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

2022

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2022 or fiscal plan year beginning 01/01/2022 and ending 12/31/2022

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

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

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

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

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

Part II Basic Plan Information—enter all requested information

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

1b Three-digit plan number (PN) ▶ 001

1c Effective date of plan 07/01/1985

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

9900 BREN ROAD EAST
MN008-R120
MINNETONKA, MN 55343

2b Employer Identification Number (EIN)
41-1321939

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

2d Business code (see instructions)
541990

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

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

SIGN HERE	Filed with authorized/valid electronic signature.	07/11/2023	DAVID E. STRAUSS
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

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

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

3b Administrator's EIN: 41-1321939

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

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

4b EIN
4d PN

5 Total number of participants at the beginning of the plan year	**5**	235888
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)**	176886
a(2) Total number of active participants at the end of the plan year	**6a(2)**	198787
b Retired or separated participants receiving benefits	**6b**	799
c Other retired or separated participants entitled to future benefits	**6c**	66674
d Subtotal. Add lines **6a(2)**, **6b**, and **6c**	**6d**	266260
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	462
f Total. Add lines **6d** and **6e**	**6f**	266722
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	257209
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	3329
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	**7**	

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

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

9a Plan funding arrangement (check all that apply)

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

9b Plan benefit arrangement (check all that apply)

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

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

a Pension Schedules

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

b General Schedules

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

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

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

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

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

11c Enter the Receipt Confirmation Code for the 2022 Form M-1 annual report. If the plan was not required to file the 2022 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code_____

SCHEDULE C (Form 5500)	Service Provider Information	OMB No. 1210-0110
Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ **File as an attachment to Form 5500.**	**2022** **This Form is Open to Public Inspection.**

For calendar plan year 2022 or fiscal plan year beginning 01/01/2022 and ending 12/31/2022

A Name of plan	**B** Three-digit plan number (PN) ▶
UNITEDHEALTH GROUP 401(K) SAVINGS PLAN	001

C Plan sponsor's name as shown on line 2a of Form 5500	**D** Employer Identification Number (EIN)
UNITEDHEALTH GROUP INCORPORATED	41-1321939

Part I Service Provider Information (see instructions)

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

1 Information on Persons Receiving Only Eligible Indirect Compensation

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

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

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

FIDELITY INVST INSTNL OPRTN CO, INC

04-2647786

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

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

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

FIDELITY INVST INSTNL OPRTN CO, INC

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
64 37 65 71 50	RECORDKEEPER	6832359	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [X] No [ ]

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

NFP RETIREMENT

33-0905143

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10	ACCOUNTANT/AUDITOR	4000	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

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

BAKER TILLY US, LLP

39-0859910

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10	ACCOUNTANT/AUDITOR	1502	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

Part I Service Provider Information (continued)

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

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

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

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

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

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

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

Part II Service Providers Who Fail or Refuse to Provide Information

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

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

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

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

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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

2022

This Form is Open to Public Inspection.

For calendar plan year 2022 or fiscal plan year beginning 01/01/2022 and ending 12/31/2022

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

B Three-digit plan number (PN) ▶ 001

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

D Employer Identification Number (EIN)
41-1321939

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

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

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

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
30-0993007-001	M	17081170677

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

a Plan name

b Name of plan sponsor	**c** EIN-PN

a Plan name

b Name of plan sponsor	**c** EIN-PN

a Plan name

b Name of plan sponsor	**c** EIN-PN

a Plan name

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b Name of plan sponsor	**c** EIN-PN

a Plan name

b Name of plan sponsor	**c** EIN-PN

a Plan name

b Name of plan sponsor	**c** EIN-PN

a Plan name

b Name of plan sponsor	**c** EIN-PN

SCHEDULE H (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Financial Information

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

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

OMB No. 1210-0110

2022

This Form is Open to Public Inspection

For calendar plan year 2022 or fiscal plan year beginning 01/01/2022 and ending 12/31/2022

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

B Three-digit plan number (PN) ▶ 001

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

D Employer Identification Number (EIN)
41-1321939

Part I Asset and Liability Statement

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

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a		
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)		
(2) Participant contributions	1b(2)		
(3) Other	1b(3)		
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	6023968	8232777
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)		
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans	1c(8)	376445394	398278501
(9) Value of interest in common/collective trusts	1c(9)		
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)	19427145650	17081170677
(12) Value of interest in 103-12 investment entities	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)		
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)	645626462	517244370

		(a) Beginning of Year	(b) End of Year
1d Employer-related investments:			
(1) Employer securities	1d(1)	576927727	571453453
(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	21032169201	18576379778
Liabilities			
g Benefit claims payable	1g		
h Operating payables	1h		
i Acquisition indebtedness	1i		
j Other liabilities	1j		
k Total liabilities (add all amounts in lines 1g through1j)	1k	0	0
Net Assets			
l Net assets (subtract line 1k from line 1f)	1l	21032169201	18576379778

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)	540440703	
(B) Participants	2a(1)(B)	1268092833	
(C) Others (including rollovers)	2a(1)(C)	186657412	
(2) Noncash contributions	2a(2)		
(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	2a(3)		1995190948
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)	18411084	
(F) Other	2b(1)(F)		
(G) Total interest. Add lines **2b(1)(A)** through **(F)**	2b(1)(G)		18411084
(2) Dividends: **(A)** Preferred stock	2b(2)(A)		
(B) Common stock	2b(2)(B)	6936662	
(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)		
(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	2b(2)(D)		6936662
(3) Rents	2b(3)		
(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	2b(4)(A)	58675821	
(B) Aggregate carrying amount (see instructions)	2b(4)(B)	57967155	
(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	2b(4)(C)		708666
(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	2b(5)(A)		
(B) Other	2b(5)(B)	30605559	
(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	2b(5)(C)		30605559

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		-3352023710
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		
c Other income	2c		-170687657
d Total income. Add all **income** amounts in column (b) and enter total	2d		-1470858448
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	1377537484	
(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)		1377537484
f Corrective distributions (see instructions)	2f		454246
g Certain deemed distributions of participant loans (see instructions)	2g		266457
h Interest expense	2h		
i Administrative expenses: (1) Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)		
(3) Investment advisory and management fees	2i(3)		
(4) Other	2i(4)	6837861	
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		6837861
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		1385096048
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		-2855954496
l Transfers of assets:			
(1) To this plan	2l(1)		455038785
(2) From this plan	2l(2)		54873712

Part III Accountant's Opinion

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

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

(1) [X] Unmodified **(2)** [ ] Qualified **(3)** [ ] Disclaimer **(4)** [ ] Adverse

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

(1) [ ] DOL Regulation 2520.103-8 **(2)** [ ] DOL Regulation 2520.103-12(d) **(3)** [X] neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

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

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

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

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

Part IV Compliance Questions

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

During the plan year:

		Yes	No	Amount
a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)	4a	X		1278

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

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

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

5b(1) Name of plan(s)	**5b(2)** EIN(s)	**5b(3)** PN(s)
OPTUM PARTNER SERVICES 401(K) SAVINGS PLAN	45-3866363	001
OPTUMCARE 401(K) RETIREMENT PLAN	06-1469068	001

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

2022

This Form is Open to Public Inspection.

For calendar plan year 2022 or fiscal plan year beginning 01/01/2022 and ending 12/31/2022

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

B Three-digit plan number (PN) ▶ 001

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

D Employer Identification Number (EIN)
41-1321939

Part I Distributions

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

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

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

EIN(s): 04-6568107

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

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

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

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

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

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

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

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

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

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

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

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

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

Part III Amendments

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

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

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

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

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

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

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that (1) contributed more than 5% of total contributions to the plan during the plan year or (2) was one of the top-ten highest contributors (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

---

a Name of contributing employer

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

☐ Yes.

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

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

☐ No. Other. Provide explanation_____

UnitedHealth Group 401(k) Savings Plan

Employer ID No: 41-1321939
Plan Number: 001

Financial Statements as of December 31, 2022 and 2021, and for the Year Ended December 31, 2022, Supplemental Schedules as of and for the Year Ended December 31, 2022, and Independent Auditor's Report

UNITEDHEALTH GROUP 401(k) SAVINGS PLAN

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

Deloitte.

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INDEPENDENT AUDITOR'S REPORT

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

Opinion

We have audited the financial statements of UnitedHealth Group 401(k) Savings Plan (the "Plan"), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), which comprise the statements of net assets available for benefits as of December 31, 2022 and 2021, and the related statement of changes in net assets available for benefits for the year ended December 31, 2022 and the related notes to the financial statements.

In our opinion, the accompanying financial statements present fairly, in all material respects, the net assets available for benefits of the Plan as of December 31, 2022 and 2021, and the changes in its net assets available for benefits for the year ended December 31, 2022 in accordance with accounting principles generally accepted in the United States of America.

Basis for Opinion

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

Responsibilities of Management for the Financial Statements

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

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

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

Auditor's Responsibilities for the Audit of the Financial Statements

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

In performing an audit in accordance with GAAS, we:

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

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

Supplemental Schedules Required by ERISA

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The supplemental schedules of (1) assets (held at end of year) as of December 31, 2022, and (2) delinquent participant contributions for the year ended December 31, 2022, are presented for purposes of additional analysis and are not a required part of the financial statements but are supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audits of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with GAAS.

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

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

Deloitte & Touche, LLP

June 15, 2023

UNITEDHEALTH GROUP 401(k) SAVINGS PLAN

STATEMENTS OF NET ASSETS AVAILABLE FOR BENEFITS
AS OF DECEMBER 31, 2022 AND 2021 (in thousands)

	2022	2021
ASSETS:		
Plan's interest in Master Trust	$ 17,081,171	$ 19,427,146
Investments - at fair value	1,096,930	1,228,578
Receivables:		
Notes receivable from participants	399,652	378,036
NET ASSETS AVAILABLE FOR BENEFITS	$ 18,577,753	$ 21,033,760

See Notes to the Financial Statements.

UNITEDHEALTH GROUP 401(k) SAVINGS PLAN

STATEMENT OF CHANGES IN NET ASSETS AVAILABLE FOR BENEFITS
FOR THE YEAR ENDED DECEMBER 31, 2022 (in thousands)

ADDITIONS:		
Contributions:		
Employee	$	1,268,093
Employer		540,441
Rollover		186,657
Total contributions		1,995,191
Interest income on notes receivable from participants		18,495
Dividends		6,937
Total additions		2,020,623
DEDUCTIONS:		
Plan's interest in Master Trust investment loss		3,352,024
Benefits paid to participants		1,378,536
Net depreciation in fair value of investments		139,374
Administrative expenses		6,838
Total deductions		4,876,772
DECREASE IN NET ASSETS BEFORE PLAN TRANSFERS		2,856,149
NET TRANSFERS INTO THE PLAN (Note 10)		400,142
DECREASE IN NET ASSETS AVAILABLE FOR BENEFITS		2,456,007
NET ASSETS AVAILABLE FOR BENEFITS:		
Beginning of year		21,033,760
End of year	$	18,577,753

See Notes to the Financial Statements.

1. DESCRIPTION OF PLAN

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

General

The Plan is a defined contribution plan sponsored by UnitedHealth Group Incorporated ("the Company") and is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA), as amended.

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

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

Eligibility

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

Contributions

Contributions to the Plan include (i) salary deferral contributions authorized by participants, (ii) matching contributions made by the Company, (iii) discretionary contributions made by the Company, and (iv) participant rollover contributions from another plan. Participants may elect to contribute a percentage up to 80% of their eligible compensation to the Plan, up to the maximum dollar amount permissible under the Internal Revenue Code ("the Code"). Participants who have attained age 50 before the end of the plan year may make additional catch-up contributions, subject to limitations imposed by the Code. Salary deferral contributions include pretax deferrals and Roth deferrals. Eligible employees are automatically enrolled at an employee pretax deferral rate of 3% of their eligible pay, unless they decline to participate within a prescribed time limit or they elect a different deferral rate. The Plan provides for automatic annual deferral rate increases

until the participant's combined pretax and/or Roth deferral rate reaches 6%. Rollover contributions are assets formerly held in a qualified employee benefit plan of a prior employer, which a participant elects to be transferred into the Plan.

The Company makes a safe harbor matching contribution equal to 100% of contributions up to 3% of eligible compensation, plus 50% of the next 3% of eligible compensation for a maximum contribution of 4.5% per payroll period as defined in the Plan document. Additional discretionary contributions may also be made by the Company. No discretionary contributions were made during the 2022 plan year.

Participant Accounts

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

Investment Classification

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

Vesting

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

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

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

Dividend Payout

The Plan includes a dividend payout feature for the UnitedHealth Group Stock Fund ("the Stock Fund"). This feature allows participants invested in the Stock Fund to elect whether dividends payable on Company stock held in the Stock Fund are distributed to participants in cash or reinvested in Company stock within the Stock Fund. The total dividends on the Company stock in the Stock Fund were $6,936,662 for the year ended December 31, 2022. The amount participants elected to be distributed in cash was insignificant.

Forfeited Accounts

Nonvested account balances of terminated employees are forfeited. As of December 31, 2022 and 2021, forfeited nonvested accounts totaled $74,547 and $125,185, respectively. Forfeitures can be used to reduce future employer contributions or to pay certain administrative expenses. During the year ended December 31, 2022, employer contributions were reduced by $3,902,685 from forfeiture accounts.

Payment of Benefits

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

Notes Receivable from Participants

Participants may borrow from their account balance a minimum of $1,000 up to a maximum equal to the lesser of $50,000 (subject to reduction for certain loan balances in the prior 12 months) or 50% of their vested account balance. These loans are secured by the balance in the participant's account. The loan bears interest based on the prime rate, in effect on the first day of the month in which the loan is processed, plus 1% and is payable over a period not to exceed 59 months. A loan that is used by the participant to acquire a principal residence may, if the loan originated prior to April 1, 2001, be repaid over a period not to exceed 30 years, or if the loan originated between April 1, 2001 and August 31, 2010 over a period not to exceed 10 years, and if the loan originated on or after September 1, 2010, be repaid over a period not to exceed 118 months. Principal and interest are paid ratably through payroll deductions. Participants may have up to two outstanding loans at a time.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Accounting

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

Use of Estimates

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

Recently Adopted Accounting Pronouncements

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

Investment Valuation and Income Recognition

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

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

Notes Receivable from Participants

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Delinquent participant loans are reclassified as benefits paid to participants based upon the terms of the Plan document. No allowance for credit losses has been recorded as of December 31, 2022 and 2021.

Administrative Expenses

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

Payment of Benefits

Benefit payments to participants are recorded upon distribution. There are no amounts owed to participants who had elected to withdraw from the Plan, but had not been paid as of December 31, 2022 or 2021.

Subsequent Events

Subsequent events were evaluated through June 15, 2023, the date the financial statements were available to be issued. Between January 1, 2023 and June 15, 2023, the OptumCare Management LLC 401(k) Plan, the DivvyMed LLC 401(k) Plan, the Oregon Healthcare Resources Employee Retirement Savings Plan, and the ProHealth Medical 401(k) Plan merged into the Plan.

3. PLAN'S INTEREST IN MASTER TRUST

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

The following tables present the net assets of the Master Trust and the Plan's interest as of December 31, 2022 and 2021.

	2022	
(in thousands)	**Master Trust Balances**	**Plan's Interest in Master Trust Balances**
Cash and cash equivalents	$ 67,509	$ 52,550
Debt securities:		
U.S. government and agencies	212,674	178,500
Corporate and other	280,546	235,467
Mutual funds	670,379	554,730
Common stock	1,925,919	1,461,878
Common collective trusts	16,484,414	13,668,849
Total investments - at fair value	19,641,441	16,151,974
Stable value investment fund (Note 5)	1,125,763	933,050
Total investments	20,767,204	17,085,024
Accrued income	9,931	8,240
Accrued liabilities	(14,773)	(12,093)
Total net assets	$ 20,762,362	$ 17,081,171

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

The Master Trust had the following investment loss for the year ended December 31, 2022.

(in thousands)	2022 Master Trust Balances
Net depreciation in fair value of investments	$ (4,077,017)
Interest and dividends	20,304
Total investment loss	$ (4,056,713)
Plan's interest in Master Trust investment loss	$ (3,352,024)

4. FAIR VALUE MEASUREMENT

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

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

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

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

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

Level 3 - Unobservable inputs for the asset.

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

The following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2022.

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

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

Common collective trusts: Valued at the net asset value ("NAV") of units of a bank collective trust. The NAV, as provided by the Trustee, is used as a practical expedient to estimate fair value. The NAV is based on the fair value of the underlying investments held by the trust less its liabilities. This practical expedient

is not used when it is determined to be probable that the trust will sell the investment for an amount different than the reported NAV. Participant transactions (purchases and sales) may occur daily. Were the Master Trust to initiate a full redemption of the collective trusts, the investment advisor reserves the right to temporarily delay the withdrawal from the trust in order to ensure that securities liquidations will be carried out in an orderly business manner.

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

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

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

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

The following tables set forth by level within the fair value hierarchy a summary of the Plan's interest in Master Trust and Plan's investments measured at fair value on a recurring basis at December 31, 2022 and 2021.

	Fair Value Measurements at December 31, 2022		
(in thousands)	**Quoted Prices in Active Markets (Level 1)**	**Other Observable Inputs (Level 2)**	**Total Fair Value**
Cash and cash equivalents	$ 60,783	$ —	$ 60,783
Debt securities:			
U.S. government and agencies	26,182	152,318	178,500
Corporate and other	—	235,467	235,467
Mutual funds	554,730	—	554,730
Self-directed brokerage accounts	507,866	9,378	517,244
Common stock	2,033,331	—	2,033,331
Total assets in the fair value hierarchy	$ 3,182,892	$ 397,163	3,580,055
Instruments measured at NAV			13,668,849
Total investments at fair value			$ 17,248,904

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

Investments Measured Using the NAV Per Share Practical Expedient

The following table summarizes investments for which fair value is measured using the NAV per share practical expedient as of December 31, 2022 and 2021.

Investment	Fair Value [1]	Unfunded Commitment	Redemption Frequency[2]	Redemption Notice Period[3][4]
	(in thousands)	(in thousands)		
December 31, 2022				
Common collective trusts	$ 13,668,849	$ —	Immediate	Various
December 31, 2021				
Common collective trusts	$ 15,567,560	$ —	Immediate	Various

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

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

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

None of these events occurred in 2022 and 2021.

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

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

5. FULLY BENEFIT-RESPONSIVE INVESTMENT CONTRACTS

The Master Trust provides a stable value investment fund to participants that is comprised of a separate account guaranteed investment contract and four security-backed investment contracts. These contracts meet the fully benefit-responsive investment contract criteria and, therefore, are reported at contract value. Contract value is the relevant measure for fully benefit-responsive investment contracts because this is the amount received by participants if they were to initiate permitted transactions under the terms of the Plan. Contract value represents contributions made under each contract, plus earnings, less participant withdrawals, and expenses. The following represents the disaggregation of contract value between types of investment contracts held by the Master Trust.

(in thousands)	2022	2021
Security-backed investment contracts	$ 892,422	$ 748,289
Separate account guaranteed investment contract	233,341	195,766
Total stable value investment fund	$ 1,125,763	$ 944,055
Plan's interest in stable value investment fund	$ 933,050	$ 804,963

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

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

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

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

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

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

- Redemption of all or a portion of the interests in the Master Trust at the direction of the Company, including withdrawals due to the removal of a specifically identifiable group of employees from coverage under the Master Trust (such as a group layoff or early retirement incentive program), the closing or sale of a subsidiary, employing unit or affiliate, or the Company's establishment of another tax qualified defined contribution plan;
- Changes to the Master Trust's prohibition on competing investment options; and
- Bankruptcy of the Company or other company events (for example, divestitures or spinoffs of a subsidiary) that significantly affect the Master Trust's normal operations.

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

6. PLAN TERMINATION

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

7. FEDERAL INCOME TAX STATUS

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

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

8. EXEMPT PARTY-IN-INTEREST TRANSACTIONS

The investment of the Plan in the Company's common stock is considered an exempt party-in-interest transaction. At December 31, 2022 and 2021, the Plan held 1,077,848 and 1,148,938 shares of common stock of the Company in the Stock Fund with a cost basis of $34,190,235 and $36,445,269, respectively. The Plan issues loans to participants, which are secured by the participant's account balances. These transactions qualify as exempt party-in-interest transactions.

9. RISKS AND UNCERTAINTIES

The Plan provides for investment in a variety of investment securities. Investments, in general, are exposed to various risks, such as interest rate risk, credit risk, and overall market volatility. Due to the level of risk associated with certain investments, it is reasonably possible that changes in the values of the investments will occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the statements of net assets available for benefits.

10. PLAN TRANSFERS

During 2022, OptumCare Florida, LLC 401(k) Retirement Savings Plan, Reliant 401(k) Savings Plan, Landmark Health, LLC 401(k) Retirement Plan, First Family Insurance LLC 401(k) Plan, Solstice Benefits 401(k) Plan, Savvysherpa, Inc. 401(k) Plan, VPay Benefits Corporation 401(k) Profit Sharing Plan and Trust, Bind Benefits 401(k) Plan, Solutran, LLC 401(k) Plan, HealthPlex, Inc. 401(k) Retirement Savings Plan, PreferredOne Administrative Services, Inc. Profit Sharing and Savings Plan, Rally Health 401(k) Plan, and naviHealth, Inc. 401(k) Plan merged into the Plan. Also, during 2022, balances were transferred between the Plan and other Participating Plans in the Master Trust to consolidate accounts of individuals with balances in more than one Participating Plan.

10. DELINQUENT PARTICIPANT CONTRIBUTIONS

For the year ended December 31, 2022, the Company did not remit certain participant loan payments to the Plan on a timely basis as defined by the Department of Labor's Rules and Regulations for Reporting and Delinquent Participant Contributions Disclosure under ERISA. Untimely remittances identified on the Schedule H, Line 4(a) - Schedule of Delinquent Participant Contributions totaled $1,278. The Company compensated participants in 2022 for lost earnings resulting from the delay.

11. RECONCILIATION TO THE FORM 5500

Reconciliation of net assets available for benefits per the financial statements to the Form 5500 as of December 31, 2022 and 2021, is as follows:

(in thousands)	2022	2021
Net assets available for benefits per the financial statements	$ 18,577,753	$ 21,033,760
Deemed distributions of participant loans	(1,373)	(1,590)
Net assets available for benefits per the Form 5500	$ 18,576,380	$ 21,032,170

A reconciliation of the decrease in net assets available for benefits per the financial statements to the net loss per the Form 5500 for the year ended December 31, 2022 is as follows:

(in thousands)	2022
Decrease in net assets available for benefits per the financial statements	$ (2,456,007)
Deemed distributions activity	217
Net loss per the Form 5500	$ (2,455,790)

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SUPPLEMENTAL SCHEDULES
FURNISHED PURSUANT TO THE
REQUIREMENTS OF FORM 5500

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

FORM 5500, SCHEDULE H, PART IV, LINE 4I - SCHEDULE OF ASSETS (HELD AT END OF YEAR)
AS OF DECEMBER 31, 2022 (in thousands)

	Current Value
UnitedHealth Group Inc. common stock*	$ 571,453
Self-directed brokerage accounts**	517,244
Fidelity institutional cash - U.S. government fund*	8,233
Participant loans (interest ranging from 3.25% to 10.25% and maturity dates ranging from January 2023 – June 2050)*	398,279
Total investments	$ 1,495,209

*Known party-in-interest

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

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

FORM 5500, SCHEDULE H, PART IV, LINE 4A - SCHEDULE OF DELINQUENT PARTICIPANT CONTRIBUTIONS

FOR THE YEAR ENDED DECEMBER 31, 2022

	Total That Constitute Nonexempt Prohibited Transactions			
	Contributions Not Corrected	Contributions Corrected Outside Voluntary Fiduciary Correction Program (VFCP)	Contributions Pending Correction in VFCP	Total Fully Corrected under VFCP and Prohibited Transaction Exemption 2002-51
Participant contributions transferred late to the plan...	$ —	$ 1,278	$ —	$ —

Check here if late participant loan contributions are included: X

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

2022

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2022 or fiscal plan year beginning 01/01/2022 and ending 12/31/2022

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

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

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

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

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

Part II Basic Plan Information—enter all requested information

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

1b Three-digit plan number (PN) ▸ 001

1c Effective date of plan 07/01/1985

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

UnitedHealth Group Incorporated

9900 Bren Road East
MN008-R120
Minnetonka MN 55343

2b Employer Identification Number (EIN) 41-1321939

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

2d Business code (see instructions) 541990

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

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

SIGN HERE	David E. Strauss	7.11.23	David E. Strauss
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

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

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

3b Administrator's EIN: 41-1321939

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

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

4b EIN

4d PN

5	Total number of participants at the beginning of the plan year	**5**	235,888
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)**	176,886
a(2)	Total number of active participants at the end of the plan year	**6a(2)**	198,787
b	Retired or separated participants receiving benefits	**6b**	799
c	Other retired or separated participants entitled to future benefits	**6c**	66,674
d	Subtotal. Add lines **6a(2)**, **6b**, and **6c**.	**6d**	266,260
e	Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	462
f	Total. Add lines **6d** and **6e**.	**6f**	266,722
g	Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	257,209
h	Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	3,329
7	Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	**7**	

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

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

9a Plan funding arrangement (check all that apply)

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

9b Plan benefit arrangement (check all that apply)

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

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

a Pension Schedules

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

b General Schedules

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

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

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

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

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

11c Enter the Receipt Confirmation Code for the 2022 Form M-1 annual report. If the plan was not required to file the 2022 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code_____

Brokerage Link Indirect Fees

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

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

Plan Number	Payor Name	Compensation	Address Type	Street Address	City	State	Zip	Fund Family	CUSIP
32057	INVESCO DIVERSIFIED DIVIDEND CLASS A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	001413541
32057	INVESCO GLOBAL REAL ESTATE INC FD CL A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00141A628
32057	INVESCO FLOATING RATE ESG CLASS A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00141A867
32057	INVESCO SHORT DUR INFL PROTECTED A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00142C649
32057	INVESCO DIVIDEND INCOME FUND A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00142F535
32057	INVESCO EQUALLY WEIGHTED S&P 500 A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00142J818
32057	INVESCO STEELPATH MLP INCOME A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00143K343
32057	INVESCO INTL BOND A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00143K673
32057	INVESCO GOLD & SPEC MINERALS A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00143N750
32057	INVESCO DEVELOPING MARKETS A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00143W701
32057	INVESCO DEVELOPING MARKETS Y	0.15%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00143W875
32057	AMG GW&K SMALL/MID CAP FUND CLASS I	0.07%	USADDRESS	600 STEAMBOAT RD, STE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00170K349
32057	AMG YACKTMAN FOCUSED I	0.07%	USADDRESS	600 STEAMBOAT RD, STE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00170K562
32057	AMG YACKTMAN FOCUSED N	0.40%	USADDRESS	600 STEAMBOAT RD, STE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00170K570
32057	AMG YACKTMAN FUND I	0.40%	USADDRESS	600 STEAMBOAT RD, STE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00170K588
32057	AMG TIMESSQUARE INTERNL SMALLCAP N	0.40%	USADDRESS	600 STEAMBOAT RD, STE 300	GREENWICH	CT	06830	MANAGERS FUNDS	00170K711
32057	AQR LARGE CAP DEFENSIVE STYLE CL N	0.40%	USADDRESS	1 GREENWICH PLAZA	GREENWICH	CT	06830	AQR FUNDS	00203H750
32057	AQR MANAGED FUTURES FUND CL I	0.12%	USADDRESS	1 GREENWICH PLAZA	GREENWICH	CT	06830	AQR FUNDS	00203H859
32057	ABERDEEN U.S. SMALL CAP EQUITY FD CL A	0.40%	USADDRESS	1735 MARKET ST, 32ND FL	PHILADELPHIA	PA	19103	ABERDEEN FUNDS	003020716
32057	CAMBIAR INTL EQUITY INVESTOR CL	0.40%	USADDRESS	1 FREEDOM VALLEY DR	OAKS	PA	19456	CAMBIAR FUNDS	00758M139
32057	LSV VALUE EQUITY INSTITUTIONAL	0.12%	USADDRESS	155 N. WACKER DR, STE 4600	CHICAGO	IL	60606	LSV FUNDS	00758M634
32057	AEGIS VALUE FUND INC	0.15%	USADDRESS	6862 ELM ST, STE 830	MCLEAN	VA	22101	AEGIS VALUE FUND	00761L102
32057	LSV SMALL CAP VALUE FUND INSTITUTIONAL	0.12%	USADDRESS	155 N. WACKER DR, STE 4600	CHICAGO	IL	60606	LSV FUNDS	00769G535
32057	RIVER CANYON TOTAL RETURN BOND INSTL	0.15%	USADDRESS	2000 AVE OF THE STARS 11TH FL	LOS ANGELES	CA	90067	RIVER CANYON FUNDS	00770G656
32057	SEMPER MBS TOTAL RETURN INVESTOR	0.40%	USADDRESS	52 VANDERBILT AVE. STE 401	NEW YORK	NY	10017	SEMPER FUNDS	00770X741
32057	ADV PREFERRED GOLD BULLION STRAT INV	0.40%	USADDRESS	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F202
32057	ADVISORS PRFD QUANFDMANAGED INCOME INVST	0.40%	USADDRESS	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F400
32057	QUANTIFIED GOVT'T INC TACTICAL INVSTR	0.40%	USADDRESS	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F525
32057	QUANTIFIED TACTICAL SECTOR FUND INVESTOR	0.40%	USADDRESS	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F574
32057	ADVISORS PRFD QUANFDMARKET LEADERS INVST	0.40%	USADDRESS	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F608
32057	QUANTIFIED COMMON GROUND FD INVST	0.40%	USADDRESS	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F632
32057	QUANTIFIED TACTICAL FIXED INC INVST	0.40%	USADDRESS	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F673
32057	HUNDREDFOLD SELECT ALTERNATIVE INVESTOR	$12.00	USADDRESS	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850	ADVISORS PREFERRED FUNDS	00771F699
32057	GQG PARTNERS EMERG MARKETS EQ INSTL	0.15%	USADDRESS	1 FREEDOM VALLEY DR	OAKS	PA	19456	GQG PARTNERS FUND	00771X419
32057	SOUTHERNSUN SMALL CAP FUND I	0.15%	USADDRESS	1 Freedom Valley DR	OAKS	PA	19456	SOUTHERN SUN FUNDS	00774Q155
32057	SOUTHERNSUN SMALL CAP FUND N	0.40%	USADDRESS	1 Freedom Valley DR	OAKS	PA	19456	SOUTHERN SUN FUNDS	00774Q163
32057	HUBER CAPITAL SMALL CAP VALUE INVESTOR	0.40%	USADDRESS	2321 ROSECRANS AVE., STE 3245	EL SEGUNDO	CA	90245	HUBER FUNDS	007989379
32057	HUBER CAPITAL EQUITYINCOME FUND INVESTOR	0.40%	USADDRESS	2321 ROSECRANS AVE., STE 3245	EL SEGUNDO	CA	90245	HUBER FUNDS	007989387
32057	INVESCO GLOBAL A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00900W100
32057	INVESCO INTL SMALL MID COMPANY A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00900W571
32057	INVESCO GLOBAL OPPORTUNITIES A	0.40%	USADDRESS	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046	INVESCO	00900W779
32057	ALGER MID CAP FOCUS CL I	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSITY CITY	NJ	07311	ALGER INSTITUTIONAL	015565179
32057	ALGER SMALL CAP FOCUS CLASS A	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311	ALGER GROUP	015565450
32057	ALGER WEATHERBIE SPECIALIZED GR A	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311	ALGER GROUP	015565732
32057	ALGER HEALTH SCIENCES FD CL A	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311	ALGER GROUP	015565765
32057	ALGER SMALL CAP GROWTH FUND A	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311	ALGER GROUP	015565872
32057	ALGER SPECTRA FUND CLASS CL A	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311	ALGER GROUP	015566102
32057	ALGER SMALL CAP GROWTH INSTL FD CL I	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSITY CITY	NJ	07311	ALGER INSTITUTIONAL	015570104
32057	ALGER FOCUS EQUITY CL I	0.40%	USADDRESS	600 PLAZA ONE, 6TH FL	JERSITY CITY	NJ	07311	ALGER INSTITUTIONAL	015570302
32057	AB ALL MARKET REAL RETURN PORT ADV	0.10%	USADDRESS	8000 IH 10 W; STE 1400, 14TH FL	SAN ANTONIO	TX	78230	ALLIANCE CAPITAL FUNDS	018528422
32057	AB HIGH INCOME CLASS A	0.10%	USADDRESS	8000 IH 10 W; STE 1400, 14TH FL	SAN ANTONIO	TX	78230	ALLIANCE CAPITAL FUNDS	01859M101
32057	AB LARGE CAP GROWTH CLASS A	0.40%	USADDRESS	8000 IH 10 W; STE 1400, 14TH FL	SAN ANTONIO	TX	78230	ALLIANCE CAPITAL FUNDS	01877C101
32057	AB LARGE CAP GROWTH ADVISOR CLASS	0.15%	USADDRESS	8000 IH 10 W; STE 1400, 14TH FL	SAN ANTONIO	TX	78230	ALLIANCE CAPITAL FUNDS	01877C408
32057	AB SMALL CAP GROWTH PORT CLASS A	0.40%	USADDRESS	8000 IH 10 W; STE 1400, 14TH FL	SAN ANTONIO	TX	78230	ALLIANCE CAPITAL FUNDS	01877E107
32057	IMAN FUND RETAIL SHARES	0.40%	USADDRESS	721 ENTERPRISE DR	OAKBROOK	IL	60523	IMAN FUND	018866103
32057	AMANA MUTUAL FUND TRUST INCOME	0.40%	USADDRESS	1300 NORTH STATE ST	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865109
32057	AMANA MUTUAL FUND TRUST GROWTH	0.40%	USADDRESS	1300 NORTH STATE ST	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865208
32057	AMANA DEVELOPING WORLD FUND	0.40%	USADDRESS	1300 NORTH STATE ST	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865307
32057	AMANA PARTICIPATION FD INVESTOR CLASS	0.40%	USADDRESS	1300 NORTH STATE ST	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865703
32057	AMANA PARTICIPATION FD INSTITUTIONAL CL	0.10%	USADDRESS	1300 NORTH STATE ST	BELLINGHAM	WA	98225	AMANA MUTUAL FUNDS	022865802
32057	AMERICAN AMCAP FUND CLASS F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	023375405
32057	AMERICAN AMCAP FUND F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	023375827
32057	AMERICAN BEACON SMALL CAP INVESTOR	0.40%	USADDRESS	220 E LAS COLINAS BLVD, STE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	02368A620
32057	AMERICAN BEACON INTL EQUITY INVESTOR	0.40%	USADDRESS	220 E LAS COLINAS BLVD, STE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	02368A794
32057	AMERICAN BALANCED CLASS F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	024071409
32057	AMERICAN BALANCED FUND F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	024071821
32057	AMER BEACON BRDGWAY LARGE CAP VAL INVST	0.40%	USADDRESS	220 E LAS COLINAS BLVD, STE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	024524118
32057	AMERICAN BEACON SIM HIGH YLD OPPS INVEST	0.40%	USADDRESS	220 E LAS COLINAS BLVD, STE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	024524274
32057	AMER BEACON BRDGWAY LRG CAP GRWTH R5	0.04%	USADDRESS	220 E LAS COLINAS BLVD, STE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	024525370
32057	AMERICAN BEACON AHL MNGD FUTURES STRAT Y	0.15%	USADDRESS	220 E LAS COLINAS BLVD, STE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	024525677
32057	AMERICAN BEACON ARK TRANS INNOVTN INVSTR	0.40%	USADDRESS	220 E LAS COLINAS BLVD, STE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	024526204
32057	AMER BEACON SHAPIRO SMID CAP EQ INV	0.40%	USADDRESS	220 E LAS COLINAS BLVD, STE 1200	IRVING	TX	75039	AMERICAN BEACON FUNDS	024526469
32057	AMERICAN CENTURY SHTDUR STRAT INC INV	0.25%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	024932253
32057	AMERICAN CEN SHT DURINFL PROTECTN BD INV	0.25%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	024932774
32057	AVANTIS US SMALL CAP VALUE FUND	0.04%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025072828
32057	AMERICAN CENTURY VALUE INV CL	0.35%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025076506
32057	AMERICAN CENTURY MID CAP VALUE CLASS I	0.07%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025076647
32057	AMERICAN CENTURY MIDCAP VALUE INV SHS	0.35%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025076654
32057	AMERICAN CENTURY REAL ESTATE INV CL	0.35%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025076886
32057	AMERICAN CENTURY CHGAL GOLD INV CL	0.35%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	02507M105
32057	AMERICAN CENTURY GROWTH INVESTOR CL	0.35%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025083106
32057	AMERICAN CENTURY ULTRA CLASS I	0.15%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025083874
32057	AMERICAN CENTURY ULTRA INVESTOR CLASS	0.35%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025083882
32057	AMERICAN CENTURY FOCUSED GLBL GR INVS	0.35%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025086844
32057	AMERICAN CENTURY EMERGING MRKTS CL I	0.07%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025086877
32057	AMERICAN CENTURY EMERGING MARKETS INV	0.35%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	025086885
32057	AMERICAN CENTURY SUSTAINABLE EQ INV	0.35%	USADDRESS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111	AMERICAN CENTURY INVESTMENTS	02508H600
32057	AMERICAN CORPORATE BOND FUND CL F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02629H406
32057	AMERICAN FUNDS INFLTLINKED BOND CL F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02630D402
32057	AMERICAN 2045 TARGETDATE RETIREMENT CL A	$18.00	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN FUNDS GROUP	02630T514
32057	AMERICAN FUNDS MORTGAGE CL F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02630V402
32057	AMERICAN FDS TAX AWRCONS GR AND INC F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02630Y588
32057	AMERICAN 2045 TARGETDATE RETIREMNT F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02631C643
32057	AMERICAN 2040 TARGETDATE RETIREMNT F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02631C684
32057	AMERICAN 2035 TARGETDATE RETIREMNT F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02631C734
32057	AMERICAN STRATEGIC BOND FUND F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02631E409
32057	AMERICAN STRATEGIC BOND FUND F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02631E508
32057	AMERICAN FUNDS MULTI SECTOR INCOME F2	0.12%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	02631W508

32057	AMERICAN HIGH INCOMECLASS F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	026547406
32057	AMERICAN MUTUAL FUNDCL F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	027681824
32057	ANGEL OAK MULTI STRATEGY INCOME CL A	0.10%	USADDRESS	400 CITY CENTER	OSHKOSH	WI	54901	ANGEL OAK FUNDS	03463K307
32057	ANGEL OAK MULTI STRATEGY INC INSTL	0.15%	USADDRESS	400 CITY CENTER	OSHKOSH	WI	54901	ANGEL OAK FUNDS	03463K406
32057	ARIEL APPRECIATION	0.40%	USADDRESS	811 E. WISCONSIN AVE	MILWAUKEE	WI	53202	ARIEL MUTUAL FUNDS	040337206
32057	ARIEL INTERNATIONAL FUND INVESTOR	0.40%	USADDRESS	811 E. WISCONSIN AVE	MILWAUKEE	WI	53202	ARIEL MUTUAL FUNDS	040337883
32057	ARTISAN SMALL CAP FUND INVESTOR CL	0.39%	USADDRESS	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H105
32057	ARTISAN INTERNATL INVESTOR CLASS	0.39%	USADDRESS	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H204
32057	ARTISAN INTL SMALL MID FUND ADVISOR	0.15%	USADDRESS	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H485
32057	ARTISAN THEMATIC FD INVESTOR CLASS	0.39%	USADDRESS	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H543
32057	ARTISAN DEVELOPING WORLD FD ADVISOR CL	0.15%	USADDRESS	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H618
32057	ARTISAN DEVELOPING WORLD FD INVESTOR CL	0.39%	USADDRESS	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H626
32057	ARTISAN HIGH INCOME FUND ADVISOR	0.15%	USADDRESS	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H717
32057	ARTISAN HIGH INCOME FUND INVESTOR	0.39%	USADDRESS	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H725
32057	ARTISAN GLOBAL OPPORTUNITIES INV	0.39%	USADDRESS	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H824
32057	ARTISAN GLOBAL VALUE FD INVT SHARES	0.39%	USADDRESS	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H840
32057	ARTISAN INTL VALUE FUND INV CL	0.39%	USADDRESS	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202	ARTISAN FUNDS	04314H881
32057	ASHMORE EMERGING MKT CORPORATE DEBT CL I	0.08%	USADDRESS	801 S. CANAL ST	CHICAGO	IL	60607	ASHMORE FUNDS	044820504
32057	AZZAD ETHICHAL MID CAP FUND CL A	0.40%	USADDRESS	8000 TOWN CENTRE DR STE 400	BROADVIEW HEIGHTS	OH	441474031	AZZAD FUNDS	055060206
32057	WISE CAPITAL FUND	0.40%	USADDRESS	8000 TOWN CENTRE DR STE 400	BROADVIEW HEIGHTS	OH	441474031	AZZAD FUNDS	055060305
32057	BNY MELLON SMALL MIDCAP GROWTH A	0.40%	USADDRESS	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556	DREYFUS GROUP	05586X108
32057	BNY MELLON NATURAL RESOURCES A	0.40%	USADDRESS	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556	DREYFUS GROUP	05587A834
32057	BNY MELLON NATURAL RESOURCES C	0.09%	USADDRESS	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556	DREYFUS GROUP	05587A842
32057	BNY MELLON DYNAMIC VALUE A	0.40%	USADDRESS	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556	DREYFUS GROUP	05587N679
32057	BNY MELLON GLOBAL REAL RETURN A	0.40%	USADDRESS	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556	DREYFUS GROUP	05587N844
32057	BNY MELLON MIDCAP INDEX INVESTOR	0.35%	USADDRESS	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556	DREYFUS GROUP	05588M209
32057	BNY MELLON APPRECIATION INVSTR	0.40%	USADDRESS	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556	DREYFUS GROUP	05589Q100
32057	BAILLIE GIFFORD LONG TERM GLBL GR INSTL	0.12%	USADDRESS	780 THIRD AVE	NEW YORK	NY	10017	BAILLIE GIFFORD FUNDS	056823297
32057	BAIRD AGGREGATE BOND FUND INSTL	0.02%	USADDRESS	777 E. WISCONSIN AVE, 18TH FL	MILWAUKEE	WI	53202	BAIRD	057071854
32057	BAIRD AGGREGATE BONDFUND INVESTOR CL	0.28%	USADDRESS	777 E. WISCONSIN AVE, 18TH FL	MILWAUKEE	WI	53202	BAIRD	057071862
32057	BARON ASSET	0.40%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	068278100
32057	BARON OPPORTUNITY FUND	0.40%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	068278407
32057	BARON ASSET FUND INSTL CLASS	0.10%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	068278605
32057	BARON GROWTH FUND INSTL CLASS	0.10%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	068278704
32057	BARON DISCOVERY FUNDRETAIL SHARES	0.40%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	068278860
32057	BARON OPPORTUNITY FUND INSTL CLASS	0.10%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	068278886
32057	BARON PARTNERS FUND	0.40%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M108
32057	BARON FOCUSED GROWTHFUND	0.40%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M207
32057	BARON FOCUSED GROWTH CLASS I	0.15%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M504
32057	BARON HEALTH CARE FDRETAIL	0.40%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M678
32057	BARON REAL ESTATE FUND RETAIL	0.40%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M702
32057	BARON GLOBAL ADVANTAGE FD RETAIL	0.40%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M843
32057	BARON EMERGING MARKETS FUND RETAIL	0.40%	USADDRESS	767 5TH AVE 49TH FL	NEW YORK	NY	10153	BARON ASSET FUNDS	06828M884
32057	BERKSHIRE FOCUS FUND	0.40%	USADDRESS	475 MILAN DR STE 103	SAN JOSE	CA	95134	BERKSHIRE FUNDS	084649102
32057	BLACKROCK MID CAP GROWTH EQUITY CL A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	091928846
32057	BLACKROCK TECHNOLOGYOPPORTUNITIES CL A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	091929570
32057	BLACKROCK ADVANTAGE SMALL CAP CORE INV A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	091936476
32057	BLACKROCK HEALTH SCIENCES OPP PRT A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	091937573
32057	BLACKROCK EQUITY DIVIDEND FD CL A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09251M108
32057	BLACKROCK GLOBAL ALLOCATION CL A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09251T103
32057	BLACKROCK TOTAL RETURN INSTITUTIONAL	0.15%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09252M883
32057	BLACKROCK STRATEGIC GLOBAL BD INVESTOR A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09252X103
32057	BLACKROCK MID CAP VALUE FUND CL A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09255V104
32057	BLACKROCK MULTI ASSET INCOME PORT A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09256H351
32057	BLACKROCK STRATEGIC INCOME OPPRTSI INSTL	0.15%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09260B382
32057	BLACKROCK STRATEGIC INC OPP PORT CL A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09260B416
32057	BLACKROCK INFLATION PROT BD PORT INST'L	0.15%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09260B556
32057	BLACKROCK INFLATION PRO BOND PORT INV A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09260B572
32057	BLACKROCK HIGH YIELDBOND INSTITUTIONAL	0.15%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09260B630
32057	BLACKROCK HIGH YIELDBOND CLASS A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09260B663
32057	BLACKROCK FLOATING RATE INC PORT INSTL	0.08%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09260B747
32057	BLACKROCK FLOATING RATE INC PORT INVT A	0.40%	USADDRESS	40 EAST 52ND ST	NEW YORK	NY	10022	BLACKROCK FUNDS	09260B770
32057	WILLIAM BLAIR SMALL MID CAP GROWTH CL N	0.40%	USADDRESS	222 WEST ADAMS ST, 12TH FL	CHICAGO	IL	60606	WILLIAM BLAIR MUTUAL FUNDS	093001345
32057	WILLIAM BLAIR LARGE CAP GROWTH FD N	0.40%	USADDRESS	222 WEST ADAMS ST, 12TH FL	CHICAGO	IL	60606	WILLIAM BLAIR MUTUAL FUNDS	093001535
32057	BNY MELLON SMALLCAP STOCK INDEX INVESTOR	0.35%	USADDRESS	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556	DREYFUS GROUP	09661L401
32057	AMERICAN BOND FUND OF AMERICA CLASS A	$18.00	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN FUNDS GROUP	097873103
32057	AMERICAN BOND FUND OF AMERICA CL F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	097873822
32057	BOSTON TRUST WALDEN SMALL CAP FUND	0.40%	USADDRESS	1 BEACON ST 33RD FL	BOSTON	MA	02108	BOSTON BALANCED FUND	101156602
32057	BOSTON TRUST WALDEN SMID CAP FUND	0.40%	USADDRESS	1 BEACON ST 33RD FL	BOSTON	MA	02108	BOSTON BALANCED FUND	101156875
32057	FPA QUEENS ROAD SMALL CAP VALUE FUND	0.40%	USADDRESS	11601 WILSHIRE BLVD, STE 1200	LOS ANGELES	CA	90025	FPA FUNDS	104826201
32057	BRIDGEWAY ULTRA SMALL CO MARKET	0.10%	USADDRESS	20 GREENWAY PLAZA, STE 450	HOUSTON	TX	77046	BRIDGEWAY FUNDS	108747403
32057	BRIDGEWAY OMNI SMALL CAP VALUE	0.06%	USADDRESS	20 GREENWAY PLAZA, STE 450	HOUSTON	TX	77046	BRIDGEWAY FUNDS	108747775
32057	BRIDGEWAY SMALL CAP VALUE FUND CL N	0.10%	USADDRESS	20 GREENWAY PLAZA, STE 450	HOUSTON	TX	77046	BRIDGEWAY FUNDS	108747825
32057	DESTINATIONS LARGE CAP EQUITY INSTL	0.12%	USADDRESS	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312	BRINKER CAPITAL TRUST	10964R103
32057	DESTINATIONS SMALL MID CAP EQ INSTL	0.12%	USADDRESS	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312	BRINKER CAPITAL TRUST	10964R202
32057	DESTINATIONS INTL EQUITY FD INSTL	0.12%	USADDRESS	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312	BRINKER CAPITAL TRUST	10964R301
32057	DESTINATIONS EQUITY INCOME FD INSTL	0.12%	USADDRESS	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312	BRINKER CAPITAL TRUST	10964R400
32057	DESTINATIONS CORE FIXED INCOME INSTL	0.12%	USADDRESS	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312	BRINKER CAPITAL TRUST	10964R608
32057	DESTINATIONS LOW DUR FIXED INC INSTL	0.12%	USADDRESS	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312	BRINKER CAPITAL TRUST	10964R707
32057	DESTINATIONS SHELTER FUND INSTL	0.12%	USADDRESS	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312	BRINKER CAPITAL TRUST	10964R756
32057	DESTINATIONS GLOBAL FIXD INC OPPOR INSTL	0.12%	USADDRESS	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312	BRINKER CAPITAL TRUST	10964R806
32057	DESTINATIONS MULTI STRGY ALT INSTL	0.12%	USADDRESS	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312	BRINKER CAPITAL TRUST	10964R871
32057	BROWN ADVISORY SUSTAIN GROWTH ADV	0.40%	USADDRESS	777 E. WISCONSIN AVE, 4TH FL	MILWAUKEE	WI	53202	BROWN IA FUNDS	115233405
32057	BROWN ADVISORY SMALL CAP FNDMTL VAL INVS	0.08%	USADDRESS	777 E. WISCONSIN AVE, 4TH FL	MILWAUKEE	WI	53202	BROWN IA FUNDS	115233793
32057	BROWN INTERNATIONAL SMALL COMPANY INVEST	0.40%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80203	BROWN CAPITAL MANAGEMENT	115291742
32057	BROWN INTERNATIONAL SMALL COMPANY INSTL	0.10%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80203	BROWN CAPITAL MANAGEMENT	115291759
32057	BUFFALO DISCOVERY FUND	0.40%	USADDRESS	615 E. MICHIGAN ST	MILWAUKEE	WI	53202	BUFFALO FUNDS	119530103
32057	BUFFALO MID CAP FUND	0.40%	USADDRESS	615 E. MICHIGAN ST	MILWAUKEE	WI	53202	BUFFALO FUNDS	119530202
32057	BUFFALO EARLY STAGE GROWTH FUND	0.40%	USADDRESS	615 E. MICHIGAN ST	MILWAUKEE	WI	53202	BUFFALO FUNDS	119530301
32057	BUFFALO INTERNATIONAL FUND	0.40%	USADDRESS	615 E. MICHIGAN ST	MILWAUKEE	WI	53202	BUFFALO FUNDS	119530509
32057	BUFFALO SMALL CAP GROWTH	0.40%	USADDRESS	615 E. MICHIGAN ST	MILWAUKEE	WI	53202	BUFFALO FUNDS	119804102
32057	BUFFALO GROWTH FUND	0.40%	USADDRESS	615 E. MICHIGAN ST	MILWAUKEE	WI	53202	BUFFALO FUNDS	119826105
32057	CALAMOS MARKET NEUTRAL INCOME CL I	0.15%	USADDRESS	2020 CALAMOS COURT	NAPERVILLE	IL	60563	CALAMOS FAMILY OF MUTUAL FUNDS	128119880
32057	CALVERT CORE BOND FUND CL A	0.40%	USADDRESS	4550 MONTGOMERY AVE STE 1000 N	BETHESDA	MD	20814	CALVERT GROUP	131582710
32057	CALVERT U.S. LRG CAPCORE RESPNSBL INDX A	0.40%	USADDRESS	4550 MONTGOMERY AVE STE 1000 N	BETHESDA	MD	20814	CALVERT GROUP	131582785
32057	CALVERT SMALL CAP CL A	0.40%	USADDRESS	4550 MONTGOMERY AVE STE 1000 N	BETHESDA	MD	20814	CALVERT GROUP	13161P508
32057	CALVERT INTL EQUITY CLASS A	0.40%	USADDRESS	4550 MONTGOMERY AVE STE 1000 N	BETHESDA	MD	20814	CALVERT GROUP	131649105
32057	FULLER & THALER BEHVMID CAP VALUE INVSTR	0.40%	USADDRESS	411 BOREL AVE, STE 300	SAN MATEO	CA	94402	FULLER & THALER	14064D766
32057	FULLER & THALER BEHV SMALL CAP EQTY INST	0.10%	USADDRESS	411 BOREL AVE, STE 300	SAN MATEO	CA	94402	FULLER & THALER	14064D865
32057	FULLER & THALER BEHVSMALL CAP EQTY INV	0.40%	USADDRESS	411 BOREL AVE, STE 300	SAN MATEO	CA	94402	FULLER & THALER	14064D881
32057	CARILLON EAGLE MID CAP GROWTH CL I	0.10%	USADDRESS	P. O. BOX 33022	ST PETERSBURG	FL	337338022	EAGLE FUND SERVICES	14214L643
32057	CARILLON CLARIVEST INTERNATIONAL STK I	0.40%	USADDRESS	P. O. BOX 33022	ST PETERSBURG	FL	337338022	EAGLE FUND SERVICES	14214L791
32057	CARILLON REAMS CORE PLUS BOND CL Y	0.40%	USADDRESS	P. O. BOX 33022	ST PETERSBURG	FL	337338022	EAGLE FUND SERVICES	14214M591
32057	CARILLON SCOUT MID CAP FUND CL Y	0.40%	USADDRESS	P. O. BOX 33022	ST PETERSBURG	FL	337338022	EAGLE FUND SERVICES	14214M831
32057	CAUSEWAY INTERNATNALVALUE INVESTOR	0.40%	USADDRESS	P. O. BOX 1100	OAKS	PA	19456	CAUSEWAY	14949P109
32057	CENTRE AMERICAN SELECT EQUITY INVSTR	0.40%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80203	CENTRE FUNDS	156287104
32057	CENTRE AMERICAN SELECT EQUITY INSTL	0.10%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80203	CENTRE FUNDS	156287203
32057	CION ARES DIVERSIFIED CREDIT I	0.20%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80220	CION INVESTMENTS	17260G301
32057	CLIFFWATER CORPORATE LENDING FUND I	0.15%	USADDRESS	4640 ADMIRALTY WAY, 11TH FL	MARINA DEL REY	CA	90292	CLIFFWATER LLC	186854204

32057	CLIFFWATER ENHANCED LENDING FUND INSTL	0.20%	USADDRESS	4640 ADMIRALTY WAY, 11TH FL	MARINA DEL REY	CA	90292	CLIFFWATER LLC	18685P108
32057	COHEN & STEERS REAL ESTATE SECURITIES I	0.15%	USADDRESS	280 PARK AVE, 10TH FL	NEW YORK	NY	10017	COHEN & STEERS FUNDS	191912401
32057	COHEN & STEERS REALTY SHARES	0.40%	USADDRESS	280 PARK AVE, 10TH FL	NEW YORK	NY	10017	COHEN & STEERS FUNDS	192476109
32057	COHEN & STEERS REALTY I	0.15%	USADDRESS	280 PARK AVE, 10TH FL	NEW YORK	NY	10017	COHEN & STEERS FUNDS	192476505
32057	COHEN & STEERS INSTL REALTY SHARES	0.10%	USADDRESS	280 PARK AVE, 10TH FL	NEW YORK	NY	10017	COHEN & STEERS FUNDS	19247U106
32057	COHEN & STEERS PREF SECURITIES INC A	0.40%	USADDRESS	280 PARK AVE, 10TH FL	NEW YORK	NY	10017	COHEN & STEERS FUNDS	19248X109
32057	COLUMBIA ACORN INTL SELECT ADV	0.10%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	197199441
32057	COLUMBIA MORTGAGE OPPORTUNITIES CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19764F813
32057	COLUMBIA LARGE CAP CORE FUND CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765H313
32057	COLUMBIA STRATEGIC INCOME CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765L801
32057	COLUMBIA OVERSEAS VALUE FUND CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765M338
32057	COLUMBIA DIVIDEND INCOME CL A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765N278
32057	COLUMBIA CONTRARIAN CORE FUND CL I	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765P406
32057	COLUMBIA REAL ESTATE EQUITY CL I	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765P547
32057	COLUMBIA SELECT LRG CAP GROWTH CLASS A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19765Y712
32057	COLUMBIA SELIGMAN GLOBAL TECHNOLGY A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19766H320
32057	COLUMBIA FLEXIBLE CAPITAL INCOME A	0.40%	USADDRESS	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110	COLUMBIA FUNDS	19766J888
32057	CULLEN EMERGING MRKT HIGH DIVIDEND CL I	0.12%	USADDRESS	645 FIFTH AVE	NEW YORK	NY	10022	CULLEN	230001752
32057	DFA INTERNATIONAL CORE EQUITY	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203371
32057	DFA US CORE EQUITY II	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203397
32057	DFA US CORE EQUITY I	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203413
32057	DFA EMERGING MRKTS CORE EQU PORTF	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203421
32057	DFA US MICRO CAP PRTF INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203504
32057	DIMENSIONAL EMERGING MKTS VAL PRTF INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203587
32057	DFA EMERGING MARKETS SMALL CAP	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203611
32057	DFA INTERNATIONAL SMALL COMPANY PORT	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203629
32057	DFA INT'L SMALL CAP VALUE	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203736
32057	DFA US SMALL CAP VALUE PRTF INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203819
32057	DFA US LARGE CAP VALUE PRTF INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203827
32057	DFA REAL ESTATE SEC PRTF INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203835
32057	DFA US SMALL CAP PORTFOLIO INSTL CL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203843
32057	DFA INTERMEDIATE GOVT F/I PRTF INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203876
32057	DFA FIVE YEAR GLBL FIXED INC PRTF INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	233203884
32057	DFA US HIGH RELATIVE PROFIT PORT INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	23320G133
32057	DFA INVESTMENT GRADE PORTFOLIO INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	23320G448
32057	DFA SHORT TERM EXTENDED QUAL INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	23320G521
32057	DFA GLOBAL REAL ESTATE SEC PORTFOLIO	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	23320G554
32057	DELAWARE SMALL CAP VALUE CLASS A	0.10%	USADDRESS	2005 MARKET ST	PHILADELPHIA	PA	19103	DELAWARE GROUP	246097109
32057	DELAWARE SMALL CAP VALUE INSTL CL	0.15%	USADDRESS	2005 MARKET ST	PHILADELPHIA	PA	19103	DELAWARE GROUP	246097208
32057	DWS CROCI INTERNATIONAL A	0.40%	USADDRESS	280 PARK AVE, 9TH FLR	NEW YORK	NY	10026	DWS INVESTMENTS	25156G673
32057	DWS RREEF REAL ASSETS FUND INSTL CL	0.15%	USADDRESS	280 PARK AVE, 9TH FLR	NEW YORK	NY	10026	DWS INVESTMENTS	25159K705
32057	DWS RREEF REAL ESTATE SECURITIES IN	0.10%	USADDRESS	280 PARK AVE, 9TH FLR	NEW YORK	NY	10026	DWS INVESTMENTS	25159L737
32057	DWS ENHANCED COMMODITY STRATEGY A	0.40%	USADDRESS	280 PARK AVE, 9TH FLR	NEW YORK	NY	10026	DWS INVESTMENTS	25159L877
32057	DFA GLOBAL CORE PLUS FIXED INC INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	25239Y386
32057	DFA SHORT-DURATION REAL RETURN INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	25239Y576
32057	DIAMOND HILL SMALL- MID CAP FD I	0.15%	USADDRESS	325 JOHN H MCCONNELL BLVD STE 200	COLUMBUS	OH	43215	DIAMOND HILL FUNDS	25264S783
32057	DFA INTERNATIONAL VALUE PRTF INSTL	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	25434D203
32057	DFA INTERNATIONAL VALUE PORT III	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	25434D708
32057	DFA US LARGE CAP VALUE PORT III	0.02%	USADDRESS	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746	DIMENSIONAL	25434D807
32057	DIREXION MONTHLY NASDAQ100BULL2X INV	0.40%	USADDRESS	155 SEAPORT BOULEVARD, STE P8	BOSTON	MA	02210	DIREXION FUNDS	254939200
32057	DIREXION MONTHLY 10 YR NOTE BULL 2X INV	0.40%	USADDRESS	155 SEAPORT BOULEVARD, STE P8	BOSTON	MA	02210	DIREXION FUNDS	254939689
32057	DIREXION MONTHLY S&P 500 BULL 2X INV	0.40%	USADDRESS	155 SEAPORT BOULEVARD, STE P8	BOSTON	MA	02210	DIREXION FUNDS	254939705
32057	DIREXION MONTHLY SM CAP BULL 2X INV	0.40%	USADDRESS	155 SEAPORT BOULEVARD, STE P8	BOSTON	MA	02210	DIREXION FUNDS	254939838
32057	DOMINI IMPACT EQUITYINVESTOR	0.40%	USADDRESS	536 BROADWAY 7TH FL	NEW YORK	NY	10012	DOMINI	257132100
32057	DOUBLELINE TOTAL RETURN BOND FD CL I	0.06%	USADDRESS	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202	DOUBLELINE	258620103
32057	DOUBLELINE TOTAL RT BOND FD CL N	0.40%	USADDRESS	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202	DOUBLELINE	258620202
32057	DOUBLELINE CORE FIXED INCOME FD CL N	0.40%	USADDRESS	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202	DOUBLELINE	258620400
32057	DOUBLELINE SHILLER ENHANCED CAP CL N	0.40%	USADDRESS	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202	DOUBLELINE	258620814
32057	DOUBLELINE SHILLER ENHANCED CAP CL I	0.06%	USADDRESS	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202	DOUBLELINE	258620822
32057	DRIEHAUS EMERGING MARKETS	0.40%	USADDRESS	25 EAST ERIE ST	CHICAGO	IL	60611	DRIEHAUS CAPITAL MANAGEMENT	262028301
32057	DRIEHAUS SMALL CAP GROWTH INVESTOR CL	0.40%	USADDRESS	25 EAST ERIE ST	CHICAGO	IL	60611	DRIEHAUS CAPITAL MANAGEMENT	262028749
32057	EATON VANCE ATLANTA CAP FOCUSED GRWTH I	$16.00	USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277902722
32057	EATON VANCE SHT DUR INFLAT PRO INCOME A	0.40%	USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277905378
32057	EATON VANCE GOVT OPPORTUNITIES CL A	$16.00	USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277911103
32057	EATON VANCE FLOATINGRATE FUND CLASS A	$16.00	USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277911129
32057	EATON VANCE FLOATINGRATE HI INC FD CL A	$16.00	USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277911137
32057	EATON VANCE FLOATING RATE HI INCOME CL I	$16.00	USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277911541
32057	PARAMETRIC COMMODITYSTRATEGIC CL A	0.40%	USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277923132
32057	PARAMETRIC COMMODITYSTRATEGIC CL I	$16.00	USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277923223
32057	EATON VANCE FLOATINGRATE ADVANTAGE CL I	$16.00	USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277923637
32057	EATON VANCE EMRG MARKETS LOCAL INC A	$16.00	USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	277923694
32057	EATON VANCE EMERGING MRKTS DEBT OPPOR A	0.40%	USADDRESS	TWO INTERNATIONAL PLACE	BOSTON	MA	02110	EATON VANCE GROUP	27827V204
32057	AMERICAN EUROPACIFICGROWTH CLASS F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	298706409
32057	AMERICAN EUROPACIFICGROWTH FUND CL F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	29875E100
32057	FPA NEW INCOME	0.10%	USADDRESS	11601 WILSHIRE BLVD, STE 1200	LOS ANGELES	CA	90025	FPA FUNDS	302544101
32057	FPA CRESCENT FUND	0.35%	USADDRESS	11601 WILSHIRE BLVD, STE 1200	LOS ANGELES	CA	90025	FPA FUNDS	30254T759
32057	FMI LARGE CAP FUND	0.40%	USADDRESS	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202	FMI FUNDS	302933205
32057	FMI INTERNATIONAL	0.40%	USADDRESS	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202	FMI FUNDS	302933304
32057	FEDERATED HERMES INTL STR VAL DIV A	0.40%	USADDRESS	4000 ERICSSON DR	WARRENDALE	PA	150867515	FEDERATED FUNDS	314172388
32057	FEDERATED HERMES STR VAL DIV CL A	0.40%	USADDRESS	4000 ERICSSON DR	WARRENDALE	PA	150867515	FEDERATED FUNDS	314172586
32057	FEDERATED HERMES KAUFMANN SM CAP A	0.40%	USADDRESS	4000 ERICSSON DR	WARRENDALE	PA	150867515	FEDERATED FUNDS	314172636
32057	FEDERATED HERMES OPPOR HIGH YLD BD SS	0.40%	USADDRESS	4000 ERICSSON DR	WARRENDALE	PA	150867515	FEDERATED FUNDS	314197104
32057	FEDERATED HERMES INSTL HIGH YLD BD IS	0.15%	USADDRESS	4000 ERICSSON DR	WARRENDALE	PA	150867515	FEDERATED FUNDS	31420B300
32057	EMERALD FINANCE AND BANKING INNOV A	0.08%	USADDRESS	3175 OREGON PIKE	LEOLA	PA	17540	EMERALD MUTUAL FUNDS	317609246
32057	SEAFARER OVERSEAS GROWTH & INC INSTL	0.10%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80203	SEAFARER	317609295
32057	ALPS CORECOMM MNGMNTCOMPT COMM SM STRT I	0.15%	USADDRESS	1290 BROADWAY STE 1100	DENVER	CO	80203	ALPS FUNDS	317609667
32057	ALPS CORECOMM MGMT COMP COMM STRT INV	0.40%	USADDRESS	1290 BROADWAY STE 1100	DENVER	CO	80203	ALPS FUNDS	317609675
32057	VULCAN VALUE PARTNERSMALL CAP INVESTOR	0.40%	USADDRESS	2801 HIGHWAY 280 S, STE 300	BIRMINGHAM	AL	35223	VULCAN FUNDS	317609683
32057	ALPS RED ROCKS GLOB OPPORTUNITY CL INV	0.40%	USADDRESS	1290 BROADWAY STE 1100	DENVER	CO	80203	ALPS FUNDS	317609816
32057	GRANDEUR PEAK GLBL REACH FD INVESTOR	0.40%	USADDRESS	1290 BROADWAY ST, STE 1100	DENVER	CO	80203	GRANDEUR PEAK FUNDS	31761R104
32057	ALPS SMITH TOTAL RETURN BOND CL I	0.15%	USADDRESS	1290 BROADWAY STE 1100	DENVER	CO	80203	ALPS FUNDS	31761R393
32057	SEAFARER OVERSEAS VALUE CLASS INSTL	0.10%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80203	SEAFARER	31761R591
32057	FIRST EAGLE OVERSEAS CLASS I	0.15%	USADDRESS	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105	FIRST EAGLE SOGEN FUNDS	32008F200
32057	FIRST EAGLE SMALL CAP OPPORTUNITY CL A	0.40%	USADDRESS	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105	FIRST EAGLE SOGEN FUNDS	32008F226
32057	FIRST EAGLE GOLD CLASS A	0.40%	USADDRESS	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105	FIRST EAGLE SOGEN FUNDS	32008F408
32057	FIRST EAGLE GLOBAL CLASS A	0.40%	USADDRESS	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105	FIRST EAGLE SOGEN FUNDS	32008F507
32057	FIRST EAGLE GLOBAL CLASS I	0.15%	USADDRESS	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105	FIRST EAGLE SOGEN FUNDS	32008F606
32057	FIRST EAGLE US VALUE CLASS A	0.40%	USADDRESS	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105	FIRST EAGLE SOGEN FUNDS	32008F887
32057	FIRSTHAND TECHNOLOGYOPPORTUNITIES FUND	0.40%	USADDRESS	150 ALMADEN BLVD., STE 1250	SAN JOSE	CA	95113	FIRSTHAND FUNDS	337941504
32057	ABSOLUTE CONVERTIBLE ARBITRAGE INVESTOR	0.12%	USADDRESS	PO BOX 588	PORTLAND	ME	04112	ABSOLUTE FUNDS	34984T253
32057	DF DENT MIDCAP GROWTH FUND INSTL	0.12%	USADDRESS	2 EAST READ ST 6TH FL	BALTIMORE	MD	21202	DF DENT	34984T279
32057	DF DENT MIDCAP GROWTH FUND INVESTOR	0.12%	USADDRESS	2 EAST READ ST 6TH FL	BALTIMORE	MD	21202	DF DENT	34984T451
32057	ACUITAS US MICROCAP INSTITUTIONAL FUND	0.12%	USADDRESS	THREE CANAL PLAZA, STE 600	PORTLAND	ME	04101	ACUITAS FUNDS	34984Y807
32057	POLARIS GLOBAL VALUE	0.12%	USADDRESS	THREE CANAL PLAZA, STE 600	PORTLAND	ME	04101	POLARIS GLOBAL	349903484
32057	FRANKLIN DYNATECH FUND A	$16.00	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	353496201
32057	FRANKLIN UTILITIES CL A	$16.00	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	353496474
32057	FRANKLIN INCOME CL A	$16.00	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	353496490
32057	FRANKLIN INCOME CLASS C	$19.00	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	353496805
32057	FRANKLIN GOLD AND PRECIOUS METALS CL A	$16.00	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	353535107

32057	FRANKLIN CONVERTIBLESECURITIES ADVISOR	$16.00	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	353612641
32057	AMERICAN FUNDAMENTALINVESTORS CL F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	360802821
32057	POLEN GROWTH FUND INST'L SHARES	0.15%	USADDRESS	1825 NW CORPORATE BLVD, STE 300	BOCA RATON	FL	33431	POLEN GROWTH FUNDS	360873657
32057	GABELLI GOLD FUND CLAAA	0.40%	USADDRESS	401 THEODORE FREMD. AVE.	RYE	NY	10580	GABELLI/WESTWOOD FUNDS	36239R107
32057	GABELLI SMALL CAP GROWTH AAA	0.35%	USADDRESS	401 THEODORE FREMD. AVE.	RYE	NY	10580	GABELLI/WESTWOOD FUNDS	36239T103
32057	GABELLI EQUITY INCOME FUND AAA	0.35%	USADDRESS	401 THEODORE FREMD. AVE.	RYE	NY	10580	GABELLI/WESTWOOD FUNDS	36239T202
32057	GABELLI UTILITIES	0.35%	USADDRESS	401 THEODORE FREMD. AVE.	RYE	NY	10580	GABELLI/WESTWOOD FUNDS	36240E103
32057	GLENMEDE LARGE CAP CORE	0.40%	USADDRESS	1650 MARKET ST. STE 1200	PHILADELPHIA	PA	19103	GLENMEDE	378690788
32057	GOEHRING & ROZENCWAJG RES INSTL	0.10%	USADDRESS	1290 BROADWAY ST STE 1100	DENVER	CO	80203	GOEHRING & ROZENCWAJG	38035R208
32057	GOLDMAN SACHS INTL EQUITY ESG CL A	0.40%	USADDRESS	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38141W596
32057	GOLDMAN SACHS INTL EQUITY INSIGHTS A	0.40%	USADDRESS	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38142V878
32057	GOLDMAN SACHS BOND FUND INSTL CLASS	0.07%	USADDRESS	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38143H415
32057	GOLDMAN SACHS EMERGEMKTS DEBT FUND CL A	0.40%	USADDRESS	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38143H803
32057	GOLDMAN SACHS INTL EQUITY INCOME CL A	0.40%	USADDRESS	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38144N502
32057	GOLDMAN SACHS INTL EQUITY INCOME INSTL	0.12%	USADDRESS	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38144N809
32057	GOLDMAN SACHS GQG PARTNERS INTL OPP I	0.17%	USADDRESS	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38147N293
32057	GOLDMAN SACHS GQG PART INTERNTL OPP A	0.40%	USADDRESS	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606	GOLDMAN SACHS ASSET MGMT GROUP	38147N327
32057	GREEN CENTURY BALANCED	0.40%	USADDRESS	114 STATE ST., STE. 200	BOSTON	MA	02111	GREEN CENTURY FUNDS	392768107
32057	GREEN CENTURY MSCI INTL INDEX INVESTOR	0.40%	USADDRESS	114 STATE ST., STE. 200	BOSTON	MA	02111	GREEN CENTURY FUNDS	392768404
32057	APOLLO DIVERSIFIED RE FD CL I	0.15%	USADDRESS	1290 BROADWAY ST, STE 1100	SMITHFIELD	RI	02917	APOLLO FUNDS	39822J300
32057	AMERICAN GROWTH FUNDOF AMERICA CL F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	399874825
32057	GUGGENHEIM LIMITED DURATION CL INSTL	0.15%	USADDRESS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	40168W483
32057	GUGGENHEIM TOTAL RETURN BOND FD INSTL	0.15%	USADDRESS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	40168W525
32057	GUGGENHEIM MACRO OPPORTUNTITIES INSTL	0.15%	USADDRESS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	40168W582
32057	GUGGENHEIM LIMITED DURATION CL P	0.40%	USADDRESS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	40169J705
32057	GUGGENHEIM MACRO OPPORTUNITIES CL P	0.40%	USADDRESS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	40169J804
32057	GUGGENHEIM RISK MANAGED REAL EST P	0.40%	USADDRESS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	40169J838
32057	GUGGENHEIM TOTAL RETURN BOND CL P	0.40%	USADDRESS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	40169J879
32057	JOHN HANCOCK REGIONAL BANK CL A	0.40%	USADDRESS	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210	JOHN HANCOCK FUNDS	409905106
32057	JOHN HANCOCK BOND CLASS A	0.40%	USADDRESS	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210	JOHN HANCOCK FUNDS	410223101
32057	HARBOR INTL INV	0.35%	USADDRESS	111 S. WACKER DR, 34TH FL	CHICAGO	IL	60606	HARBOR FUNDS	411511645
32057	HARDING LOEVNER INTL EQUITY PORT INSTL	0.15%	USADDRESS	PO BOX 4766	CHICAGO	IL	60680	HARDING LOEVNER	412295107
32057	OAKMARK FUND INVESTOR CLASS	0.35%	USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838103
32057	OAKMARK INTL INVESTOR CL	0.35%	USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838202
32057	OAKMARK EQUITY & INCOME INVESTOR CL	0.35%	USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838400
32057	OAKMARK INTERNAT'L SMALL CAP INVESTOR	0.35%	USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838509
32057	OAKMARK SELECT INVESTOR CL	0.35%	USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838608
32057	OAKMARK INTL SMALL CAP FUND ADVISOR	0.10%	USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838665
32057	OAKMARK INTL ADVISOR FUND	0.15%	USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838731
32057	OAKMARK FUND ADVISORCLASS	0.15%	USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838798
32057	OAKMARK GLOBAL SELECT FD INVESTOR	0.35%	USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838822
32057	OAKMARK GLOBAL FUND INVESTOR CLASS	0.35%	USADDRESS	111 SOUTH WACKER DR.	CHICAGO	IL	60606	OAKMARK FUNDS	413838830
32057	HARTFORD SMALL CAP GROWTH CLASS A	0.40%	USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	416529105
32057	HARTFORD HEALTHCARE FUND CL A	0.40%	USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	416645398
32057	HARTFORD CORE EQUITY CLASS Y	0.10%	USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	416645653
32057	HARTFORD CORE EQUITYCLASS A	0.40%	USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	416645679
32057	HARTFORD BALANCED INCOME FD CL A	0.35%	USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	416648244
32057	THE HARTFORD DIV AND GROWTH FD CL I	0.15%	USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	416649606
32057	HARTFORD STRATEGIC INCOME FUND CL A	0.35%	USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	41664L666
32057	HARTFORD CLIMATE OPPORTUNITIES CL I	0.15%	USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	41664T883
32057	HARTFORD SCHRODERS INTL MULTICAP CL A	0.40%	USADDRESS	100 MATSONFORD RD, STE 300	RADNOR	PA	19087	HARTFORD FUNDS	41665H433
32057	HEARTLAND VALUE PLUS	0.40%	USADDRESS	789 N. WATER ST	MILWAUKEE	WI	53202	HEARTLAND FUNDS	422352500
32057	HEARTLAND VALUE	0.40%	USADDRESS	789 N. WATER ST	MILWAUKEE	WI	53202	HEARTLAND FUNDS	422359109
32057	HENNESSY CORNERSTONEMID CAP 30 INV CL	0.40%	USADDRESS	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945	HENNESSY FUNDS	425888302
32057	HENNESSY FOCUS FUND INVESTOR CLASS	0.40%	USADDRESS	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945	HENNESSY FUNDS	42588P700
32057	NEXPOINT MERGER ARBITRAGE CL Z	0.15%	USADDRESS	200 CRESCENT COURT, STE 700	DALLAS	TX	75201	HIGHLAND CAPITAL	430101642
32057	HOTCHKIS & WILEY MIDCAP VALUE CL A	0.40%	USADDRESS	725 S FIGUEROA 39TH FL	LOS ANGELES	CA	90017	HOTCHKIS & WILEY	44134R206
32057	HOTCHKIS & WILEY VALUE OPP CLASS A	0.40%	USADDRESS	725 S FIGUEROA 39TH FL	LOS ANGELES	CA	90017	HOTCHKIS & WILEY	44134R792
32057	HUSSMAN STRATEGIC TOTAL RETURN	$12.00	USADDRESS	225 PICTORIA DR, STE 450	CINCINNATI	OH	45246	HUSSMAN	448108209
32057	AMERICAN INCOME FUND OF AMERICA CL F2	0.12%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	453320822
32057	AMERICAN INTERMED BOND OF AMERICA F2	0.12%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	458809829
32057	AMERICAN INVESTMENT CO OF AMERICA CL F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	461308405
32057	WCM FOCUSED INTL GROWTH FUND INVESTOR	0.40%	USADDRESS	2220 EAST ROUTE 66, STE 226	GLENDORA	CA	91740	WCM FUNDS	461418386
32057	WCM FOCUSED INTL GROWTH FUND INSTL	0.40%	USADDRESS	2220 EAST ROUTE 66, STE 226	GLENDORA	CA	91740	WCM FUNDS	461418444
32057	EUROPAC INTL VALUE FUND CLASS A	0.08%	USADDRESS	LOTS 81 82, ST C, STE 204	DORADO	PR	00646	EURO PACIFIC FUNDS	461418766
32057	RIVERBRIDGE GROWTH FUND INVESTOR	0.40%	USADDRESS	2220 E. ROUTE 66, STE 226	GLENDORA	CA	91740	RIVERBRIDGE FUNDS	46141P305
32057	EUROPAC INTERNATNL DIVIDEND INC CL A	0.08%	USADDRESS	LOTS 81 82, ST C, STE 204	DORADO	PR	00646	EURO PACIFIC FUNDS	46141P487
32057	EUROPAC GOLD FUND CLASS A	0.08%	USADDRESS	LOTS 81 82, ST C, STE 204	DORADO	PR	00646	EURO PACIFIC FUNDS	46141P677
32057	WCM FOCUSED EMERGINGMARKETS INVESTOR	0.40%	USADDRESS	2220 EAST ROUTE 66, STE 226	GLENDORA	CA	91740	WCM FUNDS	46141P842
32057	ARISTOTLE CORE EQUITY CL I	0.12%	USADDRESS	2220 E. ROUTE 66, STE 226	GLENDORA	CA	91740	ARISTOTLE FUNDS	46141Q360
32057	AXS ALTERNATIVE VALUE FUND INVESTOR	0.40%	USADDRESS	181 WESTCHESTER AVE, STE 402	PORT CHESTER	NY	10573	AXS FUNDS	46141T240
32057	AXS CHESAPEAKE STRATEGY I	0.10%	USADDRESS	181 WESTCHESTER AVE, STE 402	PORT CHESTER	NY	10573	AXS FUNDS	46141T372
32057	DELAWARE IVY EMERG MARKETS EQUITY A	0.40%	USADDRESS	2005 MARKET ST	PHILADELPHIA	PA	19103	DELAWARE GROUP	465897866
32057	DELAWARE IVY SCIENCE& TECHNOLOGY CL A	0.40%	USADDRESS	2005 MARKET ST	PHILADELPHIA	PA	19103	DELAWARE GROUP	466000718
32057	LOOMIS SAYLES GLOBALALLOCATION CLASS A	0.40%	USADDRESS	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116	NATIXIS GLOBAL ASSOCIATES	46602Q107
32057	JPMORGAN HEDGED EQUITY CLASS I	0.15%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	46637K281
32057	JPMORGAN HEDGED EQUITY CLASS A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	46637K315
32057	JPMORGAN SHORT DURATION CORE PLUS I	0.15%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	46637K455
32057	JPMORGAN GL BOND OPPORTUNITIES FUND A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	46637K711
32057	JP MORGAN HEDGED EQUITY 3 FD I	0.08%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	46645V329
32057	JOHCM INTERNATIONAL SELECT INV	0.40%	FOREIGNADDRESS	14 Ryder ST, Ryder Court, Ground FL	LONDON	GB	SW1Y 6QB	JOHCM FUNDS	46653M823
32057	JACOB MICRO CAP GROWTH INV CL	0.40%	USADDRESS	727 2ND ST, STE 106	HERMOSA BEACH	CA	90254	JACOB FUNDS	469785406
32057	JACOB INTERNET	0.40%	USADDRESS	727 2ND ST, STE 106	HERMOSA BEACH	CA	90254	JACOB FUNDS	469785604
32057	JAMES BALANCED: GOLDEN RAINBOW FUND	0.40%	USADDRESS	1290 BROADWAY ST. STE 1100	DENVER	CO	80203	JAMES ADVANTAGE	470259102
32057	JANUS HENDERSON GROWTH & INCOME T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023200
32057	JANUS HENDERSON GL LIFE SCIENCES I	$14.00	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023465
32057	JANUS HENDERSON FLEXIBLE BOND T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023606
32057	JANUS HENDERSON GLOBAL SELECT T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023648
32057	JANUS HENDERSON CONTRARIAN T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023655
32057	JANUS HENDERSON GLOB TECH & INNOV T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023663
32057	JANUS HENDERSON GL LIFE SCIENCES T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023671
32057	JANUS HENDERSON HIGH-YIELD T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023762
32057	JANUS HENDERSON ENTERPRISE T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023804
32057	JANUS HENDERSON OVERSEAS T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023846
32057	JANUS HENDERSON BALANCED T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	471023879
32057	JANUS HENDERSON GL REAL ESTATE T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	47103A567
32057	JANUS HENDERSON FORTY T	0.35%	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	47103A625
32057	JANUS HENDERSON ENTERPRISE I	$14.00	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	47103C795
32057	JANUS HENDERSON DEVELOPED WORLD BD I	$14.00	USADDRESS	151 DETROIT ST.	DENVER	CO	80206	JANUS FUNDS	47103Y839
32057	JENSEN QUALITY GROWTH FD CL J	0.40%	USADDRESS	811 E. WISCONSIN AVE, 8TH FL	MILWAUKEE	WI	53202	JENSEN FUNDS	476313101
32057	JOHN HANCOCK DISCIPL VALUE INTL FD CL I	0.10%	USADDRESS	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210	JOHN HANCOCK FUNDS	47803P294
32057	JOHN HANCOCK DISCIPL INED VALUE MID CAP	0.10%	USADDRESS	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210	JOHN HANCOCK FUNDS	47803W505
32057	JOHN HANCOCK STR INC OPPORTUNITIES CL I	0.05%	USADDRESS	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210	JOHN HANCOCK FUNDS	47804A130
32057	JPMORGAN GLOBAL ALLOCATION CLASS I	0.08%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	48121L692
32057	JPMORGAN EMERGING MARKETS EQUITY CL A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A0607
32057	JPMORGAN US EQUITY FUND CLASS A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A1183
32057	JPMORGAN US VALUE CLASS A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A1456
32057	JPMORGAN US VALUE CLASS I	0.15%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A1464
32057	JP MORGAN INCOME BUILDER FUND CL A	0.38%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A3288

32057	JP MORGAN STRATEGIC INCOME OPPORT A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812A4385
32057	JPMORGAN CORE BOND CLASS I	0.15%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0381
32057	JPMORGAN EQUITY INCOME FUND CL A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0464
32057	JPMORGAN EQUITY INCOME CLASS I	0.15%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0498
32057	JPMORGAN LARGE CAP GROWTH CLASS A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0506
32057	JPMORGAN LARGE CAP GROWTH CLASS I	0.15%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0530
32057	JPMORGAN SMALL CAP GROWTH CLASS A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0548
32057	JPMORGAN CORE PLUS BOND CLASS I	0.15%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C0845
32057	JPMORGAN LARGE CAP VALUE FUND CLASS A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C1561
32057	JPMORGAN MID CAP GROWTH FUDN CLASS A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	4812C1686
32057	KINETICS PARADIGM FUND	0.40%	USADDRESS	470 PARK AVE SOUTH	NEW YORK	NY	10016	KINETICS (INTERNET) FUNDS	494613607
32057	KINETICS SMALL CAP OPPORTUNITIES	0.40%	USADDRESS	470 PARK AVE SOUTH	NEW YORK	NY	10016	KINETICS (INTERNET) FUNDS	494613706
32057	KINETICS MARKET OPPORTUNITIES FD	0.40%	USADDRESS	470 PARK AVE SOUTH	NEW YORK	NY	10016	KINETICS (INTERNET) FUNDS	494613789
32057	KINETICS GLOBAL FUNDNO LOAD CLASS SHARES	0.40%	USADDRESS	470 PARK AVE SOUTH	NEW YORK	NY	10016	KINETICS (INTERNET) FUNDS	494613805
32057	LAZARD GLOBAL LISTEDINFRASTRUCTURE OPEN	0.40%	USADDRESS	30 ROCKEFELLER PLAZA, 57TH FL.	NEW YORK	NY	10112	LAZARD FUNDS	52106N442
32057	LAZARD GLOBAL LISTEDINFRASTRUCTE INSTL	0.15%	USADDRESS	30 ROCKEFELLER PLAZA, 57TH FL.	NEW YORK	NY	10112	LAZARD FUNDS	52106N459
32057	LAZARD INTL STRAT EQUITY PORT OPEN CL	0.40%	USADDRESS	30 ROCKEFELLER PLAZA, 57TH FL.	NEW YORK	NY	10112	LAZARD FUNDS	52106N582
32057	CLEARBRIDGE SMALL CAP FUND CLASS A	0.40%	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	524686482
32057	CLEARBRIDGE LARGE CAP GROWTH A	0.40%	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	52469H826
32057	CLEARBRIDGE SELECT FUND CL A	0.40%	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	52471R648
32057	LEUTHOLD CORE INVESTMENT RETAIL	0.40%	USADDRESS	33 SOUTH SIXTH ST. STE 4600	MINNEAPOLIS	MN	55402	LEUTHOLD FUNDS	527289102
32057	LEUTHOLD CORE INVSMT FD CL INSTL	0.12%	USADDRESS	33 SOUTH SIXTH ST. STE 4600	MINNEAPOLIS	MN	55402	LEUTHOLD FUNDS	527289409
32057	LEUTHOLD GRIZZLY SHORT FUND	0.40%	USADDRESS	33 SOUTH SIXTH ST. STE 4600	MINNEAPOLIS	MN	55402	LEUTHOLD FUNDS	527289797
32057	LOOMIS SAYLES LMTD TERM GOV'T & AGNY Y	0.05%	USADDRESS	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116	NATIXIS GLOBAL ASSOCIATES	543487326
32057	LOOMIS SAYLES SMALL CAP GROWTH INSTL	0.05%	USADDRESS	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116	LOOMIS SAYLES FUNDS	543487854
32057	LOOMIS SAYLES GLOBAL ALLOCATION CLASS Y	0.05%	USADDRESS	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116	NATIXIS GLOBAL ASSOCIATES	543487870
32057	LOOMIS SAYLES GLOBAL BOND RETAIL	0.35%	USADDRESS	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116	LOOMIS SAYLES FUNDS	543495774
32057	LOOMIS SAYLES BOND RETAIL SHARES	0.35%	USADDRESS	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116	LOOMIS SAYLES FUNDS	543495832
32057	LOOMIS SAYLES BOND INSTL	0.20%	USADDRESS	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116	LOOMIS SAYLES FUNDS	543495840
32057	LORD ABBETT GROWTH LEADERS FUND CL A	0.45%	USADDRESS	90 HUDSON ST 10TH FL	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	543915326
32057	LORD ABBETT SHORT DURATION INCOME CL A	0.37%	USADDRESS	90 HUDSON ST 10TH FL	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	543916100
32057	LORD ABBETT SHORT DURATION INCOME CL I	0.15%	USADDRESS	90 HUDSON ST 10TH FL	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	543916688
32057	LORD ABBETT BOND DEBENTURE CLASS A	0.37%	USADDRESS	90 HUDSON ST 10TH FL	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	544004104
32057	LORD ABBETT DEVELOP GROWTH CLASS A	0.45%	USADDRESS	90 HUDSON ST 10TH FL	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	544006109
32057	LORD ABBETT MICRO CAP GROWTH FUND A	0.45%	USADDRESS	90 HUDSON ST 10TH FL	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	54400B546
32057	LORD ABBETT INFLTN FOCUSED CL A	0.37%	USADDRESS	90 HUDSON ST 10TH FL	JERSEY CITY	NJ	07302	LORD ABBETT FAMILY OF FUNDS	54400U205
32057	MFS MID CAP VALUE CLASS A	0.40%	USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	55272P638
32057	MFS INTERNATIONAL GROWTH CLASS A	0.40%	USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	55273E103
32057	MFS EMERGING MARKETSDEBT CL A	0.40%	USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	55273E673
32057	MFS INTERNATIONAL NEW DISCOVERY CL A	0.40%	USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	552981888
32057	MFS RESEARCH INTL FD CL I	0.08%	USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	552983470
32057	MFS GLOBAL EQUITY CLASS A	0.40%	USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	552986507
32057	MADISON DIVIDEND INCOME FUND CL Y	0.40%	USADDRESS	550 SCIENCE DR	MADISON	WI	53711	MADISON MOSAIC FUNDS	557492477
32057	MAINSTAY MACKAY HIGHYIELD CORP BD CL A	0.40%	USADDRESS	30 HUDSON ST, 23RD FL	ARLINGTON	NJ	07032	MAINSTAY	56062F772
32057	MUHLENKAMP FUND	0.40%	USADDRESS	5000 STONEWOOD DR.	WEXFORD	PA	15090	MUHLENKAMP FUNDS	56166Y438
32057	NUANCE MID CAP VALUEFUND INSTL	0.15%	USADDRESS	4900 MAIN ST, STE 220	KANSAS CITY	MO	64112	NUANCE FUNDS	56166Y511
32057	KENSINGTON MANAGED INCOME CLASS I	0.15%	USADDRESS	100 Salem ST	SMITHFIELD	RI	02917	KENSINGTON FUNDS	56167N324
32057	HOOD RIVER SMALL CAPGROWTH INVESTOR	0.40%	USADDRESS	6001 SHADY OAK ROAD, STE 200	MINNETONKA	MN	55343	HOOD RIVER SMALL-CAP GROWTH FUND	56170L109
32057	MANNING & NAPIER PROBLEND MAX TERM CL S	0.40%	USADDRESS	290 WOODCLIFF DR.	FAIRPORT	NY	14450	MANNING & NAPIER	563821594
32057	MANNING & NAPIER PROBLEND CONSV CL S	0.40%	USADDRESS	290 WOODCLIFF DR.	FAIRPORT	NY	14450	MANNING & NAPIER	563821651
32057	MANNING & NAPIER PROBLEND EXTD CL S	0.40%	USADDRESS	290 WOODCLIFF DR.	FAIRPORT	NY	14450	MANNING & NAPIER	563821768
32057	MFS MASS INVESTOR GROWTH STOCK A	0.40%	USADDRESS	111 HUNTINGTON AVE	BOSTON	MA	021997632	MFS FAMILY OF FUNDS	575719109
32057	MATTHEW 25	0.40%	USADDRESS	P.O. BOX 2479	JENKINTOWN	PA	19046	MATTHEW 25 FUND	577119100
32057	MATTHEWS ASIA DIVIDEND FUND	0.40%	USADDRESS	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577125107
32057	MATTHEWS EMERG MRKTSSM COMPANIES INVSTR	0.40%	USADDRESS	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577125206
32057	MATTHEWS CHINA SMALLCOMPANIES INVESTOR	0.40%	USADDRESS	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577125404
32057	MATTHEW ASIA CREDIT OPPORTUNITIES CL INV	0.40%	USADDRESS	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577130677
32057	MATTHEWS CHINA DIVIDEND FD INSTL CL	0.10%	USADDRESS	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577130735
32057	MATTHEWS INDIA FUND	0.40%	USADDRESS	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577130859
32057	MATTHEWS ASIAN INNOVATORS FD INVST	0.40%	USADDRESS	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111	MATTHEWS ASIAN FUNDS	577130883
32057	MERGER FUND CLASS A	0.40%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	589509108
32057	METROPOLITAN WEST TOT RETURN BOND CL M	0.35%	USADDRESS	865 S FIGUEROA ST 1400	LOS ANGELES	CA	90017	METROPOLITAN WEST FUNDS	592905103
32057	METROPOLITAN WEST LOW DURATION M	0.35%	USADDRESS	865 S FIGUEROA ST 1400	LOS ANGELES	CA	90017	METROPOLITAN WEST FUNDS	592905202
32057	METROPOLITAN WEST TOTAL RETURN CLASS I	0.10%	USADDRESS	865 S FIGUEROA ST 1400	LOS ANGELES	CA	90017	METROPOLITAN WEST FUNDS	592905509
32057	METROPOLITAN WEST HIGH YIELD BOND CL M	0.40%	USADDRESS	865 S FIGUEROA ST 1400	LOS ANGELES	CA	90017	METROPOLITAN WEST FUNDS	592905871
32057	MILLER CONVERTIBLE BOND CLASS I	0.10%	USADDRESS	20 WILLIAM ST, STE G5	WELLESLEY	MA	02481	MILLER CONVERTIBLE	60055P201
32057	MORGAN STANLEY MORTGAGE SEC TR CL A	0.40%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	616962106
32057	MORGAN STANLEY CORE PLUS FIXED INC PRT A	0.40%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617440581
32057	MORGAN STANLEY DISCOVERY PORT CL A	0.40%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	617440599
32057	MORGAN STANLEY GROWTH PORTFOLIO A	0.40%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61744J564
32057	MORGAN STA INST INC.INCEPTION PORT CL A	0.40%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61744J614
32057	MORGAN STANLEY GROWTH PORTFOLIO I	0.10%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61744J861
32057	MORGAN STANLEY INSIGHT A	0.40%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61747T106
32057	MORGAN STANLEY INSIGHT I	0.10%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61747T403
32057	MORGAN STANLEY INTL ADVANTAGE CL A	0.40%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61756E446
32057	MORGAN STANLEY INTL ADVANTAGE CL I	0.15%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61756E461
32057	MORGAN STANLEY GLOBAL OPPORTUNITY A	0.40%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61756E685
32057	MORGAN STANLEY GLOBAL OPPORTUNITY I	0.15%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61756E693
32057	MORGAN STANLEY INSTLINTERNTL OPP CL A	0.40%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61756E826
32057	MSIF ASIA OPPORTUNITY CL I	0.10%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61760X224
32057	MS INSTIT EMRG MRKTSLEADERS CLASS A	0.40%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61760X596
32057	MSIF NEXT GEN EMERGING MRKTS A	0.40%	USADDRESS	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036	MORGAN STANLEY FUNDS	61760X810
32057	RATIONAL SPECIAL SITUATIONS INC INSTL	0.10%	USADDRESS	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788	HUNTINGTON	628255432
32057	RATIONAL/RESOLVE ADPTVE AST ALLOC I	0.10%	USADDRESS	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788	HUNTINGTON	628255721
32057	EVENTIDE GILEAD FUND CLASS I	0.15%	USADDRESS	80 ARKAY STE 110	HAUPPAUGE	NY	11788	EVENTIDE FUND	62827L658
32057	EVENTIDE GILEAD FUND CLASS N	0.40%	USADDRESS	80 ARKAY STE 110	HAUPPAUGE	NY	11788	EVENTIDE FUND	62827L682
32057	EVENTIDE HEALTHCARE AND LIFE SCIENCES N	0.40%	USADDRESS	80 ARKAY STE 110	HAUPPAUGE	NY	11788	EVENTIDE FUND	62827M607
32057	EVENTIDE HEALTHCARE AND LIFE SCIENCES I	0.15%	USADDRESS	80 ARKAY STE 110	HAUPPAUGE	NY	11788	EVENTIDE FUND	62827M706
32057	EVENTIDE MULTI ASSETINCOME FUND CL I	0.15%	USADDRESS	80 ARKAY STE 110	HAUPPAUGE	NY	11788	EVENTIDE FUND	62827P303
32057	EVENTIDE DIVIDEND OPPORTUNITIES CL N	0.40%	USADDRESS	80 ARKAY STE 110	HAUPPAUGE	NY	11788	EVENTIDE FUND	62827P576
32057	EVENTIDE DIVIDEND OPPORTUNITIES CL I	0.15%	USADDRESS	80 ARKAY STE 110	HAUPPAUGE	NY	11788	EVENTIDE FUND	62827P584
32057	CATALYST MILLBURN HEDGE STRTGY FD CL I	0.10%	USADDRESS	80 ARKAY STE 110	HAUPPAUGE	NY	11788	CATALYST FUNDS	62827P816
32057	FRANKLIN MUTUAL QUEST FUND CLASS A	$16.00	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	628380800
32057	ALPHASIMPLEX MANAGED FUTURE STRAT CL Y	0.05%	USADDRESS	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116	NATIXIS GLOBAL ASSOCIATES	63872T729
32057	ALPHASIMPLEX MANAGEDFUTURE STRAT CL A	0.40%	USADDRESS	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116	NATIXIS GLOBAL ASSOCIATES	63872T745
32057	NEEDHAM AGGRESSIVE GROWTH	0.40%	USADDRESS	445 PARK AVE 15TH FL	NEW YORK	NY	10022	NEEDHAM FUNDS	63983V209
32057	NEEDHAM SMALL CAP GROWTH	0.40%	USADDRESS	445 PARK AVE 15TH FL	NEW YORK	NY	10022	NEEDHAM FUNDS	63983V308
32057	ADVISORS CAPITAL TACTICAL FX INC INVS	0.40%	USADDRESS	100 Salem ST	SMITHFIELD	RI	02917	ADVISORS CAPITAL	640193843
32057	ADVISORS CAPITAL SMALL MID CAP INVSTR	0.40%	USADDRESS	100 Salem ST	SMITHFIELD	RI	02917	ADVISORS CAPITAL	640193850
32057	ADVISORS CAPITAL US DIVIDEND FD INVESTOR	0.40%	USADDRESS	100 Salem ST	SMITHFIELD	RI	02917	ADVISORS CAPITAL	640193868
32057	NEUBERGER BERMAN GENESIS TRUST CLASS	0.40%	USADDRESS	1290 AVE OF THE AMERICAS, 22ND FL	NEW YORK	NY	10104002	NEUBERGER BERMAN GROUP	640917100
32057	NEUBERGER BERMAN LRG CAP VALUE TRUST	0.40%	USADDRESS	1290 AVE OF THE AMERICAS, 22ND FL	NEW YORK	NY	10104002	NEUBERGER BERMAN GROUP	640917407
32057	NEUBERGER BERMAN LARGE CAP VALUE INST	0.15%	USADDRESS	1290 AVE OF THE AMERICAS, 22ND FL	NEW YORK	NY	10104002	NEUBERGER BERMAN GROUP	641224787
32057	NEW COVENANT INCOME FUND	0.40%	USADDRESS	200 EAST TWELFTH ST	JEFFERSONVILLE	IN	47130	NEW COVENANT FUNDS	643642200
32057	AMERICAN THE NEW ECONOMY FUND CL F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	643822828
32057	AMERICAN NEW PERSPECTIVE CLASS F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	648018406
32057	AMERICAN NEW PERSPECTIVE CL F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	648018828
32057	AMERICAN NEW WORLD CLASS F1	0.37%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	649280401
32057	AMERICAN NEW WORLD FUND CL F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	649280823

32057	NORTHERN SMALL CAP VALUE	0.40%	USADDRESS	801 SOUTH CANAL, C5S	CHICAGO	IL	60675	NORTHERN FUNDS	665162400
32057	DYNAMIC US OPPOR FD CL N	0.40%	USADDRESS	13215 BEE CAVE PKWY	AUSTIN	TX	78738	INNEALTA FUNDS	66538A786
32057	HCM INCOME PLUS FUNDINVESTOR	0.40%	USADDRESS	1145 HEMBREE ROAD	ROSWELL	GA	30076	HOWARD CAPITAL MANAGEMENT	66538G148
32057	HCM INCOME PLUS FUND CLASS A	0.10%	USADDRESS	1145 HEMBREE ROAD	ROSWELL	GA	30076	HOWARD CAPITAL MANAGEMENT	66538G155
32057	ABSOLUTE CAPITAL DEFENDER FD INVESTOR	0.10%	USADDRESS	101 PENNSYLVANIA BLVD	PITTSBURGH	PA	15228	ABSOLUTE CAPITAL FUNDS	66538G296
32057	ABSOLUTE CAPITAL ASSET ALLOCATOR INVS	0.10%	USADDRESS	101 PENNSYLVANIA BLVD	PITTSBURGH	PA	15228	ABSOLUTE CAPITAL FUNDS	66538G338
32057	HCM DIVIDEND SECTOR PLUS FUND INVESTOR	0.40%	USADDRESS	1145 HEMBREE ROAD	ROSWELL	GA	30076	HOWARD CAPITAL MANAGEMENT	66538G627
32057	HCM DIVIDEND SECTOR PLUS FUND CL A	0.10%	USADDRESS	1145 HEMBREE ROAD	ROSWELL	GA	30076	HOWARD CAPITAL MANAGEMENT	66538G643
32057	COUNTERPOINT TACTICAL INCOME CL I	0.15%	USADDRESS	12760 HIGH BLUFF DR, STE 280	SAN DIEGO	CA	92130	COUNTERPOINT FUNDS	66538G759
32057	HCM TACTICAL GROWTH FUND INVESTOR	0.40%	USADDRESS	1145 HEMBREE ROAD	ROSWELL	GA	30076	HOWARD CAPITAL MANAGEMENT	66538G858
32057	HCM TACTICAL GROWTH FUND CL A	0.10%	USADDRESS	1145 HEMBREE ROAD	ROSWELL	GA	30076	HOWARD CAPITAL MANAGEMENT	66538G866
32057	PFG MFS AGGRESSIVE GROWTH STRATEGY R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538J506
32057	PFG JP MORGAN TACTICAGGRESSIVE STRAT R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538J605
32057	PFG BNY MELLON DIVERSIFIER STRAT R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538J829
32057	PFG MEEDER TACTICAL STRATEGY FUND R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538J837
32057	PFG JP MORGAN TACTICMODERATE STRATEGY R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538J852
32057	PFG ACTIVE CORE BOND STRATEGY FUND CL R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66538J878
32057	PFG INVESCO THEMATIC ESG STRATEGY CL R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A488
32057	PFG JANUS HENDERSON BALANCED STRATEGY R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A496
32057	PRINCETON PREMIUM CL I	0.08%	USADDRESS	1580 LINCOLN ST, STE 680	DENVER	CO	80203	PRINCETON FUNDS	66539A603
32057	PFG TACTICAL INCOME STRATEGY CL R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A652
32057	PFG EQUITY INDEX FOCUSED STRATEGY R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A660
32057	PFG SECTOR EQUITY BUS CYCLE STRAT R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A678
32057	PFG BR EQUITY ESG STRATEGY CL R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A686
32057	PFG AMERICAN FUNDS GROWTH STRAT CL R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A694
32057	PFG AMERICAN FDS CONS INC STRAT CL R	0.40%	USADDRESS	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004	PACIFIC FINANCIAL	66539A710
32057	RED OAK TECHNOLOGY SELECT	0.40%	USADDRESS	225 PICTORIA DR, STE 450	CINCINNATI	OH	45246	OAK ASSOCIATES FUNDS	671081305
32057	BLACK OAK EMERGING TECHNOLOGY FUND	0.40%	USADDRESS	225 PICTORIA DR, STE 450	CINCINNATI	OH	45246	OAK ASSOCIATES FUNDS	671081404
32057	OBERWEIS MICRO CAP FUND	0.40%	USADDRESS	3333 WARRENVILLE RD, STE. 500	LISLE	IL	60532	OBERWEIS FUNDS	674375209
32057	OBERWEIS CHINA OPPORTUNITIES FUND	0.40%	USADDRESS	3333 WARRENVILLE RD, STE. 500	LISLE	IL	60532	OBERWEIS FUNDS	674375407
32057	OBERWEIS INTL OPPORTUNITIES FUND	0.40%	USADDRESS	3333 WARRENVILLE RD, STE. 500	LISLE	IL	60532	OBERWEIS FUNDS	674375506
32057	PIMCO LOW DURATION CLASS A	0.38%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	693390411
32057	PIMCO TOTAL RETURN CLASS A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	693390445
32057	PIMCO INTL BD FD U SDOLLAR-HEDGED A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	693391245
32057	PIMCO MORTGAGE BACKED SEC CL A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	693391526
32057	PARADIGM MICRO CAP FUND	0.40%	USADDRESS	9 ELK ST	ALBANY	NY	12207	PARADIGM	69901E500
32057	PARNASSUS MID CAP GROWTH FUND INVST	0.40%	USADDRESS	1 MARKET ST STEUART TOWER STE 1600	SAN FRANCISCO	CA	94105	PARNASSUS FUNDS	701765109
32057	PARNASSUS VALUE EQUITY INVESTOR	0.40%	USADDRESS	1 MARKET ST STEUART TOWER STE 1600	SAN FRANCISCO	CA	94105	PARNASSUS FUNDS	701765869
32057	PARNASSUS MID CAP	0.40%	USADDRESS	1 MARKET ST STEUART TOWER STE 1600	SAN FRANCISCO	CA	94105	PARNASSUS FUNDS	701765885
32057	PARNASSUS CORE EQUITY INVESTOR	0.40%	USADDRESS	1 MARKET ST STEUART TOWER STE 1600	SAN FRANCISCO	CA	94105	PARNASSUS FUNDS	701769101
32057	PARNASSUS FIXED INCOME FUND	0.40%	USADDRESS	1 MARKET ST STEUART TOWER STE 1600	SAN FRANCISCO	CA	94105	PARNASSUS FUNDS	701769200
32057	IMPAX LARGE CAP FUNDINSTITUTIONAL CL	0.15%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80203	PAX WORLD FUNDS	704223486
32057	IMPAX LARGE CAP FD INVESTOR	0.40%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80203	PAX WORLD FUNDS	704223494
32057	IMPAX GLOBAL ENVIRONMARKETS INVESTOR	0.40%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80203	PAX WORLD FUNDS	704223783
32057	IMPAX ELLEVATE GLBL WOMENS LDERSP INV	0.40%	USADDRESS	1290 BROADWAY, STE 1100	DENVER	CO	80203	PAX WORLD FUNDS	70422T208
32057	PAYDEN EMERGING MKTS LOCAL BD FD INVESTO	0.12%	USADDRESS	333 S GRAND AVE 32ND FL	LOS ANGELES	CA	90071	PAYDEN & RYGEL INVESTMENT GROUP	704329275
32057	PEAR TREE POLARIS FRGN VAL SM CAP ORD	0.40%	USADDRESS	55 OLD BEDFORD ROAD	LINCOLN	MA	01773	PEAR TREE FUNDS	70472Q609
32057	PEAR TREE POLARIS FRGN VALUE ORDINARY	0.40%	USADDRESS	55 OLD BEDFORD ROAD	LINCOLN	MA	01773	PEAR TREE FUNDS	70472Q708
32057	PERMANENT PORTFOLIO	0.38%	USADDRESS	600 MONTGOMERY ST STE 4100	SAN FRANCISCO	CA	941112702	PERMANENT PORTFOLIO	714199106
32057	PERMANENT AGGRESSIVEGROWTH PORTFOLIO	0.40%	USADDRESS	600 MONTGOMERY ST STE 4100	SAN FRANCISCO	CA	941112702	PERMANENT PORTFOLIO	714199304
32057	PERMANENT VERSATILE BOND PORTFOLIO	0.40%	USADDRESS	600 MONTGOMERY ST STE 4100	SAN FRANCISCO	CA	941112702	PERMANENT PORTFOLIO	714199403
32057	PIMCO INTL BOND FUND (UNHEDGED) A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	722005196
32057	PIMCO COMMODITY REALRETURN STRAT A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	722005584
32057	PIMCO INVESTMENT GR CREDIT BOND FUND A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	722008307
32057	PIMCO REAL ESTATE REAL RETURN STRAT A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72200Q299
32057	PIMCO STOCKSPLUS INTERNATL US$HDG A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72200Q430
32057	PIMCO ALL ASSET FUNDCLASS A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72200Q711
32057	PIMCO INCOME FUND CL A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201F474
32057	PIMCO STOCKSPLUS INTERNAT'L (UNHDG) A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201F557
32057	PIMCO STOCKSPLUS SHORT FUND A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201F763
32057	PIMCO RAE PLUS FUND A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201F888
32057	PIMCO COMMODITIES PLUS STRATEGY CL A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201P159
32057	PIMCO TRENDS MANAGEDFUTURES STRATEGY A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201U497
32057	PIMCO RAE PLUS EMG FUND A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201U539
32057	PIMCO MORTGAGE OPPOR AND BOND FUND A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201U679
32057	PIMCO CREDIT OPPOR BOND FUND A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72201W451
32057	PIMCO PREFERRED AND CAPITAL SECS CL A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72202E666
32057	PIMCO RAE US SMALL FUND A	0.40%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72202L454
32057	PIMCO FLEXIBLE CREDIT INC FD INSTL	0.15%	USADDRESS	1633 BROADWAY	NEW YORK	NY	10019	PIMCO FUNDS	72202M106
32057	PIONEER FUND CLASS Y	0.15%	USADDRESS	60 STATE ST, 17TH FL.	BOSTON	MA	02109	PIONEER GROUP	723682407
32057	PIONEER GLOBAL SUSTAINABLE EQUITY Y	0.10%	USADDRESS	60 STATE ST, 17TH FL.	BOSTON	MA	02109	PIONEER GROUP	72387N788
32057	PIONEER MULTI-ASSET INCOME CLASS A	0.40%	USADDRESS	60 STATE ST, 17TH FL.	BOSTON	MA	02109	PIONEER GROUP	72387P643
32057	PIONEER FLEXIBLE OPPORTUNITIES CL A	0.40%	USADDRESS	60 STATE ST, 17TH FL.	BOSTON	MA	02109	PIONEER GROUP	72387S407
32057	PRAXIS INTERNATIONAL INDEX FUND CLASS I	0.10%	USADDRESS	1110 N. MAIN ST	GOSHEN	IN	46527	MMA PRAXIS	74006E702
32057	PRAXIS IMPACT BOND FD INSTL	0.10%	USADDRESS	1110 N. MAIN ST	GOSHEN	IN	46527	MMA PRAXIS	74006E769
32057	PREDEX FUND	0.15%	USADDRESS	222 N PACIFIC COAST HWY, STE 2000	EL SEGUNDO	CA	90245	PREDEX	74036J101
32057	T ROWE PRICE COMM & TECHNOLOGY INVESTOR	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	741454102
32057	T ROWE PRICE GROWTH STOCK	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	741479109
32057	T ROWE PRICE HEALTH SCIENCES	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	741480107
32057	T ROWE PRICE GLOBAL TECHNOLOGY	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	741494108
32057	T ROWE PRICE GLBL MULTI SECTOR BOND FD	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	74149N106
32057	T ROWE PRICE RET 2030 FD	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	74149P309
32057	T ROWE PRICE RET 2040 FD	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	74149P408
32057	T ROWE PRICE RETIREMENT 2045 FD	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	74149P762
32057	T ROWE PRICE RETIREMENT 2035 FUND	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	74149P770
32057	T ROWE PRICE RETIREMENT 2025 FD	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	74149P788
32057	PRIMECAP ODYSSEY GROWTH FUND	0.10%	USADDRESS	2020 E. FINANCIAL WAY, STE 100	GLENDORA	CA	91741	PRIME CAP ODYSSEY	74160Q103
32057	PRIMECAP ODYSSEY AGGRESSIVE GRWTH FD	0.10%	USADDRESS	2020 E. FINANCIAL WAY, STE 100	GLENDORA	CA	91741	PRIME CAP ODYSSEY	74160Q202
32057	PRINCIPAL SPECTRUM PREF CAPT SEC INC A	0.40%	USADDRESS	620 COOLIDGE DR, STE 300	FOLSOM	CA	95630	PRINCIPAL	74254T252
32057	PRINCIPAL MID CAP FUND CLASS A	0.40%	USADDRESS	620 COOLIDGE DR, STE 300	FOLSOM	CA	95630	PRINCIPAL	74254T443
32057	PRINCIPAL DIVERSIFIED REAL ASSET FD CL A	0.40%	USADDRESS	620 COOLIDGE DR, STE 300	FOLSOM	CA	95630	PRINCIPAL	74254V182
32057	PRINCIPAL DIVERSIFIED INCOME A	0.40%	USADDRESS	620 COOLIDGE DR, STE 300	FOLSOM	CA	95630	PRINCIPAL	74254V224
32057	PRINCIPAL SHORT TERM INCOME FD CLASS A	0.40%	USADDRESS	620 COOLIDGE DR, STE 300	FOLSOM	CA	95630	PRINCIPAL	74254V562
32057	AKRE FOCUS FUND RETAIL	0.40%	USADDRESS	777 E. WISCONSIN AVE. 4TH FL	MILWAUKEE	WI	53202	AKRE FUNDS	742935117
32057	AKRE FOCUS FUND INSTL	0.10%	USADDRESS	777 E. WISCONSIN AVE. 4TH FL	MILWAUKEE	WI	53202	AKRE FUNDS	742935125
32057	HODGES SMALL CAP FUND RETAIL	0.40%	USADDRESS	2905 MAPLE AVE	DALLAS	TX	75201	HODGES FUNDS	742935299
32057	TRILLIUM ESG GLOBAL EQUITY FUND RETAIL	0.40%	USADDRESS	777 E. WISCONSIN AVE	MILWAUKEE	WI	53202	PROFESSION MGD PTFL	742935588
32057	TECHNOLOGY ULTRA SECTOR PRO FD INVSTR	0.40%	USADDRESS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814	PRO FUNDS	743185266
32057	INTERNET ULTRASECTORPRO FD INVESTOR	0.40%	USADDRESS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814	PRO FUNDS	743185357
32057	HEALTH CARE ULTRA SECTOR PRO FD INVSTR	0.40%	USADDRESS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814	PRO FUNDS	743185373
32057	FINANCIALS ULTRA SECTOR PRO FD INVS	0.40%	USADDRESS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814	PRO FUNDS	743185399
32057	BASIC MATERIAL ULTRASEC PRO FD INVESTOR	0.40%	USADDRESS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814	PRO FUNDS	743185514
32057	REAL ESTATE ULTRA SECTOR PRO FD INVSTR	0.40%	USADDRESS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814	PRO FUNDS	743185530
32057	ULTRA BULL PRO FUND INVESTORS SHARES	0.40%	USADDRESS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814	PRO FUNDS	743185803
32057	ULTRA NASDAQ-100 PRO FUND INVESTOR CLASS	0.40%	USADDRESS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814	PRO FUNDS	743185860
32057	ULTRA DOW 30 PRO FUND INVESTOR	0.40%	USADDRESS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814	PRO FUNDS	74318A539
32057	ULTRA INTL PRO FD INVT CL	0.40%	USADDRESS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814	PRO FUNDS	74318X703
32057	PGIM JEN EMRG MRKTS EQUITY OPP CL Z	0.10%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	743969610
32057	PGIM JEN INTL OPPORTUNITIES CL Z	0.15%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	743969651

32057	PGIM JENN GLOBAL OPPORTUNITIES CL Z	0.10%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	743969685
32057	PGIM JENN GLOBAL OPPORTUNITIES CL A	0.10%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	743969719
32057	PGIM GLOBAL TOTAL RETURN CL Z	0.15%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74439A400
32057	PGIM FLOATING RATE INCOME CL A	0.40%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74439V602
32057	PGIM FLOATING RATE INCOME CL Z	0.15%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74439V800
32057	PGIM TOTAL RETURN BOND CL A	0.40%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74440B108
32057	PGIM TOTAL RETURN BOND CL Z	0.15%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74440B405
32057	PGIM SHRT DUR MULTI-SECT BND CL A	0.40%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74440B876
32057	PGIM STRATEGIC BOND CL A	0.10%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74440K678
32057	PGIM HIGH YIELD CL A	0.40%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74440Y108
32057	PGIM SHRT DUR HGH YLD INC FD CL Z	0.10%	USADDRESS	655 BROAD ST	NEWARK	NJ	07102	PRUDENTIAL INVESTMENTS	74442J307
32057	PUTNAM LARGE CAP VALCLASS A	0.40%	USADDRESS	1 POST OFFICE SQ MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	746745108
32057	PUTNAM GLOBAL TECHNOLOGY FUND CL A	0.40%	USADDRESS	1 POST OFFICE SQ MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	746764570
32057	PUTNAM FOCUSED EQ FUND CLASS A	0.40%	USADDRESS	1 POST OFFICE SQ MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	746764646
32057	PUTNAM CORE EQUITY CLASS Y	0.15%	USADDRESS	1 POST OFFICE SQ MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	74676P839
32057	PUTNAM GROWTH OPPORTUNITIES CL A	0.40%	USADDRESS	1 POST OFFICE SQ MAILZONE G3C	BOSTON	MA	02109	PUTNAM FUNDS	746802800
32057	BOSTON PARTNERS ALL CAP VALUE INVS	0.40%	USADDRESS	223 WILMINGTON W CHESTER PIKE 216	CHADDS FORD	PA	19317	BOSTON PARTNERS	749255121
32057	SGI SMALL CAP GROWTH FUND INSTL	0.10%	USADDRESS	2310 WASHINGTON ST. STE 310	NEWTON	MA	02462	BOGLE FUNDS	749255188
32057	BOSTON PARTNERS SM CAP VALUE II INVS	0.40%	USADDRESS	223 WILMINGTON W CHESTER PIKE 216	CHADDS FORD	PA	19317	BOSTON PARTNERS	749255337
32057	SGI US SMALL CAP EQUITY FD CL I	0.10%	USADDRESS	620 S. MAIN ST	BOUNTIFUL	UT	84010	SUMMIT GLOBAL INVESTMENTS	74925K268
32057	SGI GLOBAL EQUITY FUND CL I	0.40%	USADDRESS	1055 WESTLAKES DR	BERWYN	PA	19312	RBB FUNDS	74925K417
32057	SGI US LARGE CAP EQUITY FD CL I	0.10%	USADDRESS	620 S. MAIN ST	BOUNTIFUL	UT	84010	SUMMIT GLOBAL INVESTMENTS	74925K524
32057	RIVERNORTH/DOUBLE LINE STRATEGIC INC R	0.40%	USADDRESS	325 NORTH LASALLE ST, STE 645	CHICAGO	IL	60654	RIVERNORTH FUNDS	76881N301
32057	RIVERPARK STRATEGIC INCOME FUND RETAIL	0.40%	USADDRESS	ONE FREEDOM VALLEY DR	OAKS	PA	19456	RIVERPARK FUNDS	76882K751
32057	T ROWE PRICE DIVIDEND GROWTH	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779546100
32057	T ROWE PRICE BALANCED	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77954G108
32057	T ROWE PRICE CAP APPRECIATION	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77954M105
32057	T ROWE PRICE U.S EQUITY RESEARCH FD	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77954P108
32057	T ROWE PRICE BLUE CHIP GROWTH INC	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77954Q106
32057	T ROWE PRICE TOTAL EQUITY MARKET INDEX	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779552306
32057	T ROWE PRICE MID CAP GROWTH	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779556109
32057	T ROWE PRICE ALL CAPOPPORTUNITIES INVST	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779557107
32057	T ROWE PRICE NEW ERA	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779559103
32057	T ROWE PRICE INTERNATIONAL BOND	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H104
32057	T ROWE PRICE INTL DISCOVERY FUND	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H302
32057	T ROWE PRICE NEW ASIA	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H500
32057	T ROWE PRICE GLOBAL INDUSTRIALS INVESTOR	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H633
32057	T ROWE PRICE GLOBAL GR STOCK INVESTOR CL	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H732
32057	T ROWE PRICE GLOBAL STOCK	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77956H856
32057	T ROWE PRICE VALUE	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779578103
32057	T ROWE PRICE SPECT MOD GRWTH ALLOC	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77957L203
32057	T ROWE PRICE SHORT TERM BOND	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77957P105
32057	T ROWE PRICE SMALL CAP VALUE FUND	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77957Q103
32057	T ROWE PRICE DIVERSDMID CAP GROWTH	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779585108
32057	T ROWE PRICE INFLATION PROT BD FD	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	77958D101
32057	TROWE PRICE SPECTRM INTERNATIONAL EQUITY	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779906304
32057	T ROWE PRICE QM US SML CAP GRWTH EQUITY	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	779917103
32057	GLOBAL REAL ESTATE SECURITIES S	0.25%	USADDRESS	1301 SECOND AVE 16TH FL	SEATTLE	WA	98101	RUSSELL FUNDS	782493761
32057	RYDEX INVERSE S&P 500 STRATEGY INV CL	0.40%	USADDRESS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	783554405
32057	RYDEX NASDAQ 100 INV CLASS	0.40%	USADDRESS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	783554603
32057	RYDEX CONSUMER PRODUCTS INVESTOR CL	0.40%	USADDRESS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	783554793
32057	RYDEX HIGH YIELD STRATEGY FUND CL H	0.40%	USADDRESS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	78356A442
32057	RYDEX S&P 500 FD CL H	0.40%	USADDRESS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850	RYDEX SERIES TRUST	78356A632
32057	ICON NATURAL RES AND INFRA FUND INSTL	0.15%	USADDRESS	P.O. BOX 87	DENVER	CO	802010087	CCM PARTNERS	78410K766
32057	SEXTANT INTRNATIONALFUND	0.40%	USADDRESS	1300 NORTH STATE ST	BELLINGHAM	WA	98225	SEXTANT FUNDS	804096501
32057	SCHWARTZ VALUE	0.40%	USADDRESS	801 W. ANN ARBOR TRAIL STE 244	PLYMOUTH	MI	48170	SCHWARTZ INVESTMENT TRUST	808530109
32057	AVE MARIA VALUE FUND	0.40%	USADDRESS	801 W. ANN ARBOR TRAIL STE 244	PLYMOUTH	MI	48170	SCHWARTZ INVESTMENT TRUST	808530208
32057	AVE MARIA GROWTH	0.40%	USADDRESS	801 W. ANN ARBOR TRAIL STE 244	PLYMOUTH	MI	48170	SCHWARTZ INVESTMENT TRUST	808530307
32057	SEGALL BRYANT HAMILL PLUS BOND INSTL	0.15%	USADDRESS	370 17TH ST, STE 5000	DENVER	CO	80202	SEGALL BRYANT & HAMILL AKA WESTCORE	81580H761
32057	SEGALL BRYANT HAMILL FDMNTL INTL SML CAP	0.40%	USADDRESS	370 17TH ST, STE 5000	DENVER	CO	80202	SEGALL BRYANT & HAMILL AKA WESTCORE	81580H886
32057	SHELTON NASDAQ 100 INDEX INVESTOR	0.12%	USADDRESS	P.O. BOX 87	DENVER	CO	802010087	CCM PARTNERS	82301Q726
32057	AMERICAN SHORT TERM BOND OF AMERICA F2	0.12%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	82524A821
32057	AMERICAN SMALLCAP WORLD FUND CL F2	0.15%	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN CLASS F	831681820
32057	SPROTT GOLD EQUITY FUND INVESTOR	0.40%	FOREIGNADDRESS	200 BAY ST, STE 2600	TORONTO	CA	M5J 2J1	SPROTT FUNDS	85208P105
32057	STEWARD GLOBAL EQUITY INCOME INSTL	0.15%	USADDRESS	15375 MEMORIAL DR., STE 200	HOUSTON	TX	77079	CROSSMARK GLOBAL INVESTMENTS, INC.	860324854
32057	STONE RIDGE HIGH YLD REINSRNCE RSK PREM	0.10%	USADDRESS	510 MADISON AVE	NEW YORK	NY	10022	STONE RIDGE	861728400
32057	STONERIDGE REINSURAC RISK PREM INTERVAL	0.15%	USADDRESS	510 MADISON AVE	NEW YORK	NY	10022	STONE RIDGE	861729101
32057	STONERIDGE ALTERNTV LENDING RISK PREM I	0.15%	USADDRESS	510 MADISON AVE	NEW YORK	NY	10022	STONE RIDGE	86172R101
32057	TCW EMERGING MARKETS INCOME CL N	0.40%	USADDRESS	865 S FIGUERA ST, 22ND FL	LOS ANGELES	CA	90017	TCW GALILEO	87234N351
32057	TCW CORE FIX ED INC CLASS I	0.10%	USADDRESS	865 S FIGUERA ST, 22ND FL	LOS ANGELES	CA	90017	TCW GALILEO	87234N401
32057	TCW TOTAL RETURN BOND CLASS N	0.35%	USADDRESS	865 S FIGUERA ST, 22ND FL	LOS ANGELES	CA	90017	TCW GALILEO	87234N641
32057	TCW CORE FIXED INCOME CLASS N	0.35%	USADDRESS	865 S FIGUERA ST, 22ND FL	LOS ANGELES	CA	90017	TCW GALILEO	87234N724
32057	TCW ENHANCED COMMDTYSTRATEGY FUND CL N	0.40%	USADDRESS	865 S FIGUERA ST, 22ND FL	LOS ANGELES	CA	90017	TCW GALILEO	872365804
32057	TIAA-CREF INTERNATNL OPPORTUNITIES RETAI	0.12%	USADDRESS	730 THIRD AVE	NEW YORK	NY	10017	TIAA-CREF	87245R664
32057	T ROWE PRICE FLOATING RATE INVEST	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	87279B106
32057	T ROWE PRICE REAL ASSET FUND INVESTOR	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	87279W100
32057	T ROWE PRICE GLBL ALLOCATION INVESTOR	0.15%	USADDRESS	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	87281T103
32057	THE PRIVATE SHARES FUND CLASS I	0.20%	USADDRESS	2220 E. ROUTE 66, STE 226	GLENDORA	CA	91740	LIBERTY STREET FUNDS	88339M207
32057	THIRD AVENUE VALUE INSTL CLASS	0.35%	USADDRESS	622 THIRD AVE 32 FL	NEW YORK	NY	10017	THIRD AVENUE FUNDS	884116104
32057	THIRD AVENUE REAL ESTATE VALUE INVST	0.40%	USADDRESS	622 THIRD AVE 32 FL	NEW YORK	NY	10017	THIRD AVENUE FUNDS	884116872
32057	THOMPSON BOND FUND	0.25%	USADDRESS	1255 FOURIER DR STE 200	MADISON	WI	53717	THOMPSON INVESTMENT MANAGEMENT, INC.	884891201
32057	THORNBURG STRATEGIC INCOME FUND CL I	0.15%	USADDRESS	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506	THORNBURG FUNDS	885215194
32057	THORNBURG INCOME BUILDER CL I	0.15%	USADDRESS	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506	THORNBURG FUNDS	885215467
32057	THORNBURG INTL EQUITY FUND CL I	0.10%	USADDRESS	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506	THORNBURG FUNDS	885215566
32057	THORNBURG LTD TERM INCOME CLASS I	0.15%	USADDRESS	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506	THORNBURG FUNDS	885215681
32057	THORNBURG DEVELOPINGWORLD FUND CL A	0.40%	USADDRESS	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506	THORNBURG FUNDS	885216408
32057	THRIVENT SMALL CAP STOCK FUND CL S	0.15%	USADDRESS	4321 N. BALLARD ROAD	APPLETON	WI	549190001	THRIVENT FUNDS	885882555
32057	THRIVENT MID CAP STOCK FUND CL S	0.15%	USADDRESS	4321 N. BALLARD ROAD	APPLETON	WI	549190001	THRIVENT FUNDS	885882662
32057	THRIVENT MID CAP STOCK FUND CL A	0.10%	USADDRESS	4321 N. BALLARD ROAD	APPLETON	WI	549190001	THRIVENT FUNDS	885882688
32057	TIAA-CREF CORE BOND FUND RETAIL	0.12%	USADDRESS	730 THIRD AVE	NEW YORK	NY	10017	TIAA-CREF	886315712
32057	TIAA-CREF SOCIAL CHOICE EQUITY RETAIL	0.12%	USADDRESS	730 THIRD AVE	NEW YORK	NY	10017	TIAA-CREF	886315738
32057	TIAA-CREF HIGH YIELD FUND INSTL	0.06%	USADDRESS	730 THIRD AVE	NEW YORK	NY	10017	TIAA-CREF	886315795
32057	TIMOTHY SMALL CAP VALUE CLASS A	0.08%	USADDRESS	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788	TIMOTHY PLAN	887432409
32057	TIMOTHY PLAN LRG/MID CAP VALUE CL A	0.08%	USADDRESS	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788	TIMOTHY PLAN	887432607
32057	TOCQUEVILLE FUND	$16.00	USADDRESS	40 W 57TH ST 19TH FL	NEW YORK	NY	10019	TOCQUEVILLE	888894102
32057	TOUCHSTONE MID CAP FUND CL Z	0.40%	USADDRESS	303 BROADWAY, STE 1100	CINCINNATI	OH	452024203	TOUCHSTONE FAMILY OF FUNDS	89155H785
32057	TOUCHSTONE DIVIDEND EQUITY FUND CL A	0.40%	USADDRESS	303 BROADWAY, STE 1100	CINCINNATI	OH	452024203	TOUCHSTONE FAMILY OF FUNDS	89155T482
32057	TRANSAMERICA LARGE CAP VALUE CL A	0.40%	USADDRESS	4333 EDGEWOOD RD NE	CEDAR RAPIDS	IA	52499	TRANSAMERICA	893509281
32057	TRANSAMERICA CAPITAL GROWTH CL A	0.40%	USADDRESS	4333 EDGEWOOD RD NE	CEDAR RAPIDS	IA	52499	TRANSAMERICA	893958462
32057	TRIBUTARY SMALL COMPANY FD INSTL	0.40%	USADDRESS	1620 DODGE ST, STOP 1089	OMAHA	NE	68197	TRIBUTARY FUNDS	89609H878
32057	PERFORMANCE TRUST STRATEGIC BOND FD	0.40%	USADDRESS	500 WEST MADISON, STE 470	CHICAGO	IL	60661	PERFORMANCE TRUST FUNDS	89833W394
32057	MAIRS & POWER BALANCED FUND	0.12%	USADDRESS	777 E Wisconsin AVE, FL 4	MILWAUKEE	WI	53202	MAIRS & POWERS	89834G695
32057	MAIRS & POWER GROWTH FUND	0.12%	USADDRESS	777 E Wisconsin AVE, FL 4	MILWAUKEE	WI	53202	MAIRS & POWERS	89834G711
32057	USAA SHORT TERM BOND FUND RETAIL	0.10%	USADDRESS	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114	VICTORY-USAA	903288702
32057	USAA NASDAQ 100 INDEX RETAIL	0.15%	USADDRESS	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114	VICTORY-USAA	903288819
32057	WESTWOOD QUALITY VALUE FD INSTL	0.15%	USADDRESS	1 Freedom Valley DR	OAKS	PA	19456	WESTWOOD FUNDS	90386K100
32057	WESTWOOD TOTAL RETURN FD INSTL	0.12%	USADDRESS	1 Freedom Valley DR	OAKS	PA	19456	WESTWOOD FUNDS	90386K209
32057	WESTWOOD ALTERNATIVE INCOME FUND INSTL	0.12%	USADDRESS	1 Freedom Valley DR	OAKS	PA	19456	WESTWOOD FUNDS	90386K704
32057	UNDISCOVERED MANAGERBEHAVIORAL VAL CL A	0.40%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	904504586

32057	UNDISCOVERED MGRS BEHAVIOR VALUE CL L	0.08%	USADDRESS	1111 POLARIS PARKWAY	COLUMBUS	OH	43240	JP MORGAN FUNDS	904504842
32057	AUER GROWTH	0.40%	USADDRESS	8801 RIVER CROSSING BLVD, STE 100	INDIANAPOLIS	IN	46240	AUER FUNDS	90470K248
32057	STANDPOINT MULTI ASSET FUND INVESTOR	0.40%	USADDRESS	225 Pictoria DR, STE 450	CINCINNATI	OH	45246	STANDPOINT FUNDS	90470L576
32057	STANDPOINT MULTI ASSET FUND INSTL	0.12%	USADDRESS	225 Pictoria DR, STE 450	CINCINNATI	OH	45246	STANDPOINT FUNDS	90470L584
32057	VALUE LINE ASSET ALLOCATION INVESTOR	0.40%	USADDRESS	7 TIMES SQUARE, STE 1606	NEW YORK	NY	10036	VALUE LINE MUTUAL FUNDS	920395100
32057	VALUE LINE MID CAP FOCUSED INVESTORS FD	0.40%	USADDRESS	7 TIMES SQUARE, STE 1606	NEW YORK	NY	10036	VALUE LINE MUTUAL FUNDS	920423100
32057	VAN ECK CM COMMODITY INDEX FUND Y	0.10%	USADDRESS	666 3RD AVE, 9TH FL	NEW YORK	NY	10017	VANECK	921075289
32057	VERSUS CAPITAL MULTI MNGR REAL EST INC I	0.15%	USADDRESS	5555 DTC PARKWAY, STE 330	GREENWOOD VILLAGE	CO	80111	VERSUS CAPITAL FUNDS	92532P207
32057	VERSUS CAPITAL REAL ASSETS CL I	0.15%	USADDRESS	5555 DTC PARKWAY, STE 330	GREENWOOD VILLAGE	CO	80111	VERSUS CAPITAL FUNDS	92535N100
32057	VICTORY SYCAMORE ESTABLISHED VALUE A	0.40%	USADDRESS	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	926464231
32057	VICTORY SYCAMORE ESTABLISHED VALUE I	0.10%	USADDRESS	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	92646A831
32057	VICTORY TRIVALENT INTL SMALL CAP A	0.40%	USADDRESS	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	92647K101
32057	VICTORY FLOATING RATE FUND CL A	0.40%	USADDRESS	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	92647K572
32057	VICTORY MARKET NEUTRAL INCOME FD I	0.08%	USADDRESS	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	92647P654
32057	VICTORY RS SMALL CAPGROWTH FUND CL A	0.40%	USADDRESS	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	92647Q108
32057	VICTORY GLOBAL ENERGY TRANSITION Y	0.12%	USADDRESS	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114	VICTORY CAPITAL MANAGEMENT	92647Q645
32057	VIRTUS KAR SMALL CAP GROWTH FUND CL I	0.15%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92828N593
32057	VIRTUS KAR SMALL CAP GROWTH CL A	0.40%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92828N627
32057	VIRTUS KAR MID CAP GROWTH FUND CL I	0.15%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92828N734
32057	VIRTUS KAR MID CAP GROWTH FUND CL A	0.40%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92828N767
32057	VIRTUS TACTICAL ALLOCATION FUND A	0.40%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92828N791
32057	VIRTUS VONTOBEL EMERG MKTS OPPS I	0.10%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92828W361
32057	VIRTUS KAR EMERG MKTS SMALL CAP A	0.40%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92828W627
32057	VIRTUS KAR INTL SMALL MID CAP A	0.40%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92828W841
32057	VIRTUS ZEVENBERGEN INNOVATIVE GR STK I	0.40%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92837F292
32057	VIRTUS ZEVENBERGEN INNOVATIVE GR STK A	0.40%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92837F318
32057	VIRTUS SEIX TOTAL RETURN BOND I	0.10%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92837F870
32057	VIRTUS NFJ MID CAP VALUE A	0.40%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92837N279
32057	VIRTUS SILVANT MID CAP GROWTH FUND A	0.40%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92837N352
32057	VIRTUS CONVERTIBLE FUND INSTITUTIONAL	0.10%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	92838V833
32057	VOYA MULTI-MAN EMERG MARKETS EQUITY CL I	0.10%	USADDRESS	7337 E. DOUBLETREE RANCH RD	SCOTTSDALE	AZ	85258	VOYA FUNDS	92913W680
32057	WALTHAUSEN SMALL CAP VALUE FD	0.40%	USADDRESS	2691 ROUTE 9	MALTA	NY	12020	WALTHAUSEN FUNDS	933310104
32057	WASATCH SMALL CAP GROWTH	0.40%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936772102
32057	WASATCH CORE GROWTH	0.40%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936772201
32057	WASATCH HOISINGTON US TREASURY	0.25%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936772300
32057	WASATCH ULTRA GROWTH	0.40%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936772409
32057	WASATCH MICROCAP	0.40%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936772508
32057	WASATCH SMALL CAP VALUE	0.40%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793207
32057	WASATCH MICRO-CAP VALUE FUND	0.40%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793504
32057	WASATCH INTERNATIONLOPPORTUNITIES FD	0.40%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793702
32057	WASATCH EMG MRKTS SELECT FUND INSTL	0.10%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793744
32057	WASATCH EMERGING MARKETS SELECT FUND	0.40%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793751
32057	WASATCH CORE GROWTH INSTITUTIONAL	0.15%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793793
32057	WASATCH EMERGING INDIA FUND	0.40%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793827
32057	WASATCH GLOBAL VALUE FUND	0.40%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793843
32057	WASATCH GLOBAL OPPORTUNITIES RETAIL	0.40%	USADDRESS	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108	WASATCH FUNDS	936793868
32057	AMERICAN WASHNTN MUTUAL INVESTRS CL A	$18.00	USADDRESS	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321	AMERICAN FUNDS GROUP	939330106
32057	ALLSPRING DIVRSFD CAP BUILDER FD A	0.40%	USADDRESS	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105	ALLSPRING FUNDS MANAGEMENT, LLC	94985D384
32057	ALLSPRING PRECIOUS METALS FUND INST	0.10%	USADDRESS	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105	ALLSPRING FUNDS MANAGEMENT, LLC	94985D491
32057	ALLSPRING PRECIOUS METALS FUND A	0.40%	USADDRESS	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105	ALLSPRING FUNDS MANAGEMENT, LLC	94985D533
32057	ALLSPRING DISCOVERY LARGE CAP GROWTH A	0.40%	USADDRESS	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105	ALLSPRING FUNDS MANAGEMENT, LLC	949915599
32057	ALLSPRING GROWTH FUND A	0.40%	USADDRESS	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105	ALLSPRING FUNDS MANAGEMENT, LLC	949915672
32057	ALLSPRING SHORT TERMHIGH YIELD BD A	0.40%	USADDRESS	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105	ALLSPRING FUNDS MANAGEMENT, LLC	949917611
32057	ALLSPRING SPECIAL MID CAP VLUE FD A	0.40%	USADDRESS	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105	ALLSPRING FUNDS MANAGEMENT, LLC	949921308
32057	ALLSPRING DISCOVERY SMID CAP GROWTH A	0.40%	USADDRESS	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105	ALLSPRING FUNDS MANAGEMENT, LLC	949921506
32057	VIRTUS WESTCHESTER EVENT DRIVEN I	0.15%	USADDRESS	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301	VIRTUS	95737C608
32057	WESTERN ASSET CORE BOND FUND CL I	0.15%	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	957663305
32057	WESTERN ASSET CORE BOND FUND CL A	0.40%	USADDRESS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716	FRANKLIN GROUP OF FUNDS	957663495
32057	WILLIAM BLAIR SMALL CAP VALUE CLASS N	0.40%	USADDRESS	222 WEST ADAMS ST, 12TH FL	CHICAGO	IL	60606	WILLIAM BLAIR MUTUAL FUNDS	969251479
32057	WILLIAM BLAIR INTNATLEADERS FUND CL N	0.40%	USADDRESS	222 WEST ADAMS ST, 12TH FL	CHICAGO	IL	60606	WILLIAM BLAIR MUTUAL FUNDS	969251693
32057	PLUMB BALANCED	0.40%	USADDRESS	PO BOX 44966	MADISON	WI	53717	PLUMB FUNDS	976586107
32057	APPLIED FIN EXPLORERFUND INVESTOR	0.40%	USADDRESS	8730 STONY POINT PKWY STE 205	RICHMOND	VA	23235	WORLD FUNDS	98147A295
32057	CBOE VEST US LARGE CAP 10% BUFFER Y	0.10%	USADDRESS	8730 STONY POINT PKWY STE 205	RICHMOND	VA	23235	WORLD CBOE	98148J162
32057	APPLIED FIN DIVIDENDFUND INVSTR CL	0.40%	USADDRESS	8730 STONY POINT PKWY STE 205	RICHMOND	VA	23235	WORLD FUNDS	98148K292

Plan Name	**UnitedHealth Group 401(k) Savings Plan**
Plan Sponsor EIN	**41-1321939**
ERISA Plan #	**001**
Plan Year Ending	**12/31/2022**

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

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