	Vanguard Small Cap Growth Index Fund	4,301,345
Vanguard Small Cap Index Fund	8,983,380	Vanguard Small Cap Index Fund	5,904,237
John Hancock International Growth	11,793,778	John Hancock International Growth	10,441,442
Vanguard High Yield Corp FD ADM	2,020,069	Vanguard High Yield Corp FD ADM	1,906,726
Vanguard Retirement Income Fund	277,970	Vanguard Retirement Income Fund	263,246
Total	<u>\$ 269,000,230</u>	Total	<u>\$ 216,602,799</u>

(a) Represents party-in-interest to the Plan.

* Represents 5% or more of the Plan's net assets available for benefits as of the respective year-ended.

	2021	2020
Statements of Net Assets Available for Benefits		
Notes receivable from participants	\$ 1,226,601	\$ 1,030,345

Statement of Changes in Net Assets Available for Benefits

Dividends and interest	\$ 12,169,739
Net appreciation in fair value of investments	26,020,079
Net investment income	\$ 38,189,818
Interest from notes receivable from participants	\$ 65,188

Supplemental schedule: All investment balances and information included in the supplemental schedule of assets (held at end of year).

Note 3: All investment balances and investment information, excluding the level of investments in Note 3, Fair Value Measurements.

4. EXEMPT PARTY-IN-INTEREST TRANSACTIONS

Certain Plan investments are shares of four collective trusts and one mutual fund managed by the Partnership and, therefore, these transactions qualify as party-in-interest transactions. Fees paid by the Plan for the investment management services were included as a reduction of the return earned on the collective trusts and mutual fund. Certain investment managers affiliated with the Plan return a portion of the investment fees to the plan under a revenue sharing agreement. The Plan issues loans to participants, which are secured by the vested balances in the participants' accounts.

5. PLAN TERMINATION

Although it has not expressed any intention to do so, the Partnership has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions set forth in ERISA. In the event that the Plan is terminated, any unallocated amounts will be allocated to participant accounts in accordance with the Plan document; all amounts in participant accounts will then become fully vested, and participants will be entitled to a distribution equal to their entire account balance.

6. FEDERAL INCOME TAX STATUS

The plan uses a prototype plan document sponsored by BMO. BMO received an opinion letter from the Internal Revenue Service ("IRS"), dated September 24, 2015, which states that the prototype document satisfies the applicable provisions of the IRC. The Plan itself has not received a determination letter from the IRS. However, the Plan's management believes that the Plan is currently designed and being operated in compliance with the applicable requirements of the IRC. Therefore, no provision for income taxes has been included in the Plan's financial statements.

GAAP requires Plan management to evaluate tax positions taken by the Plan and recognize a tax liability (or asset) if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Plan administrator has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2021, 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 currently no audits for any tax periods in progress. The Plan administrator believes it is no longer subject to income tax examinations for years prior to 2018.

7. SUBSEQUENT EVENTS

Management has evaluated events subsequent to December 31, 2021, to assess the need for potential recognition or disclosure in the financial statements. Such events were evaluated through October 14, 2022, the date these financial statements were available to be issued. Based upon this evaluation, it was determined that no subsequent events occurred that require recognition or disclosure in the financial statements.

SUPPLEMENTAL SCHEDULE

FIRST TRUST PORTFOLIOS L.P. 401(k) PLAN

FORM 5500, SCHEDULE H, PART IV, LINE 4i – SCHEDULE OF ASSETS (HELD AT END OF YEAR)
EIN 36-3768815

Plan #001

Identity of Issuer, Borrower, Lessor, or similar party	Description of Investment, including Maturity Date, Rate of Interest, Collateral, and Par or Maturity Value	Cost	Current Value
Columbia Acorn Fund	Mutual Fund	**	\$ 7,018,643
Dodge and Cox Stock Fund #145	Mutual Fund	**	22,914,767
Federated US Treasury Cash Reserve Fund	Mutual Fund	**	13,362,523
First Trust Target Fund 2020*	Collective Trust	**	164,899
First Trust Target Fund 2030*	Collective Trust	**	984,292
First Trust Target Fund 2040*	Collective Trust	**	2,757,349
First Trust Target Fund 2050*	Collective Trust	**	2,267,416
First Trust Short Duration High Income Fund*	Mutual Fund	**	1,610,217
Vanguard High Yield Corp FD ADM	Mutual Fund	**	2,020,069
John Hancock International Growth Fund	Mutual Fund	**	11,793,778
Northern Small Cap Value Fund	Mutual Fund	**	6,181,733
Pinco Total Return	Mutual Fund	**	4,378,488
T. Rowe Price Growth Stock Fund	Mutual Fund	**	34,722,517
T. Rowe Price Mid-Cap Growth Fund	Mutual Fund	**	12,136,377
Vanguard Developed Markets Index Fund	Mutual Fund	**	10,342,496
Vanguard Balanced Index Fund	Mutual Fund	**	10,453,191
Vanguard Mid Cap Value Index Fund	Mutual Fund	**	8,047,181
Vanguard Mid Cap Index Fund	Mutual Fund	**	6,772,058
Vanguard Short Term Federal Fund	Mutual Fund	**	2,404,307
Vanguard Small Cap Index Fund	Mutual Fund	**	8,983,380
Vanguard Small Cap Growth Index Fund	Mutual Fund	**	5,259,387
Vanguard Institutional Target Retirement Fund 2020	Mutual Fund	**	946,084
Vanguard Institutional Target Retirement Fund 2030	Mutual Fund	**	2,896,299
Vanguard Institutional Target Retirement Fund 2040	Mutual Fund	**	1,947,897
Vanguard Institutional Target Retirement Fund 2050	Mutual Fund	**	1,665,738
Vanguard Institutional Target Retirement Fund 2060	Mutual Fund	**	2,202,855
Vanguard Institutional Target Retirement Income Fund	Mutual Fund	**	277,970
Vanguard Institutional Index Fund	Mutual Fund	**	52,268,641
Allsprings Emerging Markets Equity Fund	Mutual Fund	**	5,711,336
Loans To Various Participants*	Interest Rate Range 5.25% To 7.50% maturing 2021-2036	**	1,226,601
Self Directed Brokerage Accounts	IDA Accounts	**	26,508,342
	Total		<u>\$ 270,226,831</u>

* Represents parties in interest to the Plan.

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

See accompanying Independent Auditors' Report.

Fee Schedule and Disclosures OneAmerica

FIRST TRUST PORTFOLIOS L.P. 401(K) PLAN (the "Plan")

This fee schedule pertains to the services ("Services") covered in the Client Agreement with Matrix Trust Company ("Matrix Trust"), and is intended as the service provider disclosure statement to fiduciaries that have the authority to enter into, extend, or renew Matrix Trust's provision of services to the Plan. If you are in receipt of this schedule and are not the responsible Plan fiduciary under 29 C.F.R. Sec. 2550.408b-2 ("408(b)(2)"), please forward this disclosure to that fiduciary's attention.

If Matrix Trust's appointment is as a directed (non-discretionary) trustee, with regard to providing services to the Plan, Matrix Trust is serving in a limited fiduciary capacity under ERISA. If Matrix Trust's appointment is not as trustee, Matrix Trust is not serving in a fiduciary capacity under ERISA except to the extent that Matrix Trust explicitly agrees to and acknowledges its fiduciary capacity.

TRUST/CUSTODY SERVICES

Annual Market Value Fees:

Plan With Total Assets of Less Than \$100MM	2 basis points (on assets other than Conditionally Accepted)
Plan With Total Assets Over \$100MM	1 basis point (on assets other than Conditionally Accepted)
Conditionally Accepted Assets ¹	15 basis points

Annual Trustee Fees: (includes custodial services)

Plans with mutual funds <u>only</u>	\$ 750 per plan
Plans with mutual funds <u>and</u> IDAs	\$ 1,500 per plan
Plans with mutual funds, IDAs and Conditionally Accepted Assets	\$ 2,500 per plan

Annual Custodian Fee	\$ 500 per plan
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DISBURSEMENT-RELATED SERVICES

One-time Check or Wire	\$ 5 each (includes Forms 1099R, 1099M, W-2)
One-time ACH Transfers	\$ 3 each (includes Forms 1099R, 1099M, W-2)
Recurring Check or ACH Transfer	\$ 3 each (includes Forms 1099R, 1099M, W-2)
Stop Payment	\$ 20 each
Form 1099 Replacement	\$ 0 each

ADDITIONAL SERVICES

Unitization Annual Fee ²	\$ 2,750 per NAV (in addition to the Annual Market Value Fees listed above)
1041 Informational Tax Letter	\$ 500 per letter
990T Preparation and Filing	\$ 1,000 per filing
ASC 820 Report	Included
Extraordinary Services	\$ 100 per hour
Termination Fee	\$ 500 per plan
Fund Service Fee Collection Services	Included - 100% pass through
Self-Directed Brokerage Account (SDBA):	
Initial Account Set-Up Fee	\$ 75 each new SDBA
Waived for TDA accounts and existing IDAs for implementation process	
Annual Account Fee @ connected broker	\$ 100 each (in addition to the Annual Market Value Fees listed above)
Waived for TD Ameritrade accounts	
Annual Account Fee @ non-connected broker	\$ 400 each (in addition to the Annual Market Values Fee listed above)

TERMS, CONDITIONS AND REQUIRED DISCLOSURES

The Plan's third-party administrator may impose administration fees, which are in addition to the afore-mentioned fees. The afore-mentioned fees do not include investment manager or consultant fees. The afore-mentioned fees do not include any brokerage or other sub-custodian commissions, unless otherwise noted. The afore-mentioned fees also do not include mutual fund sales charges/loads or brokerage commissions imposed by broker-dealers or mutual fund families. An applicable mutual fund prospectus or statement of additional information may provide for the waiver of plan level mutual fund sales charges/loads. In order for the fees to be included, the Plan Sponsor or the Responsible Plan Fiduciary or a person identified by the Plan Sponsor or the Responsible Plan Fiduciary to act as the Authorized Person (the "Authorized Person") may be required to complete additional documentation. The afore-mentioned fees also do not include real estate appraisal fees, annual inspection costs, insurance premiums or other like costs associated with any real property that may be held in the account.

The fees listed in the Trust/Custody Services section are charged on a per plan basis and include:

- Electronically transmitted transactions
- Asset transfer and set-up in one account per plan
- Quarterly and annual statement (maximum of two duplicate sets)
- Proxy delivery to the Responsible Plan Fiduciary or other designated party
- Wire receipts for employer and employee contributions and master note loan repayments (if applicable)
- Interest, dividend, and capital gains posting; processing of capital changes (splits, reorganizations, etc.)

Additional fees may be charged for:

- Extraordinary services
- Checks received with insufficient funds
- Overnight mailing (\$25 per mailing)

Fees are billed quarterly in arrears directly to OneAmerica. Asset based fees will be calculated utilizing a daily average balance for the invoice period. To the extent Matrix Trust fees are paid by the account, the fees represent direct compensation paid to Matrix Trust. To the extent that Matrix Trust fees are paid by OneAmerica or the Plan Sponsor and not reimbursed by plan assets, the fees do not represent direct or indirect compensation paid to Matrix Trust for purposes of 408(b)(2). Matrix Trust fees outstanding for more than 90 days from the billing date may be deducted directly from the account.

I. INDIRECT COMPENSATION

Matrix Trust may receive indirect compensation in connection with Services:

- in the form of "float" income, and
- through its affiliate(s) and/or other parties as described below, and to the extent applicable, with respect to Investment Related Administrative Fee Services, Brokerage Accounts, Retirement Cash Account, ModelTool(K)it™, Level Compensation Services, ETF Trading Services, ETF/Closed End Fund Trading Services, Stale Dated Check Services, and Proceeds of Corrective Transactions.

A. CASH SUB-ACCOUNTING SERVICES/FLOAT INCOME

Matrix Trust also provides sub-accounting services to certain banking institutions, with respect to cash held on a short-term basis in their omnibus accounts. With respect to the Plan, this may occur where, for example, Plan funds are awaiting investment, distribution or other processing. As described below under the section titled: "Matrix Trust - Float Disclosure for Employee Benefit Plans," Matrix Trust may derive compensation from the use of this short-term cash, which is referred to as "float income." Currently, Matrix Trust has arrangements with two banks – JP Morgan Chase and TD Bank – under which the banks pay float income to Matrix Trust in exchange for its sub-accounting services. Float income is reflected as an earnings credit or service fee on monthly bank invoices.

The exact amount of float income credited from these two banks to Matrix Trust cannot be described in precise terms, because the rate of float income paid fluctuates over time (it generally tracks the Federal Funds Rate), and it is also impossible to predict exactly how much Plan cash will be held on a short-term basis, and for how long. Please refer to the section below titled "Matrix Trust - Float Disclosure for Employee Benefit Plans" for more information.

B. MATRIX TRUST - FLOAT DISCLOSURE FOR EMPLOYEE BENEFIT PLANS**1. Additional Compensation Attributable to Float**

Matrix Trust may derive compensation from the use of cash held on behalf of client plans pending investment, distribution or other processing. This compensation is referred to as "float". The disclosures contained in the following paragraphs have been prepared in accordance with U.S. Department of Labor guidance contained in Field Assistance Bulletin 2002-3 concerning service provider float disclosure obligations to employee benefit plan customers.

In connection with Matrix Trust's provision of services to plan customers, Matrix Trust maintains various banking arrangements to facilitate movements of cash as necessary to process plan customer transactions, including arrangements with one or more banks. Under these arrangements, cash may be held in general or "omnibus" bank accounts established by or at the direction of Matrix Trust, pending investment, trade settlement, or the presentment of distribution checks for payment. These accounts generate float earnings for Matrix Trust. The proportionate share of those earnings attributable to the funds of a particular plan constitutes compensation that is paid by the plan and retained by Matrix Trust in connection with Matrix Trust's services and is in addition to any other fees or compensation payable under the service arrangement.

As of the date of this disclosure, Matrix Trust's only banking arrangements described above are with JPMorgan Chase, N.A. and TD Bank, N.A, both of which are unaffiliated institutions to Matrix Trust.

The paragraphs below describe the specific circumstances under which float will be earned and retained, the time frames applicable to float earnings periods, and a general description of the rate of float earnings.

2. Circumstances and Time Frames During Which Float May Be Earned

a) Contributions

Plans direct cash contributions to Matrix Trust through a demand deposit account Matrix Trust maintains for that purpose. Matrix Trust credits the amount of a plan's cash contribution to the plan's Matrix Trust account ("**Client Account**") on the business day it is received. If the Client Account uses a cash sweep, the cash contribution is swept from the demand deposit account and invested on the plan's behalf on the next business day. Matrix Trust earns float on the cash contribution between the business day of deposit and the next business day. A "business day" is a day on which the New York Stock Exchange is open for business.

If a Client Account does not use a cash sweep, Matrix Trust earns float on the cash contribution from the business day of deposit until Matrix Trust receives investment instructions from the plan and the investment transaction settles. Upon Matrix Trust's receipt of investment instructions in good order, settlement of mutual fund trades generally occurs within one business day and settlement of individual securities trades (*i.e.*, stocks and bonds) generally occurs within three business days.

b) Purchases of Securities for the Client Account

When Matrix Trust receives instructions, in good order and in accordance with prescribed procedures, to purchase a security for a Client Account, Matrix Trust places the purchase trade order that same business day if the instructions are received prior to Matrix Trust trading cut-off times. If instructions are received after the Matrix Trust trading cut-off times, the purchase trade order is placed on the next business day.

When Matrix Trust settles a purchase trade order for a Client Account, Client Account assets required to pay for the purchase are transferred to a demand deposit account maintained by Matrix Trust on the trade settlement date. When a purchase trade order is cancelled or rejected, the funds previously set aside to pay for the purchase are re-credited to the Client Account and either invested through the cash sweep, if applicable, or retained in the deposit account pending other investment instructions, as described above.

c) Sales of Securities for the Client Account

When Matrix Trust receives instructions, in good order and in accordance with prescribed procedures, to sell a security for a Client Account, Matrix Trust places the sale trade order that same business day if the instructions are received prior to Matrix Trust trading cut-off times. If instructions are received after the Matrix Trust trading cut-off times, the sale trade order will be placed on the next business day.

When Matrix Trust places or settles a sale trade for a Client Account, the Client Account receives the sales proceeds on the trade settlement date. If the Client Account does not use a sweep, Matrix Trust will earn float from the date Matrix Trust receives the sale settlement proceeds until Matrix Trust receives instructions to reinvest the sale proceeds as described above.

d) Payments from Client Accounts

Matrix Trust may earn float when it issues checks on behalf of plans including checks for (i) distributions to participants and/or beneficiaries, (ii) participant loan distributions, or (iii) fees paid to plan service providers. Matrix Trust does not earn float when payments or distributions are made by direct deposit (ACH) or by a federal funds wire transfer.

Matrix Trust will mail a distribution check to a plan participant or beneficiary on the payable date (the date printed on the check). On the same day, Matrix Trust debits the Client Account in the amount of the check. Matrix Trust will earn float on the amount of the check from the date the check is issued until the date the check is presented and paid.

Where Matrix Trust has been directed to establish periodic or recurring distribution checks, such payments are typically mailed to plan participants and beneficiaries prior to the payable date (for example, periodic payments are mailed six business days prior to the payable date). Matrix Trust debits the Client Account in the amount of the checks on the payable date. Matrix Trust is able to mail the checks before assets are withdrawn from the Client Account and sold because periodic distributions are of a predictable amount (generally a set dollar amount each payment cycle). Matrix Trust will only earn float on the amount of the check from the date the check is payable until the date check is presented and paid.

On a periodic basis, Matrix Trust will notify clients of outstanding periodic and lump sum distribution checks that Matrix Trust has issued. If an originally-issued check is reported lost or missing, Matrix Trust will re-issue the check upon receipt

of direction from the client and/or other authorized party to instruct on the account. If the participant or beneficiary does not negotiate the check within a reasonable time, Matrix Trust reserves the right to re-credit (redeposit) the payment to the Client Account and to invest these funds at the direction of a Client Account fiduciary, or to disburse the funds as directed or otherwise in accordance with applicable law.

3. Rate On Float Earnings

The rate at which Matrix Trust earns float over the time periods described above is generally comparable to the effective Federal Funds Rate as reported in the Wall Street Journal over the applicable time frame.

C. INVESTMENT RELATED ADMINISTRATIVE FEE SERVICES (if elected and to the extent applicable)

Where Matrix Trust has been so authorized, Matrix Trust through its affiliate and registered broker dealer, MSCS Financial Services Division of Broadridge Business Process Outsourcing, LLC ("**MSCS Financial**"), may receive fees from certain investment companies, mutual funds, stable value funds, guaranteed investment contracts, guaranteed annuity contracts and similar investment vehicles (the "**Funds**") in the form of 12b-1 fees or firm concessions (*i.e.*, finders fees), or in the form of shareholder servicing, sub-transfer agent and sub-accounting fees ("**Mutual Fund Fees**").

Matrix Trust will pass through 100% of Mutual Fund Fees to OneAmerica. The amount of such Mutual Fund Fees as paid by the Funds is subject to change at any time.

If the Plan is trading on Matrix Trust's trading platform and Mutual Fund Fees are available for the plan investment options selected for the Plan, available Mutual Fund Fees are identified on the Plan fund list in the Sub-TA and 12b-1 columns for each investment option listed and is paid by the investment provider offering the fund.

D. CERTAIN BROKERAGE ACCOUNTS (if elected and to the extent applicable)

If your Plan offers a self-directed brokerage account ("**SDBA**") option to Plan participants, SDBA balances remain subject to the services and fees described under other sections of this schedule, to the extent applicable.

Also, where the named Fiduciary of the Plan and/or its authorized representative(s) has directed Matrix Trust to establish an SDBA that is a TD Ameritrade Brokerage Account, pursuant to an agreement with TD Ameritrade, Matrix Settlement and Clearing Services, LLC ("**MSCS**") will provide account reconciliation services, account set-up and maintenance, movement of cash between the Plan's core accounts and SDBAs, and related administrative tasks. For these services and others, MSCS will receive quarterly, in arrears, an amount equal to 0.0175% (1.75 basis points) of the value of Plan assets in the TD Ameritrade SDBAs during such quarter, based on the average of the Plan assets held in the SDBAs on the last business day of each month in the applicable quarter. This rate shall apply for the calendar quarter ending March 2020 and shall decrease as follows to 0.01% (1 basis point) for the calendar quarter ending June 2020, then 0.0075% (0.75 basis points) for the calendar quarter ending September 2020, then 0.005% (0.5 basis points) for the calendar quarter ending December 2020 with subsequent quarters to be calculated at the rate of 0.00375% (0.375 basis points). **TD Ameritrade pays these fees to MSCS.**

In all cases, the fees described above do not include brokerage commissions or other fees payable to TD Ameritrade, or other SDBA provider, who are unaffiliated with Matrix Trust, MSCS and MSCS Financial.

E. RETIREMENT CASH ACCOUNT (if elected and to the extent applicable)

Matrix Trust receives fees with respect to the Retirement Cash Account, to the extent permitted by Applicable Rules, for providing services with respect to the account and the accountholders. Specifically, as provided under an agreement with JPMorgan Chase Bank, N.A. ("**JPMCB**"), Matrix Trust receives a servicing fee in exchange for providing sub-accounting and support services, processing transactions and reconciling aggregate account activity with respect to funds deposited in the Retirement Cash Account with JPMCB. The servicing fee is deducted by Matrix Trust from the total interest paid to Matrix Trust by JPMCB, and is the difference between the total interest rate paid to Matrix Trust by JPMCB and the stated interest rate paid to plan participants on their investments in the Retirement Cash Account. In other words, the servicing fees paid to Matrix Trust reduce the interest rate paid to plan participants by a corresponding amount.

At each rate of total interest paid by JPMCB (from 0.00% up to 5.00%), the share of such total interest that is credited as the "stated rate" of interest to plan participants on their Retirement Cash Account balances, and the share of such total interest that is retained by Matrix Trust as its servicing fees, are set forth under a pre-established rate table. Such servicing fees are based on the average daily deposit balances in the Retirement Cash Account. The rate of the servicing fee that Matrix Trust receives may exceed the interest rate or effective yield the depositors receive from the Retirement Cash Account. No portion of these servicing fees will reduce or offset the fees otherwise due to Matrix Trust unless required by Applicable Rules. "Applicable Rules" means all applicable federal and state laws, rules and regulations, rules of any self-regulatory organization, and the constitution and applicable rules, regulations, customs, and usages of the exchange or market and its clearinghouse. Unless stated otherwise in Schedule 1, other than the applicable fees charged on plan custody accounts, there are no separate charges, fees (other than the servicing fee described above), or commissions paid to Matrix Trust or its affiliates as a result of, or otherwise in connection with, the Retirement Cash Account.

For more specific information, the current interest rate payable at any given time will be available online at:
<https://www.broadridge.com/resource/matrix-trust-company>.

A copy of the full rate table and the current interest rate payable at any given time may be obtained by calling Matrix Trust Client Services at 888-947-3472.

Current Retirement Cash Account disclosures and rates payable are likewise available online at:
<https://www.broadridge.com/assets/pdf/broadridge-msb-retirement-cash-account.pdf>.

As of December 1, 2020, the total rate of interest being paid by JPMCB is 0.28%, and as provided in the rate table, this means that Matrix Trust's servicing fees are equal to 0.20%. However, as the total interest rate paid by JPMCB increases, the servicing fees will likewise increase, and if the total interest rate paid by JPMCB decreases, the servicing fees will likewise decrease. While the full rate table is available and accessible (as explained above), it is very voluminous. However, the following summarizes the general ranges of the stated interest rates paid to Plan participants and Matrix Trust's servicing fees at various rates of total interest, as determined under the rate table:

When the total rate of interest paid (annually) by JPMCB is between:	The stated interest rate paid to plan participants ranges from:	The servicing fees retained by Matrix Trust ranges from:
0.00% and 0.50%	0.00% and 0.13%	0.00% and 0.37%
0.51% and 1.00%	0.13% and 0.25%	0.38% and 0.75%
1.01% and 2.00%	0.26% and 0.50%	0.75% and 1.50%
2.01% and 3.00%	0.51% and 1.23%	1.50% and 1.77%
3.01% and 4.00%	1.23% and 1.90%	1.78% and 2.10%
4.01% and 5.00%	1.91% and 2.63%	2.10% and 2.37%

Based upon the total rates of interest paid by JPMCB in recent periods, and the total rates of interest that Matrix Trust generally expects that JPMCB would intend to pay in the future, a reasonable estimate of the servicing fees retained by Matrix Trust would usually be between 0% and 2.37%. However, we should emphasize that Matrix Trust cannot control or predict the total interest rates payable by JPMCB in the future, which makes it impossible to predict the rate of Servicing Fees we will receive at any given time. Therefore, to help you make a fully informed decision about whether to utilize (or continue utilizing) the Retirement Cash Account at any given time, we strongly recommend that you access the online materials or contact Matrix Trust Client Services as described above, to be provided with more detailed information.

F. MODELTOOL(K)IT™ SERVICES (if elected and to the extent applicable)

Where the named Fiduciary of the Plan and/or its authorized representative(s) has entered into an agreement to subscribe to ModelTool(k)it™ ("MTK") for the Plan, a total annual fee of 0.025% (2.5 basis points), the ModelTool(k)it™ Platform Fee, charged monthly in arrears applies to the market value of assets covered under the MTK agreement. This fee is deducted directly from the Plan account from the assets covered under the MTK agreement. Of the total fee, a third-party subcontractor of MSCS, Envestnet Retirement Services ("ERS") receives approximately (no less than) 0.02% (2.0 basis points) as its compensation for providing services detailed in the Plan's MTK agreement, and MSCS itself will retain approximately (no more than) 0.005% (0.5 basis points) for facilitating MTK as a service on the MSCS trading platform. All other applicable services and fees will continue to apply, except that if investments subject to the MTK agreement generate Mutual Fund Fees, MSCS Financial will collect such Mutual Fund Fees as compensation, but Matrix Trust will credit back Administrative Fees in an amount equal to one hundred percent (100%) of such Mutual Fund Fees to the TPA.

G. LEVEL COMPENSATION SERVICES (if elected and to the extent applicable)

Where the named Fiduciary of the Plan has engaged a broker (registered representative) whose firm utilizes the Matrix Trust Level Compensation Services, in addition to any other applicable services and fees, MSCS Financial will serve as Broker of Record for investment transactions, and will retain up to 0.02% (2 basis points) of the Plan's total assets, with such fees coming from any 12b-1 fees and shareholder servicing ("Level Compensation Fees") it collects from Funds on behalf of the broker. For certain Plans whose investment lineup pays differing compensation per investment, brokers may receive Level Compensation Fees based on an approximate weighted average ("Weighted Average") of fees paid by or on behalf of Funds. Where Weighted Average is in place, MSCS Financial may retain an overage in the amount fees received from or on behalf of the Funds. This overage amount may be an amount up to 0.05% (5 basis points) of Plan assets because Weighted Average Level Compensation Fee percentages are set by MSCS on 0.05% (5 basis point) increments. If you have engaged an investment adviser for your plan whose firm utilizes the RIA Remittance Services of the MSCS Level Compensation Services, in addition to any other applicable services and fees, MSCS will be paid a fee of up to 0.015% (1.5 basis points) of the Plan's total assets (also referenced as "Level Compensation Fees"). With respect to brokers, the Level Compensation Fees are in exchange for MSCS Financial's administrative services in collecting and distributing Level

Compensation Fees to the broker. With respect to investment advisers, the Level Compensation fees are in exchange for MSCS's administrative services in collecting from the TPA and distributing to the investment adviser the adviser's advisory fees (*i.e.*, facilitating RIA fee remittance services). Per the agreement setting forth the Level Compensation Services between MSCS and the broker-dealer or investment advisory firm, this compensation is deducted from Level Compensation Fees as received from the Plan's Funds.

H. ETF/CLOSED END FUND TRADING SERVICES (if elected and to the extent applicable)

In addition to all other applicable services and fees, if the Plan offers one or more exchange-traded funds ("ETFs") and/or closed end funds ("CEFs") as investment options to Plan participants, a third-party subcontractor of MSCS, Virtu Americas LLC ("Virtu") (formerly known as "Knight Capital Group" or "KCG") receives certain commissions for executing ETF/CEF trades processed on the MSCS trading platform (per the agreement between Matrix Trust/MSCS and the TPA). Per the agreement between Matrix Trust/MSCS and the TPA, the commissions paid to Virtu are generally deducted directly from the Plan account (*i.e.*, "netted" from the ETF/CEF trade) unless, per the agreement between Matrix Trust/MSCS and the TPA, the TPA is invoiced for such charges instead. Virtu's commission charges, as the executing ETF/CEF broker, are:

- \$0.01 per share per ETF/CEF trade received by MSCS prior to 3:00 pm Eastern Time, or one (1) hour prior to market close, with market on close execution; or
- \$0.005 per share per ETF/CEF trade processed during market hours (with pricing changing throughout the trading day).

MSCS (along with Matrix Trust and MSCS Financial) does not retain any of Virtu's commissions described above; rather, Virtu receives 100% of these additional ETF/CEF commissions. However, Virtu's commissions are in addition to, not in lieu of, all other applicable fees, including but without limitation the Administrative Fees described above under the heading "Investment Related Administrative Fee Services".

ETF/CEF trade instructions may be received by MSCS after market close. When this occurs, the transaction will be processed the following business day. Because the price of an investment may change between the receipt of instructions and the execution of instructions, a transaction may result in either a shortfall or an excess. If the transaction results in a shortfall, Matrix Trust will promptly cover the shortfall to the extent necessary to process the transaction based on the price that would have been paid or realized by the Plan had the transaction been processed on the day Matrix received instruction. If the transaction results in an excess, Matrix Trust will retain the amount of the excess in a suspense account to be applied to future shortfalls.

I. STALE DATED CHECK SERVICES

Matrix Trust provides services to assist with the resolution of Plan participants' stale dated checks, as directed by an Authorized Person. Where the named Fiduciary of the Plan and/or its authorized representative(s) has elected to utilize certain services to assist in the resolution of participant related stale dated checks, a subcontractor to Matrix Trust and MSCS, PBI Research Services, Pension Benefit Information, LLC ("PBI"), receives \$40 per check as direct compensation which is deducted directly from the Plan (*i.e.*, from the stale check amount). This compensation to PBI is for its services which includes conducting a search, related communications, and distributing funds to affected Plan participants. All float income to Matrix Trust will cease with respect to the stopped check from the time the check is stopped, but float income related to the period beginning with the issuance of the distribution check through the date the check was stopped will be retained by Matrix Trust.

J. PROCEEDS OF CORRECTIVE TRANSACTIONS

Matrix Trust receives investment instructions and, although rare, occasional errors in the instructions themselves or the processing of instructions may occur. The causes of such errors may include, but are not necessarily limited to, entry of an erroneous trade ("buy" vs. "sell," or vice versa), dollar amount or number of shares, incorrect identification of the security, duplication of orders (such as, instructions entered more than once), or untimely transmittal of instructions. When an error is discovered, action is taken to correct the transaction in a manner intended to avoid or minimize harm or disruption to the Plan. Because the price of an investment may change between the processing of erroneous instructions and the execution of corrective instructions, a corrective transaction may result in either a shortfall or an excess. If the error originates with Matrix Trust and the corrective transaction results in a shortfall, Matrix Trust will promptly cover the shortfall to the extent necessary to process the transaction based on the price that would have been paid or realized by the Plan had the transaction been processed as instructed. If the corrective transaction results in an excess, Matrix Trust will retain the amount of the excess in a suspense account to be applied to future shortfalls resulting from trade errors. Consistent with positions expressed by the U.S. Department of Labor, any such excess proceeds may be treated as compensation to Matrix Trust for its services. The amount of any such compensation cannot be predicted in advance, but generally is not expected to be material over time.

II. NON-MONETARY COMPENSATION

Matrix Trust and MSCS Financial maintain policies that place limits on the circumstances under which gifts, travel and entertainment may be accepted by employees. **Other than for modest gifts given or received in the normal course of business, employees are not permitted to receive gifts from clients and vendors.** Under the 408(b)(2) regulation, a service provider's acceptance of these non-monetary items may involve the receipt of indirect compensation from a plan where the value attributable to the plan, on a pro rata

basis, exceeds \$250 over the term of the plan's contract with the service provider. In light of the policies, Matrix Trust does not anticipate that the value of any such non-monetary items will approach the \$250 threshold with respect to the plan.

III. MISCELLANEOUS

Matrix Trust reserves the right to decline acceptance of any Plan assets not discussed during the original account acceptance process. Matrix Trust reserves the right to amend this fee schedule at any time with a 30 day advance written notice to the Plan Sponsor, or such other time period as specified within the Client Agreement covering the Services.

DECEMBER 31, 2021

EIN: 36-3768815

PLAN NUMBER: 001

NAME: FIRST TRUST PORTFOLIOS LP 401(K) PLAN

(a)	(b)	(c)	(d)	(e)
IDENTITY OF ISSUE, BORROWER, LESSOR OR SIMILAR PARTY	QUANTITY	DESCRIPTION OF INVESTMENT including maturity date, rate of interest, collateral, par or maturity value	COST	CURRENT VALUE
Insurance Company General Account				
Corporate Stocks (Other Than Employer Securities) – Common				
Activision Blizzard Inc	1,024.000	Activision Blizzard Inc	64,735.64	68,126.72
Aemetis Inc	25.000	Aemetis Inc	496.83	307.50
Aerojet Rocketdyne Holdings Inc	12.000	Aerojet Rocketdyne Holdings Inc	507.72	561.12
Airbnb Inc Class A	98.000	Airbnb Inc Class A	14,946.66	16,316.02
Akamai Technologies	190.000	Akamai Technologies	21,880.40	22,237.60
Alcoa Inc	116.000	Alcoa Inc	4,077.40	6,911.28
Alibaba Group Holding-Sp ADR	931.000	Alibaba Group Holding-Sp ADR	144,587.55	110,593.49
Allbirds Inc-CL A	4.000	Allbirds Inc-CL A	93.56	60.32
Ally Financial Inc	919.000	Ally Financial Inc	50,393.37	43,753.59
Alphabet Inc CL A	13.000	Alphabet Inc CL A	31,089.43	37,661.52
Altria Group Inc	100.000	Altria Group Inc	4,793.00	4,739.00
Amazon Com Inc	53.000	Amazon Com Inc	168,076.64	176,720.02
Amn Healthcare Services	13.000	Amn Healthcare Services	1,492.92	1,590.29
Annaly Capital Management Inc	170.000	Annaly Capital Management Inc	1,533.75	1,329.40
Apellis Pharmaceuticals Inc	200.000	Apellis Pharmaceuticals Inc	9,660.00	9,456.00
AppHarvest Inc	300.000	AppHarvest Inc	1,800.00	1,167.00
Apple Inc	6,819.194	Apple Inc	860,741.19	1,210,884.28
Aptinyx Inc	300.000	Aptinyx Inc	765.00	801.00
Arch Resources Inc	1,600.000	Arch Resources Inc	117,663.21	146,112.00
Arconic Corp	25.000	Arconic Corp	873.25	825.25
Arcus Biosciences Inc	200.000	Arcus Biosciences Inc	4,826.00	8,094.00
Ares Capital Corp	125.000	Ares Capital Corp	2,385.00	2,648.75
Arhaus Inc	128.000	Arhaus Inc	1,587.12	1,696.00
Array Technologies Inc	2,500.000	Array Technologies Inc	38,250.00	39,225.00
Asml Holding Nv	4.000	Asml Holding Nv	2,689.16	3,184.56
Avalonbay Communities Inc.	21.000	Avalonbay Communities Inc.	5,102.97	5,304.39
Baidu Inc	88.000	Baidu Inc	16,963.76	13,093.52
Baker Hughes Co	4,935.000	Baker Hughes Co	109,190.45	118,736.10
Bakkt Holdings Inc	900.000	Bakkt Holdings Inc	12,927.79	7,659.00
Bank Of America Corp	1,000.000	Bank Of America Corp	49,814.12	44,490.00
Beyond Meat Inc	2,450.000	Beyond Meat Inc	269,104.45	159,642.00
Bill.Com Holdings Inc	97.000	Bill.Com Holdings Inc	14,186.25	24,167.55
Biomarin Pharmaceutical	50.000	Biomarin Pharmaceutical	3,880.00	4,417.50
Blackberry Ltd	3,700.000	Blackberry Ltd	31,783.00	34,595.00
BlackRock Cap and Income Str	100.000	BlackRock Cap and Income Str	2,025.00	2,212.00
Blackrock Innovation & Growt	100.000	Blackrock Innovation & Growt	1,415.85	1,454.00
Blackstone Inc	40.000	Blackstone Inc	3,640.40	5,175.60
Block Inc A	335.000	Block Inc A	72,042.60	54,105.85
Boeing Company	250.000	Boeing Company	57,928.00	50,330.00
Booking Holdings Inc	2.000	Booking Holdings Inc	4,361.45	4,798.46
Boston Beer Co Inc A	175.000	Boston Beer Co Inc A	103,467.23	88,392.50
Bristol-Myers Squibb Co	100.000	Bristol-Myers Squibb Co	5,759.50	6,235.00
Brookfield Asset Management Inc	167.000	Brookfield Asset Management Inc	7,986.02	10,083.46
Cameco Corp	300.000	Cameco Corp	4,800.00	6,543.00
Capital One Financial Corp Com	26.000	Capital One Financial Corp Com	4,090.12	3,772.34
ChampionX Corp	776.000	ChampionX Corp	19,337.92	15,682.96

Assets Held at End of Year
First Trust Portfolios LP 401(k) Plan
a10395
CONSOLIDATED
Tax Number: 363768815
As of December 31, 2021

(a)	(b)	(c)	(d)	(e)
IDENTITY OF ISSUE, BORROWER, LESSOR OR SIMILAR PARTY	QUANTITY	DESCRIPTION OF INVESTMENT including maturity date, rate of interest, collateral, par or maturity value	COST	CURRENT VALUE
Chevron Corp	100.000	Chevron Corp	10,387.00	11,735.00
China Pharma Holdings Inc	200.000	China Pharma Holdings Inc	113.08	96.52
Cigna Corp	323.000	Cigna Corp	67,311.22	74,170.49
Citizens Financial Group	100.000	Citizens Financial Group	4,838.00	4,725.00
Clorox Co.	100.000	Clorox Co.	16,151.50	17,436.00
Cloudflare Inc Class A	270.000	Cloudflare Inc Class A	21,489.30	35,505.00
Coinbase Global Inc -Class A	847.000	Coinbase Global Inc -Class A	214,581.13	213,757.39
Compass Pathways Plc	1,065.000	Compass Pathways Plc	31,045.92	23,536.50
Conocophillips	100.000	Conocophillips	5,488.00	7,218.00
Contextlogic Inc A	300.000	Contextlogic Inc A	3,335.97	933.00
Continental Resources Inc	77.000	Continental Resources Inc	2,397.78	3,446.52
Corbus Pharmaceuticals Holdi	125.000	Corbus Pharmaceuticals Holdi	222.50	76.96
Costco Wholesale Corp-New	90.000	Costco Wholesale Corp-New	34,684.20	51,093.00
Coterra EnerCoterra Energy Inc	4,140.000	Coterra EnerCoterra Energy Inc	91,867.00	78,660.00
Crispr Therapeutics AG	200.000	Crispr Therapeutics AG	21,401.03	15,156.00
Cronos Group Inc	200.000	Cronos Group Inc	1,494.00	784.00
Crowdstrike Holdings Inc - A	400.000	Crowdstrike Holdings Inc - A	90,304.00	81,900.00
CVS Health Corp	300.000	CVS Health Corp	26,610.00	30,948.00
Cytrx Corp	50.000	Cytrx Corp	82.00	25.25
Datadog Inc Class A	10.000	Datadog Inc Class A	895.80	1,781.10
Deere & Co.	146.422	Deere & Co.	53,934.18	50,206.64
Dish Network Corp	1,165.000	Dish Network Corp	50,502.75	37,792.60
Disney Walt Co	185.000	Disney Walt Co	32,591.45	28,654.65
Docusign Inc	225.000	Docusign Inc	24,678.83	34,269.75
Draftkings Inc - Cl A	3,310.000	Draftkings Inc - Cl A	156,775.99	90,925.70
Dropbox Inc Class A	777.000	Dropbox Inc Class A	20,769.21	19,067.58
Dutch Bros Inc-Class A	11.000	Dutch Bros Inc-Class A	610.61	560.01
Eagle Point Credit Co Inc	83.000	Eagle Point Credit Co Inc	1,119.67	1,162.00
Ehave Inc	11,220.000	Ehave Inc	838.13	117.70
Elastic Nv	32.000	Elastic Nv	3,721.28	3,938.88
Eli Lilly & Company	150.000	Eli Lilly & Company	29,883.00	41,433.00
Envista Holdings Corp	476.000	Envista Holdings Corp	20,734.56	21,448.56
Eog Resources Inc	190.000	Eog Resources Inc	16,887.73	16,877.70
Ericsson L M Telephone Co ADR B	2,900.000	Ericsson L M Telephone Co ADR B	38,976.00	31,523.00
Etsy Inc	180.000	Etsy Inc	30,069.00	39,409.20
Exact Sciences Corp	384.000	Exact Sciences Corp	40,145.98	29,886.72
Expedia Group Inc	28.000	Expedia Group Inc	4,718.45	5,060.16
Exponet Inc.	350.000	Exponet Inc.	31,885.59	40,855.50
Extreme Networks Inc	50.000	Extreme Networks Inc	555.00	785.00
Fannie Mae	1,000.000	Fannie Mae	2,070.00	820.10
Farmland Partners Inc	600.000	Farmland Partners Inc	7,249.12	7,170.00
Fidelity National Information	235.000	Fidelity National Information	28,198.12	25,650.25
Figs Inc-Class A	529.000	Figs Inc-Class A	14,004.32	14,579.24
First Horizon Corp	9.000	First Horizon Corp	167.04	146.97
Fiverr International Ltd	40.000	Fiverr International Ltd	6,082.42	4,548.00
Ford Motor Co New	7,000.000	Ford Motor Co New	94,005.00	145,390.00
Freeport-Mcmoran Inc	6,947.000	Freeport-Mcmoran Inc	278,408.18	289,898.31
Fubotv Inc	60.000	Fubotv Inc	1,969.20	931.20
Fulton Finl Corp Pa	5.000	Fulton Finl Corp Pa	83.90	85.00
Galera Therapeutics Inc	100.000	Galera Therapeutics Inc	822.00	459.00
Garmin Ltd	100.000	Garmin Ltd	14,087.00	13,617.00
Generac Holdings Inc	117.000	Generac Holdings Inc	47,008.26	41,174.64
General Electric Co	125.000	General Electric Co	12,950.00	11,808.75
Gilead Sciences Inc	30.000	Gilead Sciences Inc	1,986.90	2,178.30
Gladstone Land Corp	900.000	Gladstone Land Corp	24,868.78	30,384.00
Globalstar Inc	500.000	Globalstar Inc	1,017.50	580.00
Gohealth Inc Class A	876.000	Gohealth Inc Class A	9,802.44	3,320.04
Goldman Sachs Group Inc	410.000	Goldman Sachs Group Inc	161,826.43	156,845.50

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Goosehead Insurance Inc -A	60.000	Goosehead Insurance Inc -A	5,118.00	7,804.80
Guardant Health Inc	40.000	Guardant Health Inc	4,992.00	4,000.80
Himax Technologies Inc- ADR	300.000	Himax Technologies Inc- ADR	4,220.85	4,797.00
Honeywell International	50.000	Honeywell International	10,389.50	10,425.50
Howmet Aerospace Inc	100.000	Howmet Aerospace Inc	3,377.00	3,183.00
Huntington Bancshares	9.000	Huntington Bancshares	135.42	138.78
II VI Inc	10,613.000	II VI Inc	699,497.21	725,186.29
Innoviva Inc	100.000	Innoviva Inc	1,600.00	1,725.00
Inseego Corp	200.000	Inseego Corp	1,634.00	1,166.00
Insmed Inc	1,000.000	Insmed Inc	25,176.40	27,240.00
Intest Corp	200.000	Intest Corp	2,500.00	2,544.00
Intl Business Machines Inc	100.000	Intl Business Machines Inc	12,175.00	13,366.00
Invivo Therapeutics Holdings	72.000	Invivo Therapeutics Holdings	50.69	32.84
Jazz Pharmaceuticals PLC	62.000	Jazz Pharmaceuticals PLC	10,790.69	7,898.80
JPMorgan Chase & Co	1,947.000	JPMorgan Chase & Co	316,828.35	308,307.45
Juniper Networks Inc	137.000	Juniper Networks Inc	4,018.29	4,892.27
Just Eat Takeaway-Spons ADR	100.000	Just Eat Takeaway-Spons ADR	1,803.00	1,076.00
Kandi Technologies Inc	432.000	Kandi Technologies Inc	2,142.72	1,386.72
Kohl's Corp	1,500.000	Kohl's Corp	82,590.00	74,085.00
Kyndryl Holdings Inc	20.000	Kyndryl Holdings Inc	571.50	362.00
Lemonade Inc	76.000	Lemonade Inc	4,419.76	3,200.36
Lexinfintech Holdings L ADR	200.000	Lexinfintech Holdings L ADR	1,386.66	772.00
Liberty Media Group Liberty Formula One C	78.000	Liberty Media Group Liberty Formula O	4,065.67	4,932.72
Lightspeed Commerce Inc	250.000	Lightspeed Commerce Inc	23,170.00	10,107.50
Lineage Cell Therapeutics Inc	500.000	Lineage Cell Therapeutics Inc	1,250.00	1,225.00
Link Motion Inc - Spon ADR (delisted)	100.000	Link Motion Inc - Spon ADR (delisted)	0.00	0.00
Live Nation Entertainment Inc	40.000	Live Nation Entertainment Inc	4,073.13	4,787.60
LL Floring Holdings Inc	2,900.000	LL Floring Holdings Inc	61,869.50	49,503.00
London Stock Exchg-Unsp ADR	807.000	London Stock Exchg-Unsp ADR	21,982.68	19,037.13
Lucid Group Inc	74.000	Lucid Group Inc	2,787.54	2,815.70
Lululemon Athletica Inc	2.000	Lululemon Athletica Inc	758.72	782.90
Lyft Inc A	55.000	Lyft Inc A	2,687.80	2,350.15
Macy's Inc	1,200.000	Macy's Inc	31,373.00	31,416.00
Magnite Inc	1,077.000	Magnite Inc	33,916.59	18,847.50
Marathon Digital Holdings Inc	1,417.000	Marathon Digital Holdings Inc	72,241.75	46,562.62
Marathon Oil Corp	700.000	Marathon Oil Corp	8,162.00	11,494.00
Marathon Petroleum Corp	17.000	Marathon Petroleum Corp	1,020.17	1,087.83
Medifast Inc	13.000	Medifast Inc	4,220.32	2,722.59
Merida Merger Corp I (lfly 02/07/22)	300.000	Merida Merger Corp I (lfly 02/07/22)	2,998.28	2,997.00
Meta Platforms Inc	126.000	Meta Platforms Inc	38,926.74	42,380.10
Microsoft Corporation	1,321.527	Microsoft Corporation	330,132.67	444,455.96
Microstrategy Inc Class A	30.000	Microstrategy Inc Class A	20,700.00	16,334.70
Mister Car Wash Inc	200.000	Mister Car Wash Inc	3,729.99	3,642.00
Moderna Inc	512.000	Moderna Inc	173,640.04	130,037.76
Morgan Stanley	200.000	Morgan Stanley	17,772.00	19,632.00
Motorola Solutions Inc	9.000	Motorola Solutions Inc	2,177.01	2,445.30
Myriad Genetics Inc	15.000	Myriad Genetics Inc	430.50	414.00
Nektar Therapeutics	3,225.000	Nektar Therapeutics	51,322.18	43,569.75
Nextdoor Holdings Inc	800.000	Nextdoor Holdings Inc	9,374.00	6,312.00
Nextera Energy Inc	150.000	Nextera Energy Inc	13,643.75	14,004.00
NICE Systems Ltd-Spons ADR	17.000	NICE Systems Ltd-Spons ADR	3,882.80	5,161.20
Nicolet Bankshares Inc	4.000	Nicolet Bankshares Inc	307.76	343.00
Northern Oil And Gas Inc	35.000	Northern Oil And Gas Inc	584.84	720.30
Nucor Inc	150.000	Nucor Inc	14,391.00	17,122.50
Nuveen Real Asset Income And	100.000	Nuveen Real Asset Income And	1,573.20	1,612.00
Nvidia Corp	482.034	Nvidia Corp	91,975.28	141,771.02
Oatly Group Ab	2,000.000	Oatly Group Ab	18,044.81	15,920.00
Ocugen Inc	15,000.000	Ocugen Inc	71,747.00	68,250.00

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Omega Healthcare Invs	127.985	Omega Healthcare Invs	4,444.75	3,787.08
Organovo Holdings Inc	1,660.000	Organovo Holdings Inc	11,323.00	6,025.80
Orion Office Reit Inc	7.000	Orion Office Reit Inc	152.37	130.69
Overstock.Com Inc	600.000	Overstock.Com Inc	47,118.00	35,406.00
Paccar Inc	54.000	Paccar Inc	4,618.92	4,766.04
Palantir Technologies Inc A	1,303.000	Palantir Technologies Inc A	26,024.12	23,727.63
Palo Alto Networks Inc	35.000	Palo Alto Networks Inc	12,777.80	19,486.60
Paypal Holdings Inc	594.000	Paypal Holdings Inc	150,928.60	112,016.52
Pct Ltd	198,000.000	Pct Ltd	3,653.10	4,930.20
Peloton Interactive Inc-A	1,310.000	Peloton Interactive Inc-A	65,156.40	46,845.60
Penn National Gaming	772.000	Penn National Gaming	61,559.28	40,028.20
Pennantpark Floating Rate Capital Ltd	100.000	Pennantpark Floating Rate Capital Ltd	1,239.00	1,277.00
Phillips 66	1,000.000	Phillips 66	83,230.00	72,460.00
Phillips Edison & Company In	118.000	Phillips Edison & Company In	3,520.14	3,898.72
Pinterest Inc- Class A	500.000	Pinterest Inc- Class A	31,880.00	18,175.00
Planet Labs PBC	1,000.000	Planet Labs PBC	9,646.96	6,150.00
Popular Inc	615.000	Popular Inc	49,990.28	50,454.60
Portillo'S Inc-Cl A	30.000	Portillo'S Inc-Cl A	1,327.90	1,126.20
Prologis Inc	18.000	Prologis Inc	2,410.80	3,030.48
Public Storage	7.000	Public Storage	2,189.48	2,621.92
Pulte Group Inc	100.000	Pulte Group Inc	5,500.00	5,716.00
Purecycle Technologies Inc	20,325.000	Purecycle Technologies Inc	219,274.50	194,510.25
Qualcomm	44.000	Qualcomm	5,885.00	8,046.28
Qualtrics International-Cl A	2,000.000	Qualtrics International-Cl A	67,354.60	70,800.00
Rapid7 Inc	175.000	Rapid7 Inc	14,351.75	20,595.75
Realty Income Corp	77.497	Realty Income Corp	5,166.44	5,548.01
Redfin Corp	200.000	Redfin Corp	10,448.17	7,678.00
Regenxbio Inc	100.000	Regenxbio Inc	3,354.00	3,270.00
Revive Therapeutics Ltd	500.000	Revive Therapeutics Ltd	198.50	134.00
RH	44.000	RH	28,072.00	23,581.36
Rivian Automotive Inc-A	135.000	Rivian Automotive Inc-A	15,365.92	13,998.15
Robinhood Markets Inc - A	2,000.000	Robinhood Markets Inc - A	34,059.00	35,520.00
Roblox Corp -Class A	100.000	Roblox Corp -Class A	10,356.00	10,316.00
Rock Creek Pharmaceuticals Inc	16.000	Rock Creek Pharmaceuticals Inc	0.06	0.00
Rockwell International	79.000	Rockwell International	21,110.26	27,559.15
Roku Inc	290.000	Roku Inc	94,801.52	66,178.00
Sabre Corp	500.000	Sabre Corp	6,635.00	4,295.00
Sage Therapeutics Inc	1,000.000	Sage Therapeutics Inc	43,340.00	42,540.00
Salesforce.Com Inc	981.000	Salesforce.Com Inc	223,383.51	249,301.53
Sarepta Therapeutics Inc	275.000	Sarepta Therapeutics Inc	20,652.50	24,763.75
Sea Ltd-ADR	4.000	Sea Ltd-ADR	951.05	894.84
Servicenow Inc	4.000	Servicenow Inc	1,919.60	2,596.44
Sharecare Inc	1,000.000	Sharecare Inc	7,270.00	4,490.00
Sibanye Gold Spon ADR	1,000.000	Sibanye Gold Spon ADR	13,444.95	12,540.00
SL Green Rlty Corp (slg 01/24/22)	25.421	SL Green Rlty Corp (slg 01/24/22)	1,820.03	1,822.69
Smith & Wesson Brands Inc	38.000	Smith & Wesson Brands Inc	893.20	676.40
SoFi Technologies Inc	2,300.000	SoFi Technologies Inc	41,306.23	36,363.00
Solid Power Inc	1,100.000	Solid Power Inc	14,311.00	9,614.00
Sotera Health Co	1,097.000	Sotera Health Co	28,170.47	25,834.35
Stanley Black and Decker Inc	3.000	Stanley Black and Decker Inc	567.66	565.86
Stereotaxis Inc	400.000	Stereotaxis Inc	2,719.78	2,480.00
Sysco Corp	360.000	Sysco Corp	29,343.60	28,278.00
Taiwan Semiconductor-Sp ADR	869.984	Taiwan Semiconductor-Sp ADR	99,417.23	104,667.78
Target Corp	45.000	Target Corp	10,054.85	10,414.80
Teladoc Health Inc	910.000	Teladoc Health Inc	114,817.20	83,556.20
Tellurian Inc	2,300.000	Tellurian Inc	6,394.00	7,084.00
Tesla Inc	10.000	Tesla Inc	6,046.90	10,567.80
Texas Mineral Resources Corp	945.000	Texas Mineral Resources Corp	1,984.50	1,861.65

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The Mosaic Co	100.000	The Mosaic Co	3,477.00	3,929.00
Tilray Brands Inc	3,540.000	Tilray Brands Inc	54,786.44	24,886.20
Tjx Companies	100.000	Tjx Companies	6,727.00	7,592.00
Uber Technologies Inc	5,850.000	Uber Technologies Inc	256,118.49	245,290.50
United Airlines Holdings Inc	75.000	United Airlines Holdings Inc	3,076.69	3,283.50
Universal Display Corp	4.000	Universal Display Corp	845.28	660.12
Upstart Holdings Inc	200.000	Upstart Holdings Inc	45,380.89	30,260.00
US Physical Therapy	339.000	US Physical Therapy	39,840.62	32,391.45
US Silica Holdings Inc	5,358.000	US Silica Holdings Inc	59,087.23	50,365.20
Valero Energy Corp New	100.000	Valero Energy Corp New	7,733.00	7,511.00
Vertex Pharmaceuticals	130.000	Vertex Pharmaceuticals	27,138.80	28,548.00
ViacomCBS Inc (para 02/17/22)	2,107.000	ViacomCBS Inc (para 02/17/22)	84,355.30	63,589.26
Vici Properties Inc	96.000	Vici Properties Inc	2,803.48	2,890.56
Viking Therapeutics Inc	85.000	Viking Therapeutics Inc	501.49	391.00
Vipshop Holdings Ltd - Ads	200.000	Vipshop Holdings Ltd - Ads	2,600.00	1,680.00
Visa Inc Class A Shares	10.000	Visa Inc Class A Shares	1,927.63	2,167.10
Volta Inc	150.000	Volta Inc	1,272.36	1,101.00
Vontier Corp	1,000.000	Vontier Corp	34,720.00	30,730.00
Voya Asia Pacific High Div Equity Income Fund	100.000	Voya Asia Pacific High Div Equity Inc	955.00	811.00
Wabtec	5.000	Wabtec	405.60	460.55
Walmart Inc	200.000	Walmart Inc	28,800.00	28,938.00
Waterdrop Inc	300.000	Waterdrop Inc	946.95	414.00
Westport Innovations Inc	10,800.000	Westport Innovations Inc	60,722.83	25,596.00
Winnebago Inds Inc	25.000	Winnebago Inds Inc	1,733.25	1,873.00
Wix.com Ltd	8.000	Wix.com Ltd	2,019.52	1,262.32
Workhorse Group Inc	1,000.000	Workhorse Group Inc	8,140.00	4,360.00
Workspoint Ltd	2,000.000	Workspoint Ltd	12,105.91	4,840.00
Wynn Resorts Ltd	19.000	Wynn Resorts Ltd	1,535.39	1,615.76
Zoom Video Communications-A	100.000	Zoom Video Communications-A	32,128.00	18,391.00
Zynerba Pharmaceuticals Inc	1,000.000	Zynerba Pharmaceuticals Inc	4,950.00	2,880.00
Zynga Inc	100.000	Zynga Inc	950.00	640.00
Partnership / Joint Venture Interests				
America First Multifamily Investors LP	100.000	America First Multifamily Investors L	630.00	643.00
Brookfield Infrastructure PA	27.000	Brookfield Infrastructure PA	1,460.43	1,641.87
Carlyle Group Inc/The	100.000	Carlyle Group Inc/The	4,270.00	5,490.00
Energy Transfer LP	4,118.000	Energy Transfer LP	40,727.02	33,891.14
Magellan Midstream Partners	1,000.000	Magellan Midstream Partners	48,520.00	46,440.00
Nextera Energy Partners LP	25.000	Nextera Energy Partners LP	1,689.00	2,110.00
Participant Loans				
Master Participant Loan	1,226,600.96	Master Participant Loan Interest rate range 5.25% - 7.50%	1,226,600.96	1,226,600.96
Value of Interest in Common / Collective Trusts				
First Trust Target Date Fund 2020 R0	6,916.913	First Trust Target Date Fund 2020 R0	160,629.34	164,899.20
First Trust Target Date Fund 2030 R0	34,488.145	First Trust Target Date Fund 2030 R0	943,389.42	984,291.66
First Trust Target Date Fund 2040 R0	87,785.695	First Trust Target Date Fund 2040 R0	2,608,074.32	2,757,348.68
First Trust Target Date Fund 2050 R0	120,159.822	First Trust Target Date Fund 2050 R0	2,148,704.96	2,267,415.85
Value of Interest in Pooled Separate Accounts				
First Trust High Income Long	4,580.000	First Trust High Income Long	69,982.40	71,402.20

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Value of Interest in Registered Investment Companies				
Aam B&G Sm/Mid Cap Inc Grwth	3.000	Aam B&G Sm/Mid Cap Inc Grwth	75.57	78.57
Aberdeen Standard Physical Platinum Shares ETF	100.000	Aberdeen Standard Physical Platinum S	9,581.00	8,990.00
Adams Diversified Equity Fund	75.000	Adams Diversified Equity Fund	1,434.75	1,455.75
Advisorshares Pure US Cann	8,000.000	Advisorshares Pure US Cann	285,057.21	204,720.00
Alger Mid Cap 40 ETF	78.000	Alger Mid Cap 40 ETF	1,669.61	1,558.13
Alger Small Cap Focus Z	319.513	Alger Small Cap Focus Z	9,775.72	8,486.27
Allspring Emerging Markets Equity Fund A	200,608.920	Allspring Emerging Markets Equity Fun6	241,476.76	5,711,335.95
Allspring Emerging Markets Equity Fund Institutional	0.023	Allspring Emerging Markets Equity Fun	0.80	0.68
Amplify Cwp Enhanced Dividend	100.000	Amplify Cwp Enhanced Dividend	3,676.99	3,819.00
Ark Fintech Innovation ETF	587.000	Ark Fintech Innovation ETF	28,798.22	23,978.95
Ark Genomic Revolution ETF	347.000	Ark Genomic Revolution ETF	27,579.56	21,250.28
Ark Innovation ETF	643.000	Ark Innovation ETF	70,540.34	60,821.37
Avantis US Small Cap Value	29.000	Avantis US Small Cap Value	2,243.51	2,312.46
BlackRock Enhanced Equity Dividend Trust	389.000	BlackRock Enhanced Equity Dividend Tr	3,991.14	3,921.12
BlackRock Health Sci Tr li	50.000	BlackRock Health Sci Tr li	1,352.50	1,268.00
Boulder Growth & Income Fund	200.000	Boulder Growth & Income Fund	2,726.00	2,842.00
Clearbridge Allcap Grwth ESG ETF	25.000	Clearbridge Allcap Grwth ESG ETF	1,210.00	1,267.05
Columbia Acorn Inst	493,575.404	Columbia Acorn Inst	7,932,508.54	7,018,642.24
Columbia Dividend Income Fund Instl 3	393.154	Columbia Dividend Income Fund Instl 3	11,780.31	12,667.42
Columbia Small Cap Growth I3	121.199	Columbia Small Cap Growth I3	4,023.57	3,594.76
Columbia Small Cap Index Inst2	102.515	Columbia Small Cap Index Inst2	3,178.07	3,114.41
Direxion Daily Dow Jones Int	25.000	Direxion Daily Dow Jones Int	2,202.50	1,592.50
Direxion Daily Energy Bull 2	16.000	Direxion Daily Energy Bull 2	452.32	474.24
Direxion Daily Gold Miners I	4,660.000	Direxion Daily Gold Miners I	275,944.45	238,312.40
Direxion Daily Real Estate Bear 3x Shares	3,500.000	Direxion Daily Real Estate Bear 3x Sh	136,378.13	112,490.00
Direxion Daily S&P 500 Bear 3X	8,000.000	Direxion Daily S&P 500 Bear 3X	128,479.20	131,040.00
Direxion Daily S&P 500 Bull 3X	750.000	Direxion Daily S&P 500 Bull 3X	100,019.93	107,557.50
Dodge & Cox Stock	93,430.507	Dodge & Cox Stock	22,259,644.71	22,914,766.15
Drx Dly Reg Bank Bull 3X	75.100	Drx Dly Reg Bank Bull 3X	3,897.51	3,732.47
Federated Hermes US Treasury Cash Rvs IS	13,362,523.342	Federated Hermes US Treasury Cash Rv	13,362,523.34	13,362,523.34
First Tr Dyn Eur Eqty Inc	1,513.100	First Tr Dyn Eur Eqty Inc	20,352.19	20,093.97
First Trst Dyn Devel Int ETF	127.000	First Trst Dyn Devel Int ETF	8,932.55	9,260.33
First Trst Nasd Cl Edg Sgiif	537.000	First Trst Nasd Cl Edg Sgiif	54,841.28	55,133.79
First Trust Active Factor Mi	200.000	First Trust Active Factor Mi	5,001.32	5,327.94
First Trust Active Factor Sm	400.000	First Trust Active Factor Sm	10,186.76	11,106.76
First Trust Amex Bio Index	938.000	First Trust Amex Bio Index	151,115.51	151,918.48
First Trust Brazil	230.000	First Trust Brazil	2,731.78	2,651.90
First Trust Capital Strength ETF	10,831.771	First Trust Capital Strength ETF	830,073.28	915,826.24
First Trust Cloud Computing ETF	1,381.000	First Trust Cloud Computing ETF	140,100.36	144,052.11
First Trust Develp Mkt Ex-US	964.000	First Trust Develp Mkt Ex-US	61,270.54	58,476.24
First Trust DJ Internet Ind	2,201.000	First Trust DJ Internet Ind	506,408.29	497,712.13
First Trust Dorsey Wright Dy	3,526.000	First Trust Dorsey Wright Dy	124,197.68	133,423.84
First Trust Dorsey Wright Fo	4,362.762	First Trust Dorsey Wright Fo	199,777.51	214,473.38
First Trust Dow 30 Eql Wght	250.000	First Trust Dow 30 Eql Wght	7,640.00	7,940.28
First Trust Dow Jones Intl	2,236.000	First Trust Dow Jones Intl	98,182.76	80,593.04
First Trust Dw Focus 5 Intl	1,510.752	First Trust Dw Focus 5 Intl	36,615.14	35,080.11
First Trust Eip Carbon Impac	1,250.000	First Trust Eip Carbon Impac	29,357.63	31,018.50
First Trust Emerging Markets	1,875.000	First Trust Emerging Markets	52,209.38	48,919.88
First Trust Energy Alphadex	500.000	First Trust Energy Alphadex	5,255.00	5,960.00
First Trust Energy Infrastru	599.000	First Trust Energy Infrastru	7,888.83	8,110.46
First Trust Enh Short Mat Fd	1,000.000	First Trust Enh Short Mat Fd	59,800.00	59,800.00
First Trust Exchange-Traded	22.000	First Trust Exchange-Traded	849.90	1,052.70
First Trust Exchange Traded Fd II Intl Equity Opp	2,382.000	First Trust Exchange Traded Fd II Int	156,243.81	137,227.02
First Trust Exchange Traded Fund VI Rlsing Div Achievers ETF	21,556.486	First Trust Exchange Traded Fund VI R	1,052,059.28	1,116,410.41
First Trust Expanded Tech	150.000	First Trust Expanded Tech	3,115.46	3,447.00
First Trust Financial Alphad	1,180.000	First Trust Financial Alphad	52,340.44	54,610.40
First Trust Global Tactical	7,425.504	First Trust Global Tactical	171,739.48	171,232.12

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First Trust Global Wind Energy ETF	800.000	First Trust Global Wind Energy ETF	17,368.00	16,192.00
First Trust Health Care Alph	323.000	First Trust Health Care Alph	36,696.03	40,103.68
First Trust Indst/Producers	40.000	First Trust Indst/Producers	1,994.00	2,496.40
First Trust Indxx Inovative	817.000	First Trust Indxx Inovative	34,497.58	35,481.08
First Trust Indxx Meddev	200.000	First Trust Indxx Meddev	5,080.00	5,259.78
First Trust Indxx Nextg ETF	1,684.802	First Trust Indxx Nextg ETF	127,005.73	139,189.24
First Trust Innovation Leade	7,749.000	First Trust Innovation Leade	162,531.47	168,782.52
First Trust Large Cap Core A	5,408.000	First Trust Large Cap Core A	455,245.44	499,344.44
First Trust Large Cap Value AlphaDEX Fund	25.000	First Trust Large Cap Value AlphaDEX	3,130.25	1,747.00
First Trust Low Duration Opp	875.000	First Trust Low Duration Opp	44,968.75	43,741.25
First Trust Lunt Us Factor	2,135.000	First Trust Lunt Us Factor	74,517.41	75,877.90
First Trust Managed Futures Strategy Fund	500.000	First Trust Managed Futures Strategy	24,503.00	22,707.55
First Trust Materials Alphad	1,500.000	First Trust Materials Alphad	91,245.00	93,240.00
First Trust Merger Arbitrage Fund A	966.184	First Trust Merger Arbitrage Fund A	10,000.00	10,019.33
First Trust Mid Cap Core Alp	46.000	First Trust Mid Cap Core Alp	4,459.70	4,733.40
First Trust Mid Cap Growth	878.000	First Trust Mid Cap Growth	59,396.70	65,131.88
First Trust Mid Cap Value	1,200.000	First Trust Mid Cap Value	54,216.00	56,436.00
First Trust Multi-Man Lg Etf	255.000	First Trust Multi-Man Lg Etf	6,526.65	6,925.80
First Trust Multi-Manager Sm	2,135.000	First Trust Multi-Manager Sm	43,448.27	44,381.10
First Trust Nasdaq-100 Ex-Te	1,508.934	First Trust Nasdaq-100 Ex-Te	125,065.27	133,253.96
First Trust Nasdaq 100 EQ WEI	1,945.000	First Trust Nasdaq 100 EQ WEI	206,500.65	230,359.77
First Trust Nasdaq Aba Cbif	2,768.000	First Trust Nasdaq Aba Cbif	162,872.86	163,173.60
First Trust Nasdaq Artificia	325.000	First Trust Nasdaq Artificia	17,861.51	17,903.34
First Trust Nasdaq Bank ETF	6,468.138	First Trust Nasdaq Bank ETF	210,188.66	212,403.30
First Trust NASDAQ Cybersecurity ETF	4,585.139	First Trust NASDAQ Cybersecurity ETF	215,298.96	242,049.49
First Trust Nasdaq Food & Be	500.000	First Trust Nasdaq Food & Be	13,098.52	12,940.00
First Trust Nasdaq Pharmaceu	100.000	First Trust Nasdaq Pharmaceu	2,591.00	2,706.00
First Trust Nasdq 100 Tech I	29.000	First Trust Nasdq 100 Tech I	-4,379.78	5,079.64
First Trust NASDQ Semiconductor	400.000	First Trust NASDQ Semiconductor	25,268.00	32,446.00
First Trust Natural Gas ETF	445.000	First Trust Natural Gas ETF	8,371.33	7,645.10
First Trust New Opportunitie	7,477.000	First Trust New Opportunitie	43,740.45	40,899.19
First Trust North American E	2,433.203	First Trust North American E	59,070.10	60,732.75
First Trust RBA American Ind	5,140.184	First Trust RBA American Ind	213,925.31	231,308.28
First Trust Riverfront Dynam	232.983	First Trust Riverfront Dynam	17,248.14	15,750.35
First Trust Short Dur-I	82,279.885	First Trust Short Dur-I	1,619,685.55	1,610,217.35
First Trust Small Cap Core A	735.000	First Trust Small Cap Core A	67,370.10	71,340.13
First Trust Small Cap Growth	300.000	First Trust Small Cap Growth	20,604.00	22,377.00
First Trust Small Cap Val	2,000.000	First Trust Small Cap Val	103,145.00	106,189.80
First Trust Smid Cap Rising	10,519.346	First Trust Smid Cap Rising	311,949.75	318,777.21
First Trust Stoxx Europe	35.000	First Trust Stoxx Europe	527.95	504.70
First Trust TCW Opp Fixed In	2,723.000	First Trust TCW Opp Fixed In	145,462.66	144,918.06
First Trust Tew Unconstraine	4,900.000	First Trust Tew Unconstraine	130,149.83	129,213.00
First Trust Technology Alpha	71.000	First Trust Technology Alpha	8,360.25	9,373.42
First Trust US Equity Opportunities ETF	3,019.000	First Trust US Equity Opportunities E	358,122.91	369,857.69
First Trust Value Line Dividend Index Fund	15,302.980	First Trust Value Line Dividend Index	618,724.71	658,640.26
First Trust Water Index ETF	1,828.000	First Trust Water Index ETF	155,223.62	173,294.40
Ft Cboe Vest Buff Alloc Grow	40.000	Ft Cboe Vest Buff Alloc Grow	792.32	812.80
Ft Cboe Vest Fund Deep Buff	4,746.000	Ft Cboe Vest Fund Deep Buff	99,998.22	101,137.26
Ft CBOE Vest Fund Of Buffer	12,012.000	Ft CBOE Vest Fund Of Buffer	281,454.00	288,648.36
FT Cboe Vest S&P 500 Dividend Aristocrats Target Income ETF	1,867.000	FT Cboe Vest S&P 500 Dividend Aristoc	102,807.96	106,829.74
Ft Cboe Vest Us Eq Buff Apr	3,900.000	Ft Cboe Vest Us Eq Buff Apr	117,663.00	127,203.18
Ft Cboe Vest US Eq Buff Sep	3,200.000	Ft Cboe Vest US Eq Buff Sep	109,666.56	115,233.28
FT Cboe Vest US Equity Buff	345.000	FT Cboe Vest US Equity Buff	12,861.53	13,448.10
Ft Cboe Vest Us Equity Buffer ETF August	3,400.000	Ft Cboe Vest Us Equity Buffer ETF Aug	126,901.80	131,683.70
Ft Cboe Vest Us Equity Deep	300.000	Ft Cboe Vest Us Equity Deep	10,356.00	10,595.91
Ft Cboe Vest US Equity Enhan	2,000.000	Ft Cboe Vest US Equity Enhan	59,680.00	61,270.40
Ft International Dev Cap Str	350.000	Ft International Dev Cap Str	12,183.50	12,800.59
Ft Nasdaq Tech Dvd Index Fd	1,223.420	Ft Nasdaq Tech Dvd Index Fd	68,855.49	76,891.95

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Ft Skybr Crypt & Dig Econ	1,810.527	Ft Skybr Crypt & Dig Econ	35,030.74	31,104.85
Global X Lithium & Battery Tech ETF	15.000	Global X Lithium & Battery Tech ETF	1,396.50	1,266.60
Grayscale Bitcoin Trust BTC	597.000	Grayscale Bitcoin Trust BTC	19,425.65	20,447.25
Infracap MLP ETF	25.847	Infracap MLP ETF	721.03	666.34
Invesco Kbw Bank Etf	46.000	Invesco Kbw Bank Etf	3,107.30	3,120.64
Invesco Qqq Trust Series 1	50.000	Invesco Qqq Trust Series 1	18,733.81	19,892.50
Invesco S&P 500 Equal Weight	598.912	Invesco S&P 500 Equal Weight	90,026.68	97,472.93
Invesco S&P Midcap Value with Momentum ETF	200.000	Invesco S&P Midcap Value with Momentum	9,562.00	9,771.80
iShares 1-3 Year Treasury Bond	134.000	iShares 1-3 Year Treasury Bond	11,461.43	11,462.36
iShares 20+ Year Treasury Bond	52.000	iShares 20+ Year Treasury Bond	7,722.32	7,705.88
iShares 7-10 Year Treasury Bon	76.000	iShares 7-10 Year Treasury Bon	8,761.24	8,740.00
iShares Biotechnology ETF	25.000	iShares Biotechnology ETF	3,742.25	3,815.50
iShares Core Aggressive Allocation ETF	15.000	iShares Core Aggressive Allocation ET	1,089.00	1,092.30
iShares Core Dividend Growth	1,249.000	iShares Core Dividend Growth	63,242.58	69,419.42
iShares Core MSCI EAFE ETF	339.000	iShares Core MSCI EAFE ETF	25,969.83	25,302.96
iShares Core Msci Emerging	407.000	iShares Core Msci Emerging	26,768.59	24,363.02
iShares Core S&P Small-Cap ETF	728.269	iShares Core S&P Small-Cap ETF	79,929.59	83,394.08
iShares Core S&P Total US Stock Market ETF	917.000	iShares Core S&P Total US Stock Marke	96,980.86	98,100.66
iShares Core U.S. Aggregate Bond ETF	505.000	iShares Core U.S. Aggregate Bond ETF	57,938.65	57,610.40
iShares Expanded Tech Sector ETF	98.000	iShares Expanded Tech Sector ETF	39,886.00	43,023.96
iShares Gold Trust	1,490.000	iShares Gold Trust	53,771.55	51,866.90
iShares iBoxx Investment Grade	94.000	iShares iBoxx Investment Grade	12,460.71	12,456.88
iShares MSCI Emerging Markets	200.000	iShares MSCI Emerging Markets	9,935.78	9,770.00
iShares MSCI France ETF	41.000	iShares MSCI France ETF	1,533.40	1,594.08
iShares MSCI Switzerland ETF	30.000	iShares MSCI Switzerland ETF	1,543.20	1,581.90
Ishares MSCI USA Momentum Fa	90.000	Ishares MSCI USA Momentum Fa	15,193.58	16,363.80
Ishares MSCI USA Quality Fac	493.564	Ishares MSCI USA Quality Fac	64,186.38	71,843.18
iShares Russell 1000 Growth ETF	184.000	iShares Russell 1000 Growth ETF	50,968.00	56,228.56
iShares Russell 2000 ETF	186.000	iShares Russell 2000 ETF	41,956.36	41,375.70
iShares Russell Mid-Cap ETF	511.000	iShares Russell Mid-Cap ETF	39,858.00	42,418.11
iShares Semiconductor ETF	86.000	iShares Semiconductor ETF	40,669.40	46,639.52
iShares SILVER TRUST iShares	800.000	iShares SILVER TRUST iShares	20,792.00	17,208.00
iShares U.S. Healthcare Provid	149.000	iShares U.S. Healthcare Provid	39,954.35	43,251.72
iShares U.S. Home Construction	539.000	iShares U.S. Home Construction	38,584.34	44,693.88
iShares US Treasury Bond ETF	968.000	iShares US Treasury Bond ETF	25,989.06	25,826.24
Janus Henderson Balanced T	1,125.786	Janus Henderson Balanced T	51,896.69	51,684.84
John Hancock III Int Grw A	339,389.280	John Hancock III Int Grw A	12,848,293.60	11,793,777.48
JPMorgan Equity Premium Inco	264.167	JPMorgan Equity Premium Inco	16,475.04	16,692.71
Kraneshares Global Carbon Strategy ETF	10.000	Kraneshares Global Carbon Strategy ET	461.50	509.00
Materials Select Sector Spdr	80.000	Materials Select Sector Spdr	6,894.40	7,248.80
Microsectors Fang Index 3X	27.000	Microsectors Fang Index 3X	1,250.87	1,013.31
Morgan Stanley Inst Growth I	142.871	Morgan Stanley Inst Growth I	12,499.02	10,613.89
Morgan Stanley Inst Intl Advtg I	183.789	Morgan Stanley Inst Intl Advtg I	5,432.14	5,568.81
Morgan Stanley MSIF Inception Portfolio I	160.427	Morgan Stanley MSIF Inception Portfol	4,693.18	3,170.04
NASDAQ Clean Edge Green Energy Index	2,243.004	NASDAQ Clean Edge Green Energy Index	33,590.51	152,456.98
Northern Small Cap Value	290,086.008	Northern Small Cap Value	6,819,135.39	6,181,732.83
Northshore Global Uranium Mi	750.000	Northshore Global Uranium Mi	75,547.50	54,015.00
Oxford Lane Capital Corp	396.000	Oxford Lane Capital Corp	2,904.38	3,053.16
Pimco Active Bond ETF	415.000	Pimco Active Bond ETF	45,899.10	45,405.15
PIMCO Total Return A	426,337.630	PIMCO Total Return A	4,397,349.32	4,378,487.46
Proshares Bitcoin Strategy E	70.000	Proshares Bitcoin Strategy E	2,878.05	2,023.00
Proshares Ultra Basic Materi	90.000	Proshares Ultra Basic Materi	8,975.70	10,052.10
Proshares Ultra Technology	1,800.000	Proshares Ultra Technology	149,886.00	229,212.00
Proshares Ultrapro Dow30	700.000	Proshares Ultrapro Dow30	55,993.00	59,227.00
Proshares Ultrapro QQQ	898.000	Proshares Ultrapro QQQ	117,183.67	149,364.34
Quadratic Deflation Etf	151.000	Quadratic Deflation Etf	3,986.38	3,939.59
Roundhill Ball Metaverse ETF (metv 01/31/22)	122.000	Roundhill Ball Metaverse ETF (metv 01	1,845.69	1,851.96
Schwab Treasury Inflation Protected Sec. Index Fund Sel	4,054.112	Schwab Treasury Inflation Protected S	51,679.92	50,554.78

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Schwab US Dvd Equity ETF	14,471.402	Schwab US Dvd Equity ETF	1,098,699.37	1,169,723.42
Select Sector Spdr Utilities	69.000	Select Sector Spdr Utilities	4,814.12	4,939.02
Simplify Health Care Etf	25.000	Simplify Health Care Etf	701.25	698.75
Small Cap Bull 3X Shares	477.000	Small Cap Bull 3X Shares	40,675.92	40,425.75
Sound Equity Income Etf	41.000	Sound Equity Income Etf	1,024.59	1,066.41
SPDR GOLD TRUST GOLD SHS	10.000	SPDR GOLD TRUST GOLD SHS	1,685.30	1,709.60
SPDR Oil & Gas Export & Prod	20.000	SPDR Oil & Gas Export & Prod	2,030.19	1,917.40
SPDR S&P 500 ETF Trust	19.000	SPDR S&P 500 ETF Trust	8,774.63	9,024.24
SPDR S&P Software & Ser Etf	241.000	SPDR S&P Software & Ser Etf	39,885.50	39,863.81
Sprott Physical Silver Trust	500.000	Sprott Physical Silver Trust	4,394.95	4,010.00
T Rowe Price Blue Chip Growt	70.000	T Rowe Price Blue Chip Growt	2,260.50	2,321.00
T Rowe Price Dividend Growth	200.000	T Rowe Price Dividend Growth	6,277.00	7,069.60
T Rowe Price Equity Income E	200.000	T Rowe Price Equity Income E	6,840.50	7,218.00
T Rowe Price Inst L/C Core	164.862	T Rowe Price Inst L/C Core	11,392.10	11,616.18
T. Rowe Price Global Technology	224.075	T. Rowe Price Global Technology	6,082.18	5,223.19
T. Rowe Price Growth Stock	326,584.995	T. Rowe Price Growth Stock	33,860,601.81	34,722,516.67
T. Rowe Price Mid-Cap Growth	103,429.153	T. Rowe Price Mid-Cap Growth	12,254,384.65	12,136,376.81
Technology Select Sector Spdr	317.000	Technology Select Sector Spdr	48,029.01	55,116.79
Tri Contl Corp	193.000	Tri Contl Corp	6,577.44	6,405.67
Vaneck Indonesia Index Etf	160.000	Vaneck Indonesia Index Etf	3,208.80	3,176.00
Vaneck Rare Earth/Strategic	6.000	Vaneck Rare Earth/Strategic	625.08	673.14
Vaneck Semiconductor Etf	88.000	Vaneck Semiconductor Etf	22,022.49	27,173.52
Vanguard 500 Index Admiral	85.789	Vanguard 500 Index Admiral	33,249.14	37,732.58
Vanguard Balanced Index I	213,243.371	Vanguard Balanced Index I	10,113,120.50	10,453,190.05
Vanguard Developed Markets Index Admiral	0.013	Vanguard Developed Markets Index Admi	0.22	0.21
Vanguard Developed Markets Index Instl	628,341.213	Vanguard Developed Markets Index Instl	10,126,664.24	10,342,496.37
Vanguard Growth ETF	200.000	Vanguard Growth ETF	60,342.00	64,180.00
Vanguard Health Care ETF	160.000	Vanguard Health Care ETF	39,952.00	42,627.20
Vanguard High-Yield Corporate Adm	339,507.357	Vanguard High-Yield Corporate Adm	2,017,852.22	2,020,068.77
Vanguard Inflation-Protected Secs Inv	2,343.586	Vanguard Inflation-Protected Secs Inv	34,133.70	33,958.56
Vanguard Info Tech ETF	98.000	Vanguard Info Tech ETF	30,942.50	44,900.66
Vanguard Institutional Index I	128,814.890	Vanguard Institutional Index I	47,234,940.70	52,271,794.21
Vanguard Instl Trgt Retire 2020 Instl (vtwn.x 2/11/22)	34,642.387	Vanguard Instl Trgt Retire 2020 Instl	954,729.16	946,083.59
Vanguard Instl Trgt Retire 2030 Instl (vtvr.x 2/11/22)	94,465.051	Vanguard Instl Trgt Retire 2030 Instl	2,841,957.60	2,896,298.46
Vanguard Instl Trgt Retire 2040 Instl (vfor.x 2/11/22)	59,045.100	Vanguard Instl Trgt Retire 2040 Instl	1,891,354.24	1,947,897.85
Vanguard Instl Trgt Retire 2050 Instl (vfff.x 2/11/22)	48,620.479	Vanguard Instl Trgt Retire 2050 Instl	1,608,995.24	1,665,737.61
Vanguard Instl Trgt Retire 2060 Instl (vfts.x 2/11/22)	63,869.376	Vanguard Instl Trgt Retire 2060 Instl	2,123,375.11	2,202,854.78
Vanguard Instl Trgt Retire Inc Instl (vtin.x 2/11/22)	11,244.725	Vanguard Instl Trgt Retire Inc Instl	280,079.92	277,969.60
Vanguard Intermediate-Term Treasury Index Admiral Shares	2,343.081	Vanguard Intermediate-Term Treasury I	53,696.29	52,625.60
Vanguard Large Cap ETF	67.566	Vanguard Large Cap ETF	13,537.04	14,933.44
Vanguard Long-Term Treasury Index Admiral Shares	3,378.709	Vanguard Long-Term Treasury Index Adm	96,582.35	101,597.78
Vanguard Mid-Cap Value Index Admiral	103,381.048	Vanguard Mid-Cap Value Index Admira	7,638,305.63	8,047,180.78
Vanguard Mid Cap Index Admiral	21,467.248	Vanguard Mid Cap Index Admiral	6,170,736.14	6,772,058.05
Vanguard Real Estate Index Admiral	1,009.489	Vanguard Real Estate Index Admiral	142,038.39	165,828.76
Vanguard S&P 500 ETF	143.000	Vanguard S&P 500 ETF	58,847.11	62,429.51
Vanguard S&P M/C 400 Idx-Ins	8.272	Vanguard S&P M/C 400 Idx-Ins	2,991.38	3,159.66
Vanguard S&P Small-Cap 600 E	130.000	Vanguard S&P Small-Cap 600 E	26,153.40	27,316.90
Vanguard Short-Term Federal Adm	222,827.297	Vanguard Short-Term Federal Adm	2,439,162.47	2,404,306.53
Vanguard Small Cap Growth Index Admiral	53,119.758	Vanguard Small Cap Growth Index Adm	1075,550.93	5,259,387.24
Vanguard Small Cap Index Adm	0.031	Vanguard Small Cap Index Adm	3.24	3.36
Vanguard Small Cap Index I	82,903.097	Vanguard Small Cap Index I	8,756,004.48	8,983,379.59
Vanguard Target Retirement 2020 Inv	0.016	Vanguard Target Retirement 2020 Inv	0.57	0.50
Vanguard Target Retirement 2030 Inv	0.010	Vanguard Target Retirement 2030 Inv	0.44	0.38
Vanguard Target Retirement 2040 Inv	0.002	Vanguard Target Retirement 2040 Inv	0.10	0.08
Vanguard Target Retirement 2050 Inv	0.009	Vanguard Target Retirement 2050 Inv	0.44	0.42
Vanguard Target Retirement 2060 Inv	0.007	Vanguard Target Retirement 2060 Inv	0.33	0.34
Vanguard Target Retirement Income Inv	0.008	Vanguard Target Retirement Income Inv	0.12	0.12
Victoryshares UD 500 Enhance	160.000	Victoryshares UD 500 Enhance	11,296.00	12,435.20

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Wasatch Core Growth Fund-Ins	103.803	Wasatch Core Growth Fund-Ins	10,388.62	9,936.02
WisdomTree India Earnings	300.000	WisdomTree India Earnings	9,996.00	10,944.00
Value of Funds Held in Other General Investments				
AppHarvest Inc @6 12/31/21	-1.000	AppHarvest Inc @6 12/31/21	-19.34	0.00
Himax Technlgs Inc @15 12/31/21	-1.000	Himax Technlgs Inc @15 12/31/21	-29.34	-99.00
Pulte Group Inc @55 12/31/21	-1.000	Pulte Group Inc @55 12/31/21	-19.34	-216.00
SoFi Technologies Inc @15 12/31/21	-1.000	SoFi Technologies Inc @15 12/31/21	-27.34	0.00
Aehr Test Systems @15 1/21/22	-1.000	Aehr Test Systems @15 1/21/22	-139.34	-12.50
Intest Corp @15 1/21/22	-1.000	Intest Corp @15 1/21/22	-14.34	-17.54
Mister Car Wash Inc @20 1/21/22	-1.000	Mister Car Wash Inc @20 1/21/22	-25.34	-20.00
Macy's Inc @30 5/20/22	15.000	Macy's Inc @30 5/20/22	4,359.91	3,535.65
Ford Motor Co New @22 1/20/23	25.000	Ford Motor Co New @22 1/20/23	2,616.51	8,187.50
Macy's Inc @35 1/20/23	40.000	Macy's Inc @35 1/20/23	12,501.40	12,020.00
Macy's Inc @40 1/20/23	20.000	Macy's Inc @40 1/20/23	8,013.19	4,262.20
Sabre Corp @20 1/20/23	100.000	Sabre Corp @20 1/20/23	4,265.94	3,577.00
Ford Motor Co New @27 1/19/24	50.000	Ford Motor Co New @27 1/19/24	14,782.97	16,625.00