

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 2023 This Form is Open to Public Inspection
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Part I	Annual Report Identification Information
For calendar plan year 2023 or fiscal plan year beginning 01/01/2023 and ending 12/31/2023	
A	This return/report is for: ☐ a multiemployer plan ☐ a multiple-employer plan (Filers checking this box must provide participating employer information in accordance with the form instructions.) ☒ a single-employer plan ☐ a DFE (specify) _____ ☐ 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 DUKE ENERGY RETIREMENT SAVINGS PLAN
1b	Three-digit plan number (PN) ▶ 002
1c	Effective date of plan 07/01/1959
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) DUKE ENERGY CORPORATION 525 SOUTH TRYON STREET CHARLOTTE, NC 28202
2b	Employer Identification Number (EIN) 20-2777218
2c	Plan Sponsor's telephone number 704-382-4703
2d	Business code (see instructions) 221100

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

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

SIGN HERE	Filed with authorized/valid electronic signature.	10/10/2024	RENEE METZLER
	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 DUKE ENERGY BENEFITS COMMITTEE 525 SOUTH TRYON STREET CHARLOTTE, NC 28202	3b Administrator's EIN 20-2777218 3c Administrator's telephone number 704-382-4703 																				
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 36467																				
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 a(2) Total number of active participants at the end of the plan year b Retired or separated participants receiving benefits c Other retired or separated participants entitled to future benefits d Subtotal. Add lines 6a(2) , 6b , and 6c e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. f Total. Add lines 6d and 6e g(1) Number of participants with account balances as of the beginning of the plan year (only defined contribution plans complete this item) g(2) Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested.....	<table style="width:100%; border-collapse: collapse;"> <tr><td style="width:10%;">6a(1)</td><td style="text-align: right;">28121</td></tr> <tr><td>6a(2)</td><td style="text-align: right;">27341</td></tr> <tr><td>6b</td><td style="text-align: right;">745</td></tr> <tr><td>6c</td><td style="text-align: right;">7597</td></tr> <tr><td>6d</td><td style="text-align: right;">35683</td></tr> <tr><td>6e</td><td style="text-align: right;">120</td></tr> <tr><td>6f</td><td style="text-align: right;">35803</td></tr> <tr><td>6g(1)</td><td style="text-align: right;">36219</td></tr> <tr><td>6g(2)</td><td style="text-align: right;">35588</td></tr> <tr><td>6h</td><td style="text-align: right;">798</td></tr> </table>	6a(1)	28121	6a(2)	27341	6b	745	6c	7597	6d	35683	6e	120	6f	35803	6g(1)	36219	6g(2)	35588	6h	798
6a(1)	28121																				
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6c	7597																				
6d	35683																				
6e	120																				
6f	35803																				
6g(1)	36219																				
6g(2)	35588																				
6h	798																				
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 2O 2S 2R 2T

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

9a Plan funding arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ 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
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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
- (4) ☐ **DCG** (Individual Plan Information) – Number Attached _____
- (5) ☐ **MEP** (Multiple-Employer Retirement Plan Information)

b General Schedules

- (1) ☒ **H** (Financial Information)
- (2) ☐ **I** (Financial Information – Small Plan)
- (3) ☐ **A** (Insurance Information) – Number Attached 0
- (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 2023 Form M-1 annual report. If the plan was not required to file the 2023 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

SCHEDULE C (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Service Provider Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110
		2023
		This Form is Open to Public Inspection.

For calendar plan year 2023 or fiscal plan year beginning 01/01/2023 and ending 12/31/2023		
A Name of plan DUKE ENERGY RETIREMENT SAVINGS PLAN	B Three-digit plan number (PN) ▶	002
C Plan sponsor's name as shown on line 2a of Form 5500 DUKE ENERGY CORPORATION	D Employer Identification Number (EIN) 20-2777218	

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

1 Information on Persons Receiving Only Eligible Indirect Compensation

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

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
BLACKROCK INSTITUTIONAL TRUST CO.
94-3112180

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL
04-2647786

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation	
FIRST STATE INVESTMENTS	400 WEST MARKET STREET SUITE 2110 LOUISVILLE, KY 40202

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
GALLIARD CAPITAL AMANGEMENT INC
41-1813702

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

HOOD RIVER CAPITAL MANAGEMENT

46-1294859

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

RELIANCE TRUST COMPANY

58-1428634

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

RREEF AMERICA L.L.C.

58-2364506

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

STATE STREET GLOBAL ADVISORS TR CO

81-4017137

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

WEALTH MANAGEMENT SYSTEMS INC

22-3734996

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

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

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

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

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

FINANCIAL ENGINES

77-0473565

(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?
27	NONE	5480000	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
64 71 37 65	NONE	634000	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

RUSSELL INVESTMENT MANAGEMENT LLC

81-1735291

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16	NONE	104000	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	37 64 65 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
FIDELITY INVESTMENTS INSTITUTIONAL 11 GREENWAY PLAZA STE 100 HOSUTON, TX 77046 04-2647786	SEE ATTACHMENT	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
WEALTH MANAGEMENT SYSTEMS INC	49	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
MILLENIUM TRUST COMPANY 2001 SPRING RD STE 700 OAK BROOK, IL 60523 22-3734996	ONE TIME REVENUE \$15 PER ACCT; ON-GOING REVENUE PER ACCT 1/12TH OF \$10/YR	
(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:

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

(Complete as many entries as needed to report all participating plans. DCGs must report each participating plan using Schedule DCG.)

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

SCHEDULE H (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	OMB No. 1210-0110
		2023
		This Form is Open to Public Inspection

For calendar plan year 2023 or fiscal plan year beginning 01/01/2023 and ending 12/31/2023		
A Name of plan DUKE ENERGY RETIREMENT SAVINGS PLAN	B Three-digit plan number (PN) ►	002
C Plan sponsor's name as shown on line 2a of Form 5500 DUKE ENERGY CORPORATION	D Employer Identification Number (EIN) 20-2777218	

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

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a		
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	7189000	8718000
(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)		
(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)	132193000	136654000
(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)		
(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)	7306338000	8556306000
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)	696762000	562910000

1d Employer-related investments:		(a) Beginning of Year	(b) End of Year
(1) Employer securities	1d(1)	1222420000	1089477000
(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	9364902000	10354065000
Liabilities			
g Benefit claims payable	1g		
h Operating payables	1h		
i Acquisition indebtedness	1i		
j Other liabilities	1j		
k Total liabilities (add all amounts in lines 1g through 1j)	1k	0	0
Net Assets			
l Net assets (subtract line 1k from line 1f)	1l	9364902000	10354065000

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)	246331000	
(B) Participants	2a(1)(B)	335190000	
(C) Others (including rollovers)	2a(1)(C)	31057000	
(2) Noncash contributions	2a(2)		
(3) Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)		612578000
b Earnings on investments:			
(1) Interest:			
(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)	7057000	
(B) U.S. Government securities	2b(1)(B)	39000	
(C) Corporate debt instruments	2b(1)(C)	101000	
(D) Loans (other than to participants)	2b(1)(D)		
(E) Participant loans	2b(1)(E)	7933000	
(F) Other	2b(1)(F)	1000	
(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)		15131000
(2) Dividends: (A) Preferred stock	2b(2)(A)	61000	
(B) Common stock	2b(2)(B)	60739000	
(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	133856000	
(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)		194656000
(3) Rents	2b(3)		
(4) Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)	1954163000	
(B) Aggregate carrying amount (see instructions)	2b(4)(B)	1904832000	
(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)		49331000
(5) Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)		
(B) Other	2b(5)(B)		
(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)		

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts.....	2b(6)		878006000
(7) Net investment gain (loss) from pooled separate accounts.....	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts.....	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities.....	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		203687000
c Other income	2c		39250000
d Total income. Add all income amounts in column (b) and enter total	2d		1992639000

Expenses

e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	997257000	
(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)		997257000
f Corrective distributions (see instructions)	2f		
g Certain deemed distributions of participant loans (see instructions)	2g		
h Interest expense	2h		
i Administrative expenses:			
(1) Salaries and allowances	2i(1)		
(2) Contract administrator fees.....	2i(2)		
(3) Recordkeeping fees.....	2i(3)	634000	
(4) IQPA audit fees.....	2i(4)		
(5) Investment advisory and investment management fees	2i(5)	5585000	
(6) Bank or trust company trustee/custodial fees	2i(6)		
(7) Actuarial fees	2i(7)		
(8) Legal fees	2i(8)		
(9) Valuation/appraisal fees	2i(9)		
(10) Other trustee fees and expenses	2i(10)		
(11) Other expenses	2i(11)		
(12) Total administrative expenses. Add lines 2i(1) through (11)	2i(12)		6219000
j Total expenses. Add all expense amounts in column (b) and enter total	2j		1003476000

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d	2k		989163000
l Transfers of assets:			
(1) To this plan	2l(1)		
(2) From this plan	2l(2)		

Part III Accountant's Opinion

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

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

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

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

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

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

(1) Name: **MCCONNELL & JONES LLP**

(2) EIN: **76-0488832**

d The opinion of an independent qualified public accountant is **not attached** as part of Schedule H because:

(1) ☐ This form is filed for a CCT, PSA, DCG 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. DCGs do not complete lines 4e, 4f, 4k, 4l, and 5, and DCGs generally complete the rest of Part IV collectively for all plans in the DCG, except as otherwise provided (see instructions).

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.)	☒	☐	2070
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.)	☐	☒	
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.)	☐	☒	
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.)	☐	☒	
e Was this plan covered by a fidelity bond?	☒	☐	25000000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	☐	☒	
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?	☐	☒	
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?	☐	☒	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	☒	☐	
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.)	☐	☒	
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?	☐	☒	
l Has the plan failed to provide any benefit when due under the plan?	☐	☒	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	☐	☒	
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.	☐	☐	

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

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

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

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

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

SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation		Retirement Plan Information This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code). ▶ File as an attachment to Form 5500.		OMB No. 1210-0110 2023 This Form is Open to Public Inspection.	
For calendar plan year 2023 or fiscal plan year beginning 01/01/2023 and ending 12/31/2023					
A Name of plan DUKE ENERGY RETIREMENT SAVINGS PLAN				B Three-digit plan number (PN) ▶ 002	
C Plan sponsor's name as shown on line 2a of Form 5500 DUKE ENERGY CORPORATION				D Employer Identification Number (EIN) 20-2777218	
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					
For Paperwork Reduction Act Notice, see the Instructions for Form 5500.				Schedule R (Form 5500) 2023 v. 230707	

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) 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) 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)	14a 14b 14c	
15 Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:		
a The corresponding number for the plan year immediately preceding the current plan year	15a	
b The corresponding number for the second preceding plan year	15b	
16 Information with respect to any employers who withdrew from the plan during the preceding plan year:		
a Enter the number of employers who withdrew during the preceding plan year	16a	
b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers	16b	
17 If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐		

Part VI	Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans
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18 If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐	
19 If the total number of participants is 1,000 or more, complete lines (a) and (b): a Enter the percentage of plan assets held as: Public Equity: _____% Private Equity: _____% Investment-Grade Debt and Interest Rate Hedging Assets: _____% High-Yield Debt: _____% Real Assets: _____% Cash or Cash Equivalents: _____% Other: _____% b Provide the average duration of the Investment-Grade Debt and Interest Rate Hedging Assets: ☐ 0-5 years ☐ 5-10 years ☐ 10-15 years ☐ 15 years or more	
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. _____	

Part VII	IRS Compliance Questions
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21a Does the plan satisfy the coverage and nondiscrimination tests of Code sections 410(b) and 401(a)(4) by combining this plan with any other plans under the permissive aggregation rules? ☐ Yes ☒ No 21b If this is a Code section 401(k) plan, check all boxes that apply to indicate how the plan is intended to satisfy the nondiscrimination requirements for employee deferrals and employer matching contributions (as applicable) under Code sections 401(k)(3) and 401(m)(2). ☐ Design-based safe harbor method ☐ "Prior year" ADP test ☒ "Current year" ADP test ☐ N/A 22 If the plan sponsor is an adopter of a pre-approved plan that received a favorable IRS Opinion Letter, enter the date of the Opinion Letter ____/____/____ (MM/DD/YYYY) and the Opinion Letter serial number _____.	
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**DUKE ENERGY
RETIREMENT SAVINGS PLAN**

**Independent Auditor's Report
and Financial Statements**

December 31, 2023 and 2022

**DUKE ENERGY
RETIREMENT SAVINGS PLAN**

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NOTE: All other schedules described 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, as amended, have been omitted because they are not applicable.



INDEPENDENT AUDITOR'S REPORT

To the Plan Administrator and Plan Participants of
Duke Energy Retirement Savings Plan

Opinion on the Financial Statements

We have audited the financial statements of Duke Energy Retirement 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, 2023 and 2022, and the related statement of changes in net assets available for benefits for the year ended December 31, 2023, and the related notes to the financial statements (collectively, 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, 2023 and 2022, and the changes in net assets available for benefits for the year ended December 31, 2023 in accordance with accounting principles generally accepted in the United States of America (US GAAP).

Basis for Opinion

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

Plan management (Management) is responsible for the preparation and fair presentation of the financial statements in accordance with US GAAP, 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 ability of the Plan to continue as a going concern for one year after the date that the financial statements are available to be issued.

Management is also responsible for maintaining a current plan instrument, including all plan amendments, administering the Plan, and determining that the transactions of the Plan that are presented and disclosed in the financial statements are in conformity with the provisions of the Plan, 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 US GAAS will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with US GAAS, we:

- Exercise professional judgment and maintain professional skepticism throughout the audits.
- 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 audits 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 internal controls of the Plan. 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 ability of the Plan 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 audits, significant audit findings, and certain internal control-related matters that we identified during the audits.

Other Matter - 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 Schedule of Assets (held at end of year) as of December 31, 2023 and Schedule of Delinquent Participant Contributions for the year then ended, are presented for purposes of additional analysis and is not a required part of the financial statements but is supplementary information required by the Department of Labor (DOL)'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 US GAAS.



McConnell Jones

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

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

McConnell & Jones LLP

Houston, Texas
June 24, 2024

DUKE ENERGY
RETIREMENT SAVINGS PLAN
Statements of Net Assets Available for Benefits
December 31, 2023 and 2022

(in thousands)

	<u>2023</u>	<u>2022</u>
Assets		
Investments		
Investments at fair value	\$ 9,662,769	\$ 8,550,587
Fully benefit-responsive investment contracts at contract value	<u>545,924</u>	<u>674,933</u>
Total investments	<u>10,208,693</u>	<u>9,225,520</u>
Receivables		
Notes receivable from participants	136,654	132,193
Employer's contributions	<u>8,718</u>	<u>7,189</u>
Total receivables	<u>145,372</u>	<u>139,382</u>
Total Assets	<u>10,354,065</u>	<u>9,364,902</u>
Net assets available for benefits	<u>\$ 10,354,065</u>	<u>\$ 9,364,902</u>

DUKE ENERGY
RETIREMENT SAVINGS PLAN
Statement of Changes in Net Assets Available for Benefits
For the Year Ended December 31, 2023

(in thousands)

Additions to net assets:

Net investment income

Net appreciation in fair value of investments	\$ 1,305,829
Interest and dividends	66,431
Total net investment income	<u>1,372,260</u>

Interest income on notes receivable from participants	7,801
--	-------

Contributions

Participants	335,190
Employer	246,331
Participants' rollover	31,057
Total contributions	<u>612,578</u>

Total additions to net assets	<u>1,992,639</u>
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Deductions from net assets:

Benefits paid to participants	997,257
Administrative fees	6,219
Total deductions from net assets	<u>1,003,476</u>

Net increase during the year	989,163
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Net assets available for benefits, beginning of year	<u>9,364,902</u>
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Net assets available for benefits, end of year	<u><u>\$ 10,354,065</u></u>
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DUKE ENERGY RETIREMENT SAVINGS PLAN
Notes to Financial Statements
December 31, 2023 and 2022

1. Description of the Plan

The following description of the Duke Energy Retirement Savings Plan (the Plan) is provided for general information purposes only. Participants should refer to the Plan document for a more complete description of the Plan's provisions.

Participation and Purpose

The Plan is a defined contribution plan sponsored by Duke Energy Corporation (Duke Energy). Duke Energy and each of its affiliated companies that is at least 80% owned and that participate in the Plan are collectively referred to as the Participating Company. The Plan is administered by the Duke Energy Benefits Committee (Benefits Committee or Plan Administrator) and trusted by the Fidelity Management Trust Company (Fidelity).

The purpose of the Plan is to provide an opportunity for eligible employees to enhance their long-range financial security through employee contributions, matching contributions and non-elective employer retirement contributions, as applicable, from the Participating Company, and investment among certain investment funds, one of which provides indirect ownership in Duke Energy common stock. The Plan is, in part, an employee stock ownership plan and is subject to the applicable provisions of the Employee Retirement Income Security Act of 1974, as amended (ERISA).

Generally, employees of the Participating Company are eligible to enter and participate in the Plan if they are paid on the Participating Company's U. S. payroll system and are non-union (unless agreed to in a collective bargaining agreement).

Contributions

Duke Energy automatically enrolls new full or part-time employees eligible for the Plan. The contributions made to the Plan on the employee's behalf will be invested in one or more funds selected in accordance with procedures established by the Plan Administrator. The Company match is invested in the same manner as the employee contributions. If an employee chooses not to participate, the employee can contact Fidelity, the recordkeeper, to change the deferral rate to 0%.

Participants may elect to contribute (subject to certain limitations) in the form of pretax, Roth 401(k), and/or after-tax contributions up to 75% of eligible earnings per pay period without regard to years of service. Various provisions of the Internal Revenue Code of 1986, as amended (IRC) may limit the deferrals of some highly compensated employees. All pretax deferrals are exempt, up to the allowed maximum, from federal and most state income tax withholding in the year they are deferred, but are subject to payroll taxes. Participant deferrals are intended to satisfy the requirements of Section 401(k) of the IRC.

Duke Energy generally matches 100% of the first 6% of the employee's eligible compensation that is contributed to the Plan in the form of pretax and/or Roth 401(k) contributions. A different matching contribution formula may apply to certain groups of employees covered by a collective bargaining agreement. Participant after-tax contributions and matching contributions are intended to satisfy the requirements of Section 401(m) of the IRC. The Participating Company also provides a non-elective employer retirement contribution of 4% of eligible compensation for employees who are not eligible to participate in a defined benefit plan. These contributions are invested in the same manner as the employee elected contributions.

Participants age 50 or older by the end of the year may contribute an additional pretax and/or Roth 401(k) contribution amount over and above the IRC limits each year. For 2023, the IRC allowed participants age 50 or older to contribute up to \$7,500 over and above the \$22,500 pretax and/or Roth 401(k) contribution limit. Participating Company does not provide a company match on these additional contributions.

Rollover Contributions to the Plan

Rollover contributions represent amounts recorded when participants elect to contribute amounts to their Plan accounts from other eligible, tax-qualified retirement plans or qualified individual retirement accounts. Rollover contributions of approximately \$31 million were made to the Plan in 2023.

Investments

Participants may invest their Plan accounts in any or all of the core investment funds offered in the Plan, which include stock, bond, specialty, short-term and target retirement date funds, as well as the Duke Energy Common Stock Fund. The value of an account is updated each business day. As of December 31, 2023, 24 funds were offered for investment. As of December 31, 2022, 21 funds were offered for investment.

The Plan offers a brokerage option, BrokerageLink, whereby participants can elect to invest up to 90% of their Plan accounts in numerous publicly traded securities (excluding Duke Energy securities) and mutual funds not offered directly by the Plan.

The Plan also offers an investment advisory service (Professional Management) program through the investment advice and management services provider, Financial Engines Advisors, LLC (Financial Engines). For 2023, participants in the Professional Management program were charged an annual fee of 0.26% on their average account balance. Participants may cancel their participation in the Professional Management program at any time without penalty. Online advice through Financial Engines is available at no additional cost to the participant.

DUKE ENERGY RETIREMENT SAVINGS PLAN
Notes to Financial Statements
December 31, 2023 and 2022

Participant Accounts

Individual accounts are maintained for each Plan participant. Each participant's account is credited with participant contributions, Participating Company contributions and allocations of Plan earnings and charged with benefit payments, allocations of Plan losses and administrative expenses. Allocations are based on participant elections and earnings and/or account balances, as defined in the Plan document.

The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account. The selection from available investment funds is the sole responsibility of each participant, and the Plan is intended to satisfy the requirements of Section 404(c) of ERISA. A participant may elect or change investment funds and/or the contribution allocation percentage among funds at any time.

Vesting and Distribution

A participant is 100% vested in their Plan account balance attributable to employee and company matching contributions (and earnings on those contributions). Employer retirement contributions and associated investment earnings are subject to a three-year vesting requirement and also vest, if while employed, the employee dies, becomes disabled or attains age 65. The Plan provides for several different types of in-service withdrawals for certain contributions, including hardship (in compliance with Section 401-(k) of the IRC) and age 59 1/2 withdrawals, and withdrawals of rollover and after-tax accounts at any time.

Forfeitures

Generally, upon distribution of vested balances following termination of employment, participants' nonvested balances are forfeited. Such forfeitures can be applied to reduce employer contributions or Plan administrative expenses. Forfeitures of \$0.4 million and \$0.2 million were included in the Plan assets at December 31, 2023, and 2022, respectively. In 2023, forfeited nonvested participant balances of \$1.2 million were applied to reduce employer contributions and an insignificant amount was used to reduce Plan administrative expenses.

Payment of Benefits

Upon termination of employment, including retirement, death or disability, a participant or, if the participant is deceased, his or her beneficiary, may request the distribution of all or a portion of the balance of the participant's Plan account. Distributions may be made as soon as practicable after the occasion for the distribution, or generally may be delayed until no later than April 1 of the calendar year following the calendar year in which the participant attains age 73. The participant's entire vested account balance must be distributed to a beneficiary by December 31 of the calendar year containing the fifth anniversary of the participant's death.

If the balance of a participant's (or beneficiary's) vested account is at least \$1, but \$5,000 or less (small benefit), it is distributed as soon as practicable. If a distribution election is not made by the participant, the distribution will be made to an individual retirement account (IRA) maintained by Millennium Trust Company (rebranding as Inspira Financial Trust LLC) for any participant who has not attained age 71.

Notes Receivable from Participants

Participants may borrow, with some limitations, from their accounts a minimum of \$1,000 up to a maximum equal to the lesser of (i) \$50,000 minus the highest outstanding loan balance during the 12-month period prior to the new loan, or (ii) 50% of their vested account balances. Loans are to be repaid within 58 months, or up to 15 years for the purchase of a primary residence, through regular payroll deductions (and, following termination of employment, as prescribed by the Benefits Committee or its delegate). The loan is secured by 50% of the balance in the participant's Plan account at the issuance of the loan and bears interest at a rate of 1% more than the prime interest rate in effect at the issuance of the loan, as determined by the Benefits Committee. Principal and interest are paid ratably through payroll deductions (and, following termination of employment, as prescribed by the Benefits Committee or its delegate). Loan receipts will be reinvested based on the participant's investment election for employee contributions at the time of repayment.

Plan Termination

Duke Energy expects and intends to continue the Plan indefinitely but has the right under the Plan to amend, suspend or terminate the Plan subject to the provisions set forth in ERISA. In the event of termination of the Plan, the net assets of the Plan would be distributed to participants based on their Plan accounts.

2. Summary of Significant Accounting Policies

Basis of Accounting

The accompanying financial statements have been prepared on an accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America (US GAAP).

DUKE ENERGY RETIREMENT SAVINGS PLAN
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Use of Estimates

The preparation of financial statements in conformity with US GAAP requires Plan management to make estimates and assumptions that affect the reported amounts of net assets available for benefits and changes therein. Actual results could differ from those estimates. The Plan invests in various securities which are exposed to various risks, such as interest rate, credit and overall market volatility. Due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts reported in the financial statements.

Investment Valuation and Income Recognition

Investments are reported at fair value except for the fully benefit-responsive synthetic guaranteed investment contracts (GICs), which are stated at contract value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. See Note 7 for discussion of fair value measurements. Contract value represents contributions and reinvested income, less any withdrawals plus accrued interest, because these investments have fully benefit-responsive features. Contract value is the relevant measurement attribute for that portion of the net assets available for benefits of a defined contribution plan attributable to fully benefit-responsive investment contracts because contract value is the amount participants would receive if they were to initiate permitted transactions under the terms of the Plan. See Note 6 for further discussion of fully benefit-responsive investment contracts.

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis and dividends are recorded on the ex-dividend date. Management fees and operating expenses charged to the Plan for investments were deducted from income earned on a daily basis and were not separately reflected. Consequently, management fees and operating expenses are reflected as a reduction of investment return for such investments.

Notes Receivable from Participants

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. No allowance for credit losses has been recorded as of December 31, 2023, and 2022. Delinquent participant loans are reclassified as distributions based upon the terms of the Plan document.

Payment of Benefits

Benefits paid to participants are recorded when paid.

Administrative Expenses

A portion of administrative expenses of the Plan are paid by Duke Energy.

Plan Management's Review of Subsequent Events

In preparing the accompanying financial statements, Plan management has reviewed all known events that have occurred after December 31, 2023, and through June 24, 2024, which is the date the financial statements were available to be issued, for inclusion in the financial statements and footnotes.

3. Exempt Party-in-Interest Transactions (PII)

The Plan holds shares in BrokerageLink which are self-directed brokerage accounts managed by Fidelity, the trustee of the Plan. The Plan also invests a significant portion of the Duke Energy Common Stock Fund in shares of Duke Energy Common Stock totaling \$1,089.5 million and \$1,222.4 million as of December 31, 2023 and 2022, respectively. The Plan earned dividend thereon of \$46.2 million for the year ended December 31, 2023. These transactions qualify as PII transactions; however, they are exempt from the prohibited transaction rules under ERISA.

4. Federal Income Tax Status

The Internal Revenue Service (IRS) has determined and informed Duke Energy by a letter dated March 16, 2015, that the Plan is qualified, and the related trust is exempt from federal income tax under the provisions of Section 501(a) of the IRC. The Plan is intended to be tax-qualified under Section 401(a) of the IRC. The Plan has been amended since receiving the determination letter. However, the Plan administrator and the Plan's legal counsel believe the Plan is currently designed and being operated in compliance with the applicable requirements of the IRC and the Plan and the related trust continue to be tax exempt. Therefore, no provision for income taxes has been included in the Plan's financial statements.

US GAAP requires Plan 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. There are no uncertain tax positions taken or expected to be taken that would require recognition of a liability or disclosure in the financial statements. The Plan is not currently under audit by any taxing jurisdictions.

DUKE ENERGY RETIREMENT SAVINGS PLAN
Notes to Financial Statements
December 31, 2023 and 2022

5. Investment Risk

Investment securities, in general, are exposed to various risks, such as interest rate, credit and overall market volatility risks. Further, due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts reported in the accompanying Statements of Net Assets Available for Benefits.

The Plan has invested a significant portion of its assets in the Duke Energy Common Stock Fund. This investment in the Duke Energy Common Stock Fund constituted approximately 11% and 13% of the Plan's net assets available for benefits as of December 31, 2023, and 2022, respectively. As a result of this concentration, any significant fluctuation in the market value of the Duke Energy Common Stock Fund could affect individual participant accounts and the net assets of the Plan.

6. Benefit-Responsive Investments

The Plan has an interest in a Stable Value Fund that has investments in fixed income securities and bond funds and may include derivative instruments, such as futures contracts and swap agreements. The Stable Value Fund also enters into a wrapper contract issued by a third party.

As described in Note 2, contract value is the relevant measurement attribute for that portion of the net assets available for benefits attributable to these contracts. For indirect investments in fully benefit-responsive investment contracts within collective investment trusts, net asset value per share should be calculated in a manner consistent with the measurement principles of the Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC) 946, *Financial Services - Investment Companies* (ASC 946). As required by ASC 946, the net asset value calculated by the fund is based on the net assets, which includes fully benefit-responsive contracts at contract value. This net asset value represents the plan's fair value. As a result, investments are reported on the Statement of Net Assets Available for Benefits at fair value except for the fully benefit-responsive synthetic GICs, which are stated at contract value. Contract value represents contributions made under the contract, plus earnings, less participant withdrawals and administrative expenses. Participants may ordinarily direct the withdrawal or transfer of all or a portion of their investment at contract value. The Stable Value Fund's 2023 contract value of \$562.9 million approximates its fair value of \$526.1 million while the Stable Value Fund's 2022 contract value of \$696.8 million approximates its fair value of \$645.9 million.

Occurrence of certain events may limit the ability of the Plan to transact at contract value with the issuer. The Plan administrator does not believe that the occurrence of such an event is probable.

There are no reserves against contract value for credit risk of the contract issuer or otherwise. The crediting interest rate is based on a formula agreed upon with the issuer, but it may not be less than 0%. Such interest rates are reviewed on a quarterly basis for resetting.

As of December 31, 2023, the contract value of the Plan's fully benefit-responsive synthetic GICs within the Stable Value Fund was approximately \$545.9 million. As of December 31, 2022, the contract value of the Plan's fully benefit-responsive synthetic guaranteed contracts within the Stable Value Fund was approximately \$674.9 million.

7. Fair Value Measurements

The FASB ASC 820, *Fair Value Measurements and Disclosures* (ASC 820), defines fair value, establishes a framework for measuring fair value in US GAAP and expands disclosure requirements about fair value measurements. Under ASC 820, fair value is considered to be the exchange price in an orderly transaction between market participants to sell an asset or transfer a liability at the measurement date. The fair value definition under ASC 820 focuses on an exit price, which is the price that would be received by the Plan to sell an asset or paid to transfer a liability versus an entry price, which would be the price paid to acquire an asset or received to assume a liability. Although ASC 820 does not require additional fair value measurements, it applies to other accounting pronouncements that require or permit fair value measurements.

The Plan determines fair value of financial assets and liabilities based on the following fair value hierarchy, as prescribed by ASC 820, which prioritizes the inputs to valuation techniques used to measure fair value into three levels:

Level 1 inputs: Unadjusted quoted prices in active markets for identical assets or liabilities that the Plan has the ability to access. An active market for the asset or liability is one in which transactions for the asset or liability occurs with sufficient frequency and volume to provide ongoing pricing information.

Level 2 inputs: Inputs other than quoted market prices included in Level 1 that are observable, either directly or indirectly, for the asset or liability. Level 2 inputs include, but are not limited to, quoted prices for similar assets or liabilities in an active market, quoted prices for identical or similar assets or liabilities in markets that are not active and inputs other than quoted market prices that are observable for the asset or liability, such as interest rate curves and yield curves observable at commonly quoted intervals, volatilities, credit risk and default rates.

Level 3 inputs: Unobservable inputs for the asset or liability. Unobservable inputs reflect the Plan's own assumptions about the factors that other market participants would use in pricing an investment that would be based on the best information available in the circumstances.

DUKE ENERGY RETIREMENT SAVINGS PLAN
Notes to Financial Statements
December 31, 2023 and 2022

Changes in Fair Value Levels

The availability of observable market data is monitored to assess the appropriate classification of the Plan's investments within the fair value hierarchy. Changes in economic conditions or valuation techniques may require the transfer of investments from one fair value level to another. Transfers between levels are evaluated for their significance based upon the nature of the investments and size of the transfer relative to the net assets available for benefits.

The following table provides by level, within the fair value hierarchy, the Plan's investments at fair value as of December 31, 2023 (in thousands):

Description	2023	
	Total Level 1	Total
BrokerageLink	\$ 906,153	\$ 906,153
Stable Value Fund - collective investment trusts	16,987	16,987
Investments measured at net asset value:		
Duke Energy Common Stock Fund		1,089,477
Commingled funds		2,535,668
Institutional funds		5,114,484
Total investments at fair value		\$ 9,662,769

The following table provides by level, within the fair value hierarchy, the Plan's investments at fair value as of December 31, 2022 (in thousands):

Description	2022	
	Total Level 1	Total
BrokerageLink	\$ 762,853	\$ 762,853
Stable Value Fund - collective investment trusts	21,829	21,829
Investments measured at net asset value:		
Duke Energy Common Stock Fund		1,222,420
Commingled funds		2,121,443
Institutional funds		4,422,042
Total investments at fair value		\$ 8,550,587

Valuation methods of the primary fair value measurements disclosed above are as follows. There have been no changes in the methodologies used at December 31, 2023 or 2022.

Common Stock Fund: Valued at the closing price in the principal active market on which the securities are traded. Principal active markets include published exchanges such as National Association of Securities Dealers Automated Quotations (NASDAQ), New York Stock Exchange (NYSE), New York Mercantile Exchange (NYMEX) and Chicago Board of Trade, as well as pink sheets, which is an electronic quotation system that displays quotes for broker-dealers for many over-the-counter securities. The Plans' investments in common stock within the BrokerageLink account are valued using Level 1 measurements.

The Duke Energy Common Stock Fund is comprised of common stock as well as cash and cash equivalents. The value of a unit reflects the combined market value of the underlying stock and market value of the short-term cash position. The market value of the common stock portion of the fund is based on the closing market price of the common stock on the NYSE times the number of shares held in the fund. The market value of the cash and cash equivalents is based on the net asset value of shares held in the Fidelity Institutional Money Market Treasury Portfolio Class I.

Institutional funds: The fair value of these investments has been estimated using the net asset value of units held by the Plan at year end. Net asset value is not a publicly-quoted price in an active market. There are currently no redemption restrictions or redemption notice period, and the redemption frequency was immediate for these funds.

Commingled funds: Valued at the net asset value of shares held by the Plan at year end.

Stable Value Fund: The Plan's investment in the Stable Value Fund's collective investment trusts is valued using Level 1 measurements. Investments in the Stable Value Fund collective investment trusts are based on the underlying unit value reported by the Wells Fargo/BlackRock Short Term Investment Fund S. Prior to June 1, 2022, the Plan did not allow for direct exchanges from the Stable Value Fund to the BrokerageLink account. Instead, exchanges from the Stable Value Fund had to be made first with another Plan fund and held by that Plan fund for at least 90 days before an exchange can occur with the BrokerageLink account.

DUKE ENERGY RETIREMENT SAVINGS PLAN
Notes to Financial Statements
December 31, 2023 and 2022

8. Plan Changes

Effective December 29, 2022, the overpayment collection provision was amended to reflect SECURE 2.0 Act of 2022 (SECURE 2.0).

Effective January 1, 2023, the minimum required distribution provision was amended to reflect SECURE 2.0.

Effective January 1, 2023 eligibility for the 2023 true-up matching contribution was changed.

Effective January 1, 2023, provisions regarding disclaimers and powers of attorneys were added.

Effective January 1, 2023, May 1, 2023, and January 1, 2024, modifications were made to the definitions of eligible earnings and total pay.

Effective January 1, 2023, June 1, 2023, and September 7, 2023, special vesting provisions were added in connection with certain corporate events and, effective September 7, 2023, a special rollover provision was added in connection with a corporate transaction.

Effective September 1, 2023, special adoption, vesting, and rollover provisions were added in connection with a corporate transaction.

Effective January 1, 2024, the small account cash-out provision was revised.

Effective January 1, 2024, prevailing wage contributions were added.

DUKE ENERGY RETIREMENT SAVINGS PLAN
EIN: 20-2777218 PN: 002
Form 5500, Schedule H, Part IV, Line 4a – Schedule of Delinquent Participant Contributions
For the Year Ended December 31, 2023

Total that constitutes nonexempt prohibited transactions

Participant contributions transferred late to Plan	Contributions not corrected	Contributions corrected outside of VFCP*	Contributions pending correction in VFCP	Totally fully corrected under VFCP and PTE 2002-51
\$ 1,868	\$ —	\$ 2,070	\$ —	\$ —

See accompanying Report of Independent Registered Public Accounting Firm

*Includes remittance of lost earnings

DUKE ENERGY RETIREMENT SAVINGS PLAN
EIN: 20-2777218 PN: 002
Form 5500, Schedule H, Part IV, Line 4i – Schedule of Assets (Held at End of Year)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor or Similar Party	(c) Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Market Value (in thousands)
	Common Stock Funds			
*	Duke Energy Common Stock Fund	46,887,641 shares	** \$	1,089,477
	Institutional Funds			
*	US Equity Small/Midcap Blend Fund	16,451,287 shares	**	540,260
*	Fixed Income Index Fund	4,855,477 shares	**	51,322
*	US Equity Small/Midcap Index Fund	11,220,964 shares	**	122,645
*	Non-US Equity Index Fund	37,334,108 shares	**	411,795
*	US Equity All Cap Blend Fund	19,520,943 shares	**	848,966
*	Non-US Equity Blend Fund	41,279,545 shares	**	619,606
*	Fixed Income Blend Fund	32,092,705 shares	**	502,251
*	Target Retirement Date Fund 2010	737,956 shares	**	13,305
*	Target Retirement Date Fund 2015	1,511,397 shares	**	29,049
*	Target Retirement Date Fund 2020	4,909,200 shares	**	101,866
*	Target Retirement Date Fund 2025	10,012,128 shares	**	234,985
*	Target Retirement Date Fund 2030	11,945,919 shares	**	292,317
*	Target Retirement Date Fund 2035	9,582,431 shares	**	251,922
*	Target Retirement Date Fund 2040	9,449,569 shares	**	246,728
*	Target Retirement Date Fund 2045	10,238,465 shares	**	270,398
*	Target Retirement Date Fund 2050	8,569,744 shares	**	230,869
*	Target Retirement Date Fund 2055	7,362,211 shares	**	197,970
*	Target Retirement Date Fund 2060	7,613,043 shares	**	121,733
*	Target Retirement Date Fund Post Retirement	1,580,052 shares	**	26,497
	Total Institutional Funds			<u>5,114,484</u>
	Commingled Funds			
*	US Equity S&P 500 Index Fund	55,236,813 shares	**	2,495,599
*	Diversified Real Asset Fund	1,035,412 shares	**	14,247
*	Global Real Estate Investment Trust Fund	1,292,404 shares	**	25,822
	Total Commingled Funds			<u>2,535,668</u>
	Self-directed Brokerage Accounts			
*	Fidelity BrokerageLink	906,152,917 shares	**	906,153
	Common Collective Trust Funds			
	Security-backed (Synthetic) Investment Contracts		**	545,924
	Short-Term Investment Fund A S	38,095,022 units	**	16,987
	Total Common Collective Trust Funds			<u>562,911</u>
	Total Investments			10,208,693
*	Participant Loans	Participant Loans	– 0 –	136,654
		Interest Rates ranging from 3.25% - 9.5%		
	Total			<u><u>\$ 10,345,347</u></u>

* Permitted party-in-interest

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

Schedule C Line 3(e) Attachment

Name of Plan: Duke Engery Retirement Savings Plan

EIN and three-digit plan number: 20-2777218 -002

Year End: 12/31/2023

CUSIP	Fund Family	Code	Rate	Fund Name	Street Address	City	State	Zip
00141A867	INVESCO	60	0.40%	INVESCO FLOATING RATE ESG CLASS A	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046
00141G872	INVESCO	60	0.40%	INVESCO SENIOR FLOATING RATE A	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046
00143K772	INVESCO	60	\$10.00	INVESCO GLOBAL STRAT INCOME R	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046
00143M539	INVESCO	60	0.40%	INVESCO SMALL CAP VALUE FUND CL A	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046
00143N750	INVESCO	60	0.40%	INVESCO GOLD & SPEC MINERALS A	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046
00143W701	INVESCO	60	0.40%	INVESCO DEVELOPING MARKETS A	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046
00143W800	INVESCO	60	0.10%	INVESCO DEVELOPING MARKETS C	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046
00170K364	MANAGERS FUNDS	60	0.40%	AMG GW&K SMALL MID CAP CORE CLASS N	600 STEAMBOAT RD, STE 300	GREENWICH	CT	06830
00170K562	MANAGERS FUNDS	60	0.15%	AMG YACKTMAN FOCUSED I	600 STEAMBOAT RD, STE 300	GREENWICH	CT	06830
00170K570	MANAGERS FUNDS	60	0.40%	AMG YACKTMAN FOCUSED N	600 STEAMBOAT RD, STE 300	GREENWICH	CT	06830
00170K588	MANAGERS FUNDS	60	0.40%	AMG YACKTMAN FUND I	600 STEAMBOAT RD, STE 300	GREENWICH	CT	06830
00170L842	MANAGERS FUNDS	60	0.40%	AMG GW&K ESG BOND FUND N	600 STEAMBOAT RD, STE 300	GREENWICH	CT	06830
00170L867	MANAGERS FUNDS	60	0.40%	AMG VERITAS ASIA PACIFIC FUND N	600 STEAMBOAT RD, STE 300	GREENWICH	CT	06830
00203H412	AQR FUNDS	60	0.40%	AQR STYLE PREMIA ALTERNATIVE CL N	1 GREENWICH PLAZA	GREENWICH	CT	06830
00203H420	AQR FUNDS	60	0.12%	AQR STYLE PREMIA ALTERNATIVE CL I	1 GREENWICH PLAZA	GREENWICH	CT	06830
00203H438	AQR FUNDS	60	0.40%	AQR LONG SHORT EQUITY CL N	1 GREENWICH PLAZA	GREENWICH	CT	06830
00203H461	AQR FUNDS	60	0.15%	AQR MANAGED FUTURES STRATEGY HV CL I	1 GREENWICH PLAZA	GREENWICH	CT	06830
00203H602	AQR FUNDS	60	0.15%	AQR DIVERSIFIED ARBITRAGE CLASS I	1 GREENWICH PLAZA	GREENWICH	CT	06830
00203H719	AQR FUNDS	60	0.15%	AQR LARGE CAP DEFENSIVE STYLE FD I	1 GREENWICH PLAZA	GREENWICH	CT	06830
00203H750	AQR FUNDS	60	0.40%	AQR LARGE CAP DEFENSIVE STYLE CL N	1 GREENWICH PLAZA	GREENWICH	CT	06830
003022431	ABERDEEN FUNDS	60	0.15%	ABERDEEN DYNAMIC DIVIDEND INSTL	1735 MARKET ST, 32ND FL	PHILADELPHIA	PA	19103
0075W0742	EDGEWOOD	60	0.40%	EDGEWOOD GROWTH FUND RETAIL CLASS	1 FREEDOM VALLEY DR	OAKS	PA	19456
0075W0759	EDGEWOOD	60	0.12%	EDGEWOOD GROWTH FUND INSTL CL	1 FREEDOM VALLEY DR	OAKS	PA	19456
00766Y513	CHAMPLAIN FUNDS	60	0.12%	CHAMPLAIN MID CAP CLASS I	ONE FREEDOM VALLEY DR	OAKS	PA	19456
00771F202	ADVISORS PREFERRED FUNDS	60	0.40%	ADV PREFERRED GOLD BULLION STRAT INV	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850
00771F400	ADVISORS PREFERRED FUNDS	60	0.40%	ADVISORS PRFD QUANFDMANAGED INCOME INVST	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850
00771F525	ADVISORS PREFERRED FUNDS	60	0.40%	QUANTIFIED GOVT'T INC TACTICAL INVSTR	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850
00771F574	ADVISORS PREFERRED FUNDS	60	0.40%	QUANTIFIED TACTICAL SECTOR FUND INVESTOR	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850
00771F608	ADVISORS PREFERRED FUNDS	60	0.40%	ADVISORS PRFD QUANFDMARKET LEADERS INVST	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850
00771F632	ADVISORS PREFERRED FUNDS	60	0.40%	QUANTIFIED COMMON GROUND FD INVST	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850
00771F673	ADVISORS PREFERRED FUNDS	60	0.40%	QUANTIFIED TACTICAL FIXED INC INVST	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850
00771F749	ADVISORS PREFERRED FUNDS	60	0.40%	ADVISORS PREFERRED QUANTIFIED STF INVST	1445 RESEARCH BLVD STE 530	ROCKVILLE	MD	20850
00771X419	GQG PARTNERS FUND	60	0.15%	GQG PARTNERS EMERG MARKETS EQ INSTL	1 FREEDOM VALLEY DR	OAKS	PA	19456
00774Q163	SOUTHERN SUN FUNDS	60	0.40%	SOUTHERNSUN SMALL CAP FUND N	1 FREEDOM VALLEY DR	OAKS	PA	19456
00774Q213	FIRST FOUNDATION	60	0.12%	FIRST FOUNDATION TOTAL RETURN FUND Y	1 FREEDOM VALLEY DR	OAKS	PA	19456
00774Q874	GQG PARTNERS FUND	60	0.40%	GQG PARTNERS US QULTSELECT EQUITY INVSTR	1 FREEDOM VALLEY DR	OAKS	PA	19456
00900W100	INVESCO	60	0.40%	INVESCO GLOBAL A	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046
00900W571	INVESCO	60	0.40%	INVESCO INTL SMALL MID COMPANY A	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046
00900W779	INVESCO	60	0.40%	INVESCO GLOBAL OPPORTUNITIES A	11 GREENWAY PLAZA; STE 100	HOUSTON	TX	77046
015565369	ALGER GROUP	60	0.15%	ALGER SMALL CAP FOCUS CLASS Z	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311
015565450	ALGER GROUP	60	0.40%	ALGER SMALL CAP FOCUS CLASS A	600 PLAZA ONE, 6TH FL	JERSEY CITY	NJ	07311
018636100	ALLIANCE CAPITAL FUNDS	60	0.40%	AB DISCOVERY GROWTH CLASS A	8000 IH 10 W; STE 1400, 14TH FL	SAN ANTONIO	TX	78230
01877C101	ALLIANCE CAPITAL FUNDS	60	0.40%	AB LARGE CAP GROWTH CLASS A	8000 IH 10 W; STE 1400, 14TH FL	SAN ANTONIO	TX	78230
01877E107	ALLIANCE CAPITAL FUNDS	60	0.10%	AB SMALL CAP GROWTH PORT CLASS A	8000 IH 10 W; STE 1400, 14TH FL	SAN ANTONIO	TX	78230
01877F401	ALLIANCE CAPITAL FUNDS	60	0.40%	AB GROWTH CLASS A	8000 IH 10 W; STE 1400, 14TH FL	SAN ANTONIO	TX	78230
018866103	IMAN FUND	60	0.40%	IMAN FUND RETAIL SHARES	721 ENTERPRISE DR	OAKBROOK	IL	60523
02110A571	SEVEN CANYONS FUNDS	60	0.40%	SEVEN CANYONS WORLD INNOVATORS INVESTOR	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108
02110A688	CLARKSTON FUNDS	60	0.12%	CLARKSTON PARTNERS FUND CL I	1290 BROADWAY ST, STE 1100	DENVER	CO	80203
02156N404	RESOURCE REAL ESTATE	60	0.20%	ALTERNATIVE CREDIT INCOME FD I	1290 BROADWAY, STE 1100	DENVER	CO	80203
022865109	AMANA MUTUAL FUNDS	60	0.40%	AMANA MUTUAL FUND TRUST INCOME	1300 NORTH STATE ST	BELLINGHAM	WA	98225
022865208	AMANA MUTUAL FUNDS	60	0.40%	AMANA MUTUAL FUND TRUST GROWTH	1300 NORTH STATE ST	BELLINGHAM	WA	98225
023375405	AMERICAN CLASS F	60	0.37%	AMERICAN AMCAP FUND CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02368A620	AMERICAN BEACON FUNDS	60	0.40%	AMERICAN BEACON SMALL CAP INVESTOR	220 E LAS COLINAS BLVD, STE 1200	IRVING	TX	75039
02368A810	AMERICAN BEACON FUNDS	60	0.40%	AMERICAN BEACON LARGE CAP INVESTOR	220 E LAS COLINAS BLVD, STE 1200	IRVING	TX	75039
024071409	AMERICAN CLASS F	60	0.37%	AMERICAN BALANCED CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
024524118	AMERICAN BEACON FUNDS	60	0.40%	AMER BEACON BRDGWAY LARGE CAP VAL INVST	220 E LAS COLINAS BLVD, STE 1200	IRVING	TX	75039
024526204	AMERICAN BEACON FUNDS	60	0.40%	AMERICAN BEACON ARK TRANS INNOVTN INVSTR	220 E LAS COLINAS BLVD, STE 1200	IRVING	TX	75039
024932253	AMERICAN CENTURY INVESTMENTS	60	0.25%	AMERICAN CENTURY SHTDUR STRAT INC INV	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111
024932600	AMERICAN CENTURY INVESTMENTS	60	0.15%	AMERICAN CENTURY DIVERSIFD BOND CL I	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111
024932774	AMERICAN CENTURY INVESTMENTS	60	0.25%	AMERICAN CEN SHT DURINFL PROTECTN BD INV	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111
025076100	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY EQUITY INCOME INV CL	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111
025076647	AMERICAN CENTURY INVESTMENTS	60	0.15%	AMERICAN CENTURY MIDCAP VALUE CLASS I	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111
02507H502	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CEN FOCUSEDYNAMIC GROWTH INV	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111
025081704	AMERICAN CENTURY INVESTMENTS	60	0.25%	AMERICAN CENTURY INFLN ADJ BOND INV	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111
025083882	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY ULTRA INVESTOR CLASS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111
025086844	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY FOCUSED GLBL GR INVS	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111
025086877	AMERICAN CENTURY INVESTMENTS	60	0.15%	AMERICAN CENTURY EMERGING MRKTS CL I	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111
025086885	AMERICAN CENTURY INVESTMENTS	60	0.35%	AMERICAN CENTURY EMERGING MARKETS INV	4400 MAIN ST 1ST FL	KANSAS CITY	MO	64111
02629H406	AMERICAN CLASS F	60	0.37%	AMERICAN CORPORATE BOND FUND CL F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02630R203	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN FUNDS GRWTH& INCOME PORT CL A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02630R757	AMERICAN CLASS F	60	0.37%	AMERICAN FUNDS GROWTH PORT F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02630T571	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN 2040 TARGETDATE RETIREMENT CL A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02630Y588	AMERICAN CLASS F	60	0.37%	AMERICAN FDS TAX AWRCONS GR AND INC F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02631L403	AMERICAN CLASS F	60	0.37%	AMERICAN FUNDS RETIRINCOM PORT-CONSER F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
02631L817	AMERICAN CLASS F	60	0.37%	AMERICAN FUNDS RETIRINCOM POR-MODE CL F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
027681402	AMERICAN CLASS F	60	0.37%	AMERICAN MUTUAL FUNDCLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
03463K307	ANGEL OAK FUNDS	60	0.40%	ANGEL OAK MULTI STRATEGY INCOME CL A	400 CITY CENTER	OSHKOSH	WI	54901
039491204	ARCHER FUNDS	60	0.08%	ARCHER STOCK FUND	9000 KEYSTONE CROSSING 630	INDIANAPOLIS	IN	46240
039491303	ARCHER FUNDS	60	0.08%	ARCHER DIVIDEND GROWTH FUND	9000 KEYSTONE CROSSING 630	INDIANAPOLIS	IN	46240
039491402	ARCHER FUNDS	60	0.08%	ARCHER FOCUS FUND	9000 KEYSTONE CROSSING 630	INDIANAPOLIS	IN	46240
03951C106	ARCHER FUNDS	60	0.08%	ARCHER BALANCED	9000 KEYSTONE CROSSING 630	INDIANAPOLIS	IN	46240
040337842	ARIEL MUTUAL FUNDS	60	\$16.00	ARIEL FUND CLASS I	811 E. WISCONSIN AVE	MILWAUKEE	WI	53202
04314H105	ARTISAN FUNDS	60	0.39%	ARTISAN SMALL CAP FUND INVESTOR CL	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202
04314H204	ARTISAN FUNDS	60	0.39%	ARTISAN INTERNATL INVESTOR CLASS	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202
04314H626	ARTISAN FUNDS	60	0.39%	ARTISAN DEVELOPING WORLD FD INVESTOR CL	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202
04314H717	ARTISAN FUNDS	60	0.15%	ARTISAN HIGH INCOME FUND ADVISOR	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202
04314H725	ARTISAN FUNDS	60	0.39%	ARTISAN HIGH INCOME FUND INVESTOR	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202
04314H824	ARTISAN FUNDS	60	0.39%	ARTISAN GLOBAL OPPORTUNITIES INV	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202
04314H840	ARTISAN FUNDS	60	0.39%	ARTISAN GLOBAL VALUE FD INVT SHARES	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202
04314H881	ARTISAN FUNDS	60	0.39%	ARTISAN INTL VALUE FUND INV CL	875 E WISCONSIN AVE STE 800	MILWAUKEE	WI	53202
04315J878	ABERDEEN FUNDS	60	0.40%	ABERDEEN GLOBAL HIGHINCOME FUND CL A	1735 MARKET ST, 32ND FL	PHILADELPHIA	PA	19103
05586X108	DREYFUS GROUP	60	0.40%	BNY MELLON SMALL MIDCAP GROWTH A	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556
05587N653	DREYFUS GROUP	60	0.09%	BNY MELLON DYNAMIC VALUE I	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556

05587N679	DREYFUS GROUP	60	0.40%	BNY MELLON DYNAMIC VALUE A	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556
05588E868	DREYFUS GROUP	60	0.40%	BNY MELLON INTERNATIONAL BOND A	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556
05588K104	DREYFUS GROUP	60	0.35%	BNY MELLON LARGE CAPSECURITIES FUND INC	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556
057071557	BAIRD	60	0.06%	CHAUTAUQUA INTL GROWTH FUND CL I	777 E. WISCONSIN AVE, 18TH FL	MILWAUKEE	WI	53202
057071854	BAIRD	60	0.02%	BAIRD AGGREGATE BOND FUND INSTL	777 E. WISCONSIN AVE, 18TH FL	MILWAUKEE	WI	53202
057071862	BAIRD	60	0.28%	BAIRD AGGREGATE BONDFUND INVESTOR CL	777 E. WISCONSIN AVE, 18TH FL	MILWAUKEE	WI	53202
068278100	BARON ASSET FUNDS	60	0.40%	BARON ASSET	767 5TH AVE 49TH FL	NEW YORK	NY	10153
068278209	BARON ASSET FUNDS	60	0.40%	BARON GROWTH	767 5TH AVE 49TH FL	NEW YORK	NY	10153
06828M108	BARON ASSET FUNDS	60	0.40%	BARON PARTNERS FUND	767 5TH AVE 49TH FL	NEW YORK	NY	10153
06828M207	BARON ASSET FUNDS	60	0.40%	BARON FOCUSED GROWTHFUND	767 5TH AVE 49TH FL	NEW YORK	NY	10153
06828M405	BARON ASSET FUNDS	60	0.10%	BARON PARTNERS FUND INSTL CLASS	767 5TH AVE 49TH FL	NEW YORK	NY	10153
06828M504	BARON ASSET FUNDS	60	0.15%	BARON FOCUSED GROWTH CLASS I	767 5TH AVE 49TH FL	NEW YORK	NY	10153
06828M702	BARON ASSET FUNDS	60	0.40%	BARON REAL ESTATE FUND RETAIL	767 5TH AVE 49TH FL	NEW YORK	NY	10153
06828M843	BARON ASSET FUNDS	60	0.40%	BARON GLOBAL ADVANTAGE FD RETAIL	767 5TH AVE 49TH FL	NEW YORK	NY	10153
06828M884	BARON ASSET FUNDS	60	0.40%	BARON EMERGING MARKETS FUND RETAIL	767 5TH AVE 49TH FL	NEW YORK	NY	10153
084649102	BERKSHIRE FUNDS	60	0.40%	BERKSHIRE FOCUS FUND	475 MILAN DR STE 103	SAN JOSE	CA	95134
091928309	BLACKROCK FUNDS	60	0.40%	BLACKROCK ADVANTAGE SM CAP GROWTH INV A	40 EAST 52ND ST	NEW YORK	NY	10022
091928846	BLACKROCK FUNDS	60	0.40%	BLACKROCK MID CAP GROWTH EQUITY CL A	40 EAST 52ND ST	NEW YORK	NY	10022
091928861	BLACKROCK FUNDS	60	0.08%	BLACKROCK MID CAP GROWTH EQUITY INSTL	40 EAST 52ND ST	NEW YORK	NY	10022
091929570	BLACKROCK FUNDS	60	0.40%	BLACKROCK TECHNOLOGYOPPORTUNITIES CL A	40 EAST 52ND ST	NEW YORK	NY	10022
091936179	BLACKROCK FUNDS	60	0.30%	ISHARES TOTAL US STOCK MRKT INDX A	40 EAST 52ND ST	NEW YORK	NY	10022
091937243	BLACKROCK FUNDS	60	0.40%	BLACKROCK ADVANTAGE INTERNATIONAL CL A	40 EAST 52ND ST	NEW YORK	NY	10022
091937334	BLACKROCK FUNDS	60	0.40%	BLACKROCK ENERGY OPPORTUNITIES CL A	40 EAST 52ND ST	NEW YORK	NY	10022
091937573	BLACKROCK FUNDS	60	0.40%	BLACKROCK HEALTH SCIENCES OPP PRT A	40 EAST 52ND ST	NEW YORK	NY	10022
09251M108	BLACKROCK FUNDS	60	0.40%	BLACKROCK EQUITY DIVIDEND FD CL A	40 EAST 52ND ST	NEW YORK	NY	10022
09251M504	BLACKROCK FUNDS	60	0.15%	BLACKROCK EQUITY DIVIDEND FD-INSTL	40 EAST 52ND ST	NEW YORK	NY	10022
09251R107	BLACKROCK FUNDS	60	0.40%	BLACKROCK CAPITAL APPRECIATION INVT A	40 EAST 52ND ST	NEW YORK	NY	10022
09251T103	BLACKROCK FUNDS	60	0.40%	BLACKROCK GLOBAL ALLOCATION CL A	40 EAST 52ND ST	NEW YORK	NY	10022
09252M107	BLACKROCK FUNDS	60	0.40%	BLACKROCK TOTAL RETURN FUND CL A	40 EAST 52ND ST	NEW YORK	NY	10022
09256H351	BLACKROCK FUNDS	60	0.40%	BLACKROCK MULTI ASSET INCOME PORT A	40 EAST 52ND ST	NEW YORK	NY	10022
09260B382	BLACKROCK FUNDS	60	0.15%	BLACKROCK STRATEGIC INCOME OPPRTSI INSTL	40 EAST 52ND ST	NEW YORK	NY	10022
09260B416	BLACKROCK FUNDS	60	0.40%	BLACKROCK STRATEGIC INC OPP PORT CL A	40 EAST 52ND ST	NEW YORK	NY	10022
093001535	WILLIAM BLAIR MUTUAL FUNDS	60	0.40%	WILLIAM BLAIR LARGE CAP GROWTH FD N	222 WEST ADAMS ST, 12TH FL	CHICAGO	IL	60606
09661L401	DREYFUS GROUP	60	0.35%	BNY MELLON SMALLCAP STOCK INDEX INVESTOR	144 GLENN CURTISS BLVD 8TH FL	UNIONDALE	NY	11556
101156602	BOSTON BALANCED FUND	60	0.40%	BOSTON TRUST WALDEN SMALL CAP FUND	1 BEACON ST 33RD FL	BOSTON	MA	02108
105262729	BRANDES INSTITUTIONAL FUNDS	60	0.40%	BRANDES INTERNATIONLSMALL CAP EQUITY A	11988 EL CAMINO RALO STE 500	SAN DIEGO	CA	92130
105262752	BRANDES INSTITUTIONAL FUNDS	60	0.12%	BRANDES EMERGING MARKETS VALUE CL I	11988 EL CAMINO RALO STE 500	SAN DIEGO	CA	92130
108747825	BRIDGEWAY FUNDS	60	0.10%	BRIDGEWAY SMALL CAP VALUE FUND CL N	20 GREENWAY PLAZA, STE 450	HOUSTON	TX	77046
10964R103	BRINKER CAPITAL TRUST	60	0.15%	DESTINATIONS LARGE CAP EQUITY INSTL	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312
10964R202	BRINKER CAPITAL TRUST	60	0.15%	DESTINATIONS SMALL MID CAP EQ INSTL	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312
10964R301	BRINKER CAPITAL TRUST	60	0.15%	DESTINATIONS INTL EQUITY FD INSTL	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312
10964R400	BRINKER CAPITAL TRUST	60	0.15%	DESTINATIONS EQUITY INCOME FD INSTL	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312
10964R608	BRINKER CAPITAL TRUST	60	0.15%	DESTINATIONS CORE FIXED INCOME INSTL	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312
10964R707	BRINKER CAPITAL TRUST	60	0.15%	DESTINATIONS LOW DURFIXED INC INSTL	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312

10964R756	BRINKER CAPITAL TRUST	60	0.15%	DESTINATIONS SHELTER FUND INSTL	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312
10964R806	BRINKER CAPITAL TRUST	60	0.15%	DESTINATIONS GLOBAL FIXD INC OPPOR INSTL	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312
10964R871	BRINKER CAPITAL TRUST	60	0.15%	DESTINATIONS MULTI STRGY ALT INSTL	1055 WESTLAKES DR, STE 250	BERWYN	PA	19312
115233405	BROWN IA FUNDS	60	0.40%	BROWN ADVISORY SUSTAIN GROWTH ADV	777 E. WISCONSIN AVE, 4TH FL	MILWAUKEE	WI	53202
115233504	BROWN IA FUNDS	60	0.08%	BROWN ADVISORY GRWTH EQUITY INVESTOR	777 E. WISCONSIN AVE, 4TH FL	MILWAUKEE	WI	53202
115233827	BROWN IA FUNDS	60	0.40%	BROWN ADVISORY SMALLCAP GROWTH ADVISOR	777 E. WISCONSIN AVE, 4TH FL	MILWAUKEE	WI	53202
115291742	BROWN CAPITAL MANAGEMENT	60	0.40%	BROWN INTERNATIONAL SMALL COMPANY INVEST	1290 BROADWAY, STE 1100	DENVER	CO	80203
119428100	BUFFALO FUNDS	60	0.40%	BUFFALO FLEXIBLE INCOME FUND	615 E. MICHIGAN ST	MILWAUKEE	WI	53202
119530103	BUFFALO FUNDS	60	0.40%	BUFFALO DISCOVERY FUND	615 E. MICHIGAN ST	MILWAUKEE	WI	53202
119530301	BUFFALO FUNDS	60	0.40%	BUFFALO EARLY STAGE GROWTH FUND	615 E. MICHIGAN ST	MILWAUKEE	WI	53202
119530509	BUFFALO FUNDS	60	0.40%	BUFFALO INTERNATIONAL FUND	615 E. MICHIGAN ST	MILWAUKEE	WI	53202
119530848	BUFFALO FUNDS	60	0.15%	BUFFALO INTL INSTITUTIONAL CLASS	615 E. MICHIGAN ST	MILWAUKEE	WI	53202
119804102	BUFFALO FUNDS	60	0.40%	BUFFALO SMALL CAP GROWTH	615 E. MICHIGAN ST	MILWAUKEE	WI	53202
128119203	CALAMOS FAMILY OF MUTUAL FUNDS	60	0.40%	CALAMOS MARKET NEUTRAL INCOME CL A	2020 CALAMOS COURT	NAPERVILLE	IL	60563
128119872	CALAMOS FAMILY OF MUTUAL FUNDS	60	0.08%	CALAMOS GROWTH & INCOME CL I	2020 CALAMOS COURT	NAPERVILLE	IL	60563
128119880	CALAMOS FAMILY OF MUTUAL FUNDS	60	0.15%	CALAMOS MARKET NEUTRAL INCOME CL I	2020 CALAMOS COURT	NAPERVILLE	IL	60563
128120391	CALAMOS FAMILY OF MUTUAL FUNDS	60	0.15%	CALAMOS TIMPANI SM CP GR FD CL I	2020 CALAMOS COURT	NAPERVILLE	IL	60563
128120417	CALAMOS FAMILY OF MUTUAL FUNDS	60	0.40%	CALAMOS TIMPANI SM CAP GR FD CL A	2020 CALAMOS COURT	NAPERVILLE	IL	60563
128120656	CALAMOS FAMILY OF MUTUAL FUNDS	60	0.40%	CALAMOS PHINEUS LONG/SHORT CLASS A	2020 CALAMOS COURT	NAPERVILLE	IL	60563
13161P789	CALVERT GROUP	60	0.10%	CALVERT GLOBAL WATER FUND CLASS C	4550 MONTGOMERY AVE STE 1000 N	BETHESDA	MD	20814
140193103	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN CAPITAL INCOME BUILDER CL A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
140193400	AMERICAN CLASS F	60	0.37%	AMERICAN CAPITAL INCOME BUILDER CL F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
140541103	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN CAPITAL WORLD BOND CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
140543109	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN CAPITAL WORLD GRTH & INC A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
140543406	AMERICAN CLASS F	60	0.37%	AMERICAN CAPITAL WORLD GRWTH & INC F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
14214M641	EAGLE FUND SERVICES	60	0.15%	CARILLON REAMS CORE PLUS BOND CL I	P. O. BOX 33022	ST PETERSBURG	FL	337338022
14214M872	EAGLE FUND SERVICES	60	0.40%	CARILLON SCOUT MID CAP FUND CL I	P. O. BOX 33022	ST PETERSBURG	FL	337338022
149498206	CAUSEWAY	60	0.40%	CAUSEWAY EMERGING MRKTS FD INV CL	P. O. BOX 1100	OAKS	PA	19456
14949P109	CAUSEWAY	60	0.40%	CAUSEWAY INTERNATNALVALUE INVESTOR	P. O. BOX 1100	OAKS	PA	19456
14949P208	CAUSEWAY	60	0.15%	CAUSEWAY INTERNATNALVALUE INSTL	P. O. BOX 1100	OAKS	PA	19456
16140T202	EAGLE FUND SERVICES	60	0.12%	CARILLON CHARTWELL INCOME FUND	P. O. BOX 33022	ST PETERSBURG	FL	337338022
180567406	LEGG MASON	60	0.15%	CLARION PARTNERS REAL ESTATE INC I	620 8TH AVE, 49TH FL.	NEW YORK	NY	10018
186854204	CLIFFWATER LLC	60	0.18%	CLIFFWATER CORPORATE LENDING FUND I	4640 ADMIRALTY WAY, 11TH FL	MARINA DEL REY	CA	90292
19247N102	COHEN & STEERS FUNDS	60	0.40%	COHEN & STEERS GLOBAL REALTY CL A	280 PARK AVE, 10TH FL	NEW YORK	NY	10017
19247U106	COHEN & STEERS FUNDS	60	0.10%	COHEN & STEERS INSTL REALTY SHARES	280 PARK AVE, 10TH FL	NEW YORK	NY	10017
19248B107	COHEN & STEERS FUNDS	60	0.40%	COHEN & STEERS GL INFRASTRUCTURE CL A	280 PARK AVE, 10TH FL	NEW YORK	NY	10017
197199755	COLUMBIA FUNDS	60	0.40%	COLUMBIA THERMOSTAT CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19765H354	COLUMBIA FUNDS	60	0.40%	COLUMBIA LARGE CAP ENHANCED CORE CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19765N278	COLUMBIA FUNDS	60	0.40%	COLUMBIA DIVIDEND INCOME CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19765P406	COLUMBIA FUNDS	60	0.40%	COLUMBIA CONTRARIAN CORE FUND CL I	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19765P539	COLUMBIA FUNDS	60	0.40%	COLUMBIA GLOBAL TECHGROWTH CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19765P638	COLUMBIA FUNDS	60	0.40%	COLUMBIA SMALL CAP GROWTH FD CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19765Y712	COLUMBIA FUNDS	60	0.40%	COLUMBIA SELECT LRG CAP GROWTH CLASS A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766C339	COLUMBIA FUNDS	60	0.10%	COLUMBIA QUALITY INCOME CLASS I2	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766D444	COLUMBIA FUNDS	60	0.15%	COLUMBIA BALANCED FUND CL I2	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766F167	COLUMBIA FUNDS	60	0.40%	COLUMBIA INCOME BUILDER FUND CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766F670	COLUMBIA FUNDS	60	0.10%	COLUMBIA FLOATING RATE FUND CL C	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766H320	COLUMBIA FUNDS	60	0.40%	COLUMBIA SELIGMAN GLOBAL TECHNOLOGY A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766H429	COLUMBIA FUNDS	60	0.40%	COLUMBIA SELIGMAN TECH AND INFO CL A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766J102	COLUMBIA FUNDS	60	0.40%	COLUMBIA QUALITY INCOME CLASS A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766J888	COLUMBIA FUNDS	60	0.40%	COLUMBIA FLEXIBLE CAPITAL INCOME A	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
19766M881	COLUMBIA FUNDS	60	0.10%	COLUMBIA CORPORATE INCOME FUND CL I2	225 FRANKLIN ST, BX25 10320	BOSTON	MA	02110
22544R107	CREDIT SUISSE W.P. FUNDS	60	0.40%	CREDIT SUISSE COMMODRETURN STRATEGY A	ONE MADISON AVE, 10TH FL	NEW YORK	NY	10010
233203371	DIMENSIONAL	60	0.02%	DFA INTERNATIONAL CORE EQUITY	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
233203413	DIMENSIONAL	60	0.02%	DFA US CORE EQUITY I	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
233203504	DIMENSIONAL	60	0.02%	DFA US MICRO CAP PRTF INSTL	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
233203587	DIMENSIONAL	60	0.02%	DIMENSIONAL EMERGING MKTS VAL PRTF INSTL	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
233203595	DIMENSIONAL	60	0.02%	DFA US TARGETED VALUE PRTF INSTL	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
233203611	DIMENSIONAL	60	0.02%	DFA EMERGING MARKETS SMALL CAP	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
233203629	DIMENSIONAL	60	0.02%	DFA INTERNATIONAL SMALL COMPANY PORT	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
233203827	DIMENSIONAL	60	0.02%	DFA US LARGE CAP VALUE PRTF INSTL	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
23320G133	DIMENSIONAL	60	0.02%	DFA US HIGH RELATIVE PROFIT PORT INSTL	6300 BEE CAVES ROAD, BUILDING ONE	AUSTIN	TX	78746
245914817	DELAWARE GROUP	60	0.15%	DELAWARE EMERGING MKTS FD-INSTITUT CL	2005 MARKET ST	PHILADELPHIA	PA	19103
245914841	DELAWARE GROUP	60	0.40%	DELAWARE EMERGING MARKETS CLASS A	2005 MARKET ST	PHILADELPHIA	PA	19103
25159K705	DWS INVESTMENTS	60	0.15%	DWS RREEF REAL ASSETS FUND INSTL CL	280 PARK AVE, 9TH FLR	NEW YORK	NY	10026
25159L877	DWS INVESTMENTS	60	0.40%	DWS ENHANCED COMMODITY STRATEGY A	280 PARK AVE, 9TH FLR	NEW YORK	NY	10026
25264S502	DIAMOND HILL FUNDS	60	0.40%	DIAMOND HILL LARGE CAP INVESTOR	325 JOHN H MCCONNELL BLVD STE 200	COLUMBUS	OH	43215
25264S551	DIAMOND HILL FUNDS	60	0.40%	DIAMOND HILL SHORT DURAT SEC BOND INVST	325 JOHN H MCCONNELL BLVD STE 200	COLUMBUS	OH	43215
25264S775	DIAMOND HILL FUNDS	60	0.40%	DIAMOND HILL SELECT INVESTOR	325 JOHN H MCCONNELL BLVD STE 200	COLUMBUS	OH	43215
254939200	DIREXION FUNDS	60	0.40%	DIREXION MONTHLY NASDAQ100BULL2X INV	155 SEAPORT BOULEVARD, STE P8	BOSTON	MA	02210
258620103	DOUBLELINE	60	0.06%	DOUBLELINE TOTAL RETURN BOND FD CL I	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202
258620202	DOUBLELINE	60	0.40%	DOUBLELINE TOTAL RT BOND FD CL N	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202
258620301	DOUBLELINE	60	0.06%	DOUBLELINE CORE FIXED INCOME CL I	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202
258620509	DOUBLELINE	60	0.06%	DOUBLELINE EMERGING MRTKS FIXED INC I	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202
258620723	DOUBLELINE	60	0.40%	DOUBLELINE STRATEGICCOMMODITY CL N	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202
258620780	DOUBLELINE	60	0.40%	DOUBLELINE FLEXIBLE INCOME CL N	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202
258620798	DOUBLELINE	60	0.06%	DOUBLELINE FLEXIBLE INCOME CL I	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202
258620814	DOUBLELINE	60	0.40%	DOUBLELINE SHILLER ENHANCED CAP CL N	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202
262028301	DRIEHAUS CAPITAL MANAGEMENT	60	0.40%	DRIEHAUS EMERGING MARKETS	25 EAST ERIE ST	CHICAGO	IL	60611
262028749	DRIEHAUS CAPITAL MANAGEMENT	60	0.40%	DRIEHAUS SMALL CAP GROWTH INVESTOR CL	25 EAST ERIE ST	CHICAGO	IL	60611
277902722	EATON VANCE GROUP	60	\$16.00	EATON VANCE ATLANTA CAP FOCUSED GRWTH I	TWO INTERNATIONAL PLACE	BOSTON	MA	02110
277911129	EATON VANCE GROUP	60	\$16.00	EATON VANCE FLOATINGRATE FUND CLASS A	TWO INTERNATIONAL PLACE	BOSTON	MA	02110
277923579	EATON VANCE GROUP	60	\$16.00	EATON VANCE SHT DUR STRATEGIC INC FD I	TWO INTERNATIONAL PLACE	BOSTON	MA	02110
277923637	EATON VANCE GROUP	60	\$16.00	EATON VANCE FLOATINGRATE ADVANTAGE CL I	TWO INTERNATIONAL PLACE	BOSTON	MA	02110
277923660	EATON VANCE GROUP	60	\$16.00	EATON VANCE FLOATINGRATE ADVANTAGE CL A	TWO INTERNATIONAL PLACE	BOSTON	MA	02110
27826A789	EATON VANCE GROUP	60	0.40%	EATON VANCE EMERGINGAND FRONT COUNT EQ A	TWO INTERNATIONAL PLACE	BOSTON	MA	02110
298706409	AMERICAN CLASS F	60	0.37%	AMERICAN EUROPACIFICGROWTH CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
30254T635	FPA FUNDS	60	0.40%	FPA QUEENS ROAD SM CAP VALUE INVSTR	11601 WILSHIRE BLVD, STE 1200	LOS ANGELES	CA	90025
30254T759	FPA FUNDS	60	0.35%	FPA CRESCENT FUND	11601 WILSHIRE BLVD, STE 1200	LOS ANGELES	CA	90025
302933205	FMI FUNDS	60	0.40%	FMI LARGE CAP FUND	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202
302933304	FMI FUNDS	60	0.40%	FMI INTERNATIONAL	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202
302933403	FMI FUNDS	60	0.40%	FMI COMMON STOCK FUND	777 EAST WISCONSIN AVE	MILWAUKEE	WI	53202
304871106	FAIRHOLME	60	0.10%	FAIRHOLME FUND	4400 BISWAYNE BOULEVARD	SOUTH MIAMI	FL	33143
314172636	FEDERATED FUNDS	60	0.40%	FEDERATED HERMES KAUFMANN SM CAP A	4000 ERICSSON DR	WARRENDALE	PA	150867515
314197104	FEDERATED FUNDS	60	0.40%	FEDERATED HERMES OPPOR HIGH YLD BD SS	4000 ERICSSON DR	WARRENDALE	PA	150867515
31421N402	FEDERATED FUNDS	60	0.15%	FEDERATED HERMES KAUFMANN SM CAP IS	4000 ERICSSON DR	WARRENDALE	PA	150867515
317609220	EMERALD MUTUAL FUNDS	60	0.40%	EMERALD FINANCE AND BANKING INNOV INV	3175 OREGON PIKE	LEOLA	PA	17540
32008F101	FIRST EAGLE SOGEN FUNDS	60	0.40%	FIRST EAGLE OVERSEAS CLASS A	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
32008F200	FIRST EAGLE SOGEN FUNDS	60	0.15%	FIRST EAGLE OVERSEAS CLASS I	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
32008F408	FIRST EAGLE SOGEN FUNDS	60	0.40%	FIRST EAGLE GOLD CLASS A	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
32008F507	FIRST EAGLE SOGEN FUNDS	60	0.40%	FIRST EAGLE GLOBAL CLASS A	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105

32008F606	FIRST EAGLE SOGEN FUNDS	60	0.15%	FIRST EAGLE GLOBAL CLASS I	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
32008F705	FIRST EAGLE SOGEN FUNDS	60	0.09%	FIRST EAGLE GLOBAL CLASS C	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
32008F770	FIRST EAGLE SOGEN FUNDS	60	0.15%	FIRST EAGLE GOLD FUND CL I	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
32008F804	FIRST EAGLE SOGEN FUNDS	60	0.09%	FIRST EAGLE OVERSEAS CLASS C	1345 AVE OF THE AMERICAS 48TH FLR	NEW YORK	NY	10105
337941504	FIRSTHAND FUNDS	60	0.40%	FIRSTHAND TECHNOLOGYOPPORTUNITIES FUND	150 ALMADEN BLVD., STE 1250	SAN JOSE	CA	95113
337941827	FIRSTHAND FUNDS	60	0.40%	FIRSTHAND ALTERNATIVE ENERGY	150 ALMADEN BLVD., STE 1250	SAN JOSE	CA	95113
353496201	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN DYNATECH FUND A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353496300	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN INCOME CLASS A1	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353496474	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN UTILITIES CL A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353496490	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN INCOME CL A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353496805	FRANKLIN GROUP OF FUNDS	60	\$19.00	FRANKLIN INCOME CLASS C	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353496870	FRANKLIN GROUP OF FUNDS	60	\$19.00	FRANKLIN DYNATECH CLASS C	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353535107	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN GOLD AND PRECIOUS METALS CL A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353612682	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN MANAGED INCOME FUND CL A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
353825409	FRANKLIN GROUP OF FUNDS	60	\$19.00	FRANKLIN RISING DIVIDENDS CLASS C	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
354713109	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN SMALL-MID CAP GROWTH A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
354713505	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN STRATEGIC INCOME CLASS A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
35472P844	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN GLOBAL ALLOCATION A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
355148503	FRANKLIN GROUP OF FUNDS	60	\$16.00	FRANKLIN SMALL CAP VALUE ADVISOR CLASS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
359246840	FROST FUNDS	60	0.40%	FROST TOTAL RETURN BOND FD INVESTOR	P.O. BOX 2509	SAN ANTONIO	TX	782992509
360802102	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN FUNDAMENTALINVESTORS CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
360802409	AMERICAN CLASS F	60	0.37%	AMERICAN FUNDAMENTALINVESTORS CL F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
360873665	POLEN GROWTH FUNDS	60	0.40%	POLEN GROWTH FUND RETAIL SHARES	1825 NW CORPORATE BLVD, STE 300	BOCA RATON	FL	33431
36239R107	GABELLI/WESTWOOD FUNDS	60	0.40%	GABELLI GOLD FUND CLAA	401 THEODORE FREMD. AVE.	RYE	NY	10580
36239T103	GABELLI/WESTWOOD FUNDS	60	0.35%	GABELLI SMALL CAP GROWTH AAA	401 THEODORE FREMD. AVE.	RYE	NY	10580
36239T202	GABELLI/WESTWOOD FUNDS	60	0.35%	GABELLI EQUITY INCOME FUND AAA	401 THEODORE FREMD. AVE.	RYE	NY	10580
378690770	GLENMEDE	60	0.40%	GLENMEDE LARGE CAP GROWTH	1650 MARKET ST. STE 1200	PHILADELPHIA	PA	19103
38141W596	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS INTL EQUITY ESG CL A	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606
38141W612	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS SMALL CAP VALUE CLASS A	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606
38141W661	GOLDMAN SACHS ASSET MGMT GROUP	60	0.50%	GOLDMAN SACHS HIGH YIELD SVS SHRS	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606
38143H357	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS SATELLITE STRATEGIES CL A	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606
38143H696	GOLDMAN SACHS ASSET MGMT GROUP	60	0.08%	GOLDMAN SACHS US EQUITY DIV PREM C	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606
38143H712	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS US EQUITY DIV PREM CL A	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606
38144N627	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS INTL SM CAP INSIGHTS A	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606
38147N293	GOLDMAN SACHS ASSET MGMT GROUP	60	0.17%	GOLDMAN SACHS GQG PARTNERS INTL OPP I	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606
38147N327	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS GQG PART INTERNTL OPP A	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606
38150C671	GOLDMAN SACHS ASSET MGMT GROUP	60	0.40%	GOLDMAN SACHS CLEAN ENERGY INCOME A	71 S. WACKER DR, 4TH FL	CHICAGO	IL	60606
399874106	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN GROWTH FUNDOF AMERICA CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
399874403	AMERICAN CLASS F	60	0.37%	AMERICAN GROWTH FUNDOF AMERICA CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
40168W525	RYDEX SERIES TRUST	60	0.15%	GUGGENHEIM TOTAL RETURN BOND FD INSTL	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850
40169J804	RYDEX SERIES TRUST	60	0.40%	GUGGENHEIM MACRO OPPORTUNITIES CL P	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850
40169J879	RYDEX SERIES TRUST	60	0.40%	GUGGENHEIM TOTAL RETURN BOND CL P	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850
402031405	GUINNESS ATKINSON FUNDS	60	0.40%	GUINNESS ATKINSON GLOBAL ENERGY	2220 E. ROUTE 66, STE 226	GLENDDORA	CA	91740
402031504	GUINNESS ATKINSON FUNDS	60	0.40%	GUINNESS ATKINSON ALTERNATIVE ENERGY	2220 E. ROUTE 66, STE 226	GLENDDORA	CA	91740
410223101	JOHN HANCOCK FUNDS	60	0.40%	JOHN HANCOCK BOND CLASS A	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210
411511504	HARBOR FUNDS	60	0.15%	HARBOR CAP APP INST	111 S. WACKER DR, 34TH FL	CHICAGO	IL	60606
411511645	HARBOR FUNDS	60	0.35%	HARBOR INTL INV	111 S. WACKER DR, 34TH FL	CHICAGO	IL	60606
411511819	HARBOR FUNDS	60	0.35%	HARBOR CAP APP INV	111 S. WACKER DR, 34TH FL	CHICAGO	IL	60606
412295107	HARDING LOEVNER	60	0.15%	HARDING LOEVNER INTL EQUITY PORT INSTL	PO BOX 4766	CHICAGO	IL	60680
412295305	HARDING LOEVNER	60	0.40%	HARDING LOEVNER EMERG MRKTS PORT ADV	PO BOX 4766	CHICAGO	IL	60680
412295503	HARDING LOEVNER	60	0.40%	HARDING LOEVNER INTL EQUITY PORT INV	PO BOX 4766	CHICAGO	IL	60680
412295701	HARDING LOEVNER	60	0.15%	HARDING LOEVNER INST EMERGING MRKTS CL I	PO BOX 4766	CHICAGO	IL	60680
413838103	OAKMARK FUNDS	60	0.35%	OAKMARK FUND INVESTOR CLASS	111 SOUTH WACKER DR.	CHICAGO	IL	60606
413838202	OAKMARK FUNDS	60	0.35%	OAKMARK INTL INVESTOR CL	111 SOUTH WACKER DR.	CHICAGO	IL	60606
413838400	OAKMARK FUNDS	60	0.35%	OAKMARK EQUITY & INCOME INVESTOR CL	111 SOUTH WACKER DR.	CHICAGO	IL	60606
413838509	OAKMARK FUNDS	60	0.35%	OAKMARK INTERNAT'L SMALL CAP INVESTOR	111 SOUTH WACKER DR.	CHICAGO	IL	60606
413838731	OAKMARK FUNDS	60	0.15%	OAKMARK INTL ADVISOR FUND	111 SOUTH WACKER DR.	CHICAGO	IL	60606
416529881	HARTFORD FUNDS	60	0.40%	HARTFORD GROWTH OPPORTUNITY CLASS A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416645406	HARTFORD FUNDS	60	0.40%	HARTFORD CAPITAL APPRECIATION CL A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416645844	HARTFORD FUNDS	60	0.40%	HARTFORD DIVIDEND & GROWTH CLASS A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416646198	HARTFORD FUNDS	60	0.35%	HARTFORD SHORT DURATION CLASS A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416648228	HARTFORD FUNDS	60	0.10%	HARTFORD BALANCED INCOME FD CL C	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416648244	HARTFORD FUNDS	60	0.35%	HARTFORD BALANCED INCOME FD CL A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416648558	HARTFORD FUNDS	60	0.35%	HARTFORD FLOATING RATE FUND CLASS A	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
416649820	HARTFORD FUNDS	60	0.15%	HARTFORD TOTAL RETURN BD FD CL I	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
41664L583	HARTFORD FUNDS	60	0.10%	HARTFORD STRATEGIC INCOME FD CL Y	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
41664M631	HARTFORD FUNDS	60	0.15%	HARTFORD INTL VALUE FD CLASS I	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
41665H235	HARTFORD FUNDS	60	0.15%	HARTFORD SCHRODERS US MID CAP OPP CL I	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
41665H490	HARTFORD FUNDS	60	0.15%	HARTFORD SCHRODERS INTL STOCK CL I	100 MATSONFORD RD, STE 300	RADNOR	PA	19087
422352500	HEARTLAND FUNDS	60	0.40%	HEARTLAND VALUE PLUS	789 N. WATER ST	MILWAUKEE	WI	53202
422352815	HEARTLAND FUNDS	60	0.40%	HEARTLAND MID CAP VALUE INVESTOR	789 N. WATER ST	MILWAUKEE	WI	53202
425888302	HENNESSY FUNDS	60	0.40%	HENNESSY CORNERSTONEMID CAP 30 INV CL	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945
425888609	HENNESSY FUNDS	60	0.15%	HENNESSY CORNERSTONEMID CAP 30 INSTL CL	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945
42588P205	HENNESSY FUNDS	60	0.40%	HENNESSY CORNERSTONELARGE GRWTH INV CL	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945
42588P700	HENNESSY FUNDS	60	0.40%	HENNESSY FOCUS FUND INVESTOR CLASS	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945
42588P833	HENNESSY FUNDS	60	0.40%	HENNESSY GAS UTILITYINVESTOR CL	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945
42588P882	HENNESSY FUNDS	60	0.40%	HENNESSY LARGE CAP FINANCIAL INVSTR CL	7250 REDWOOD BLVD., STE 200	NOVATO	CA	94945
453320103	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN INCOME FUND OF AMERICA CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
453320400	AMERICAN CLASS F	60	0.37%	AMERICAN INCOME FUNDOF AMERICA CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
460953102	KINETICS (INTERNET) FUNDS	60	0.40%	THE INTERNET FUND	470 PARK AVE SOUTH	NEW YORK	NY	10016
461308108	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN INVESTMNT CO OF AMERICA CL A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
461418444	WCM FUNDS	60	0.40%	WCM FOCUSED INTL GROWTH FUND INSTL	2220 EAST ROUTE 66, STE 226	GLENDDORA	CA	91740
46141P651	EURO PACIFIC FUNDS	60	0.10%	EP INTERNATIONAL BOND FUND CLI	LOTS 81 82, ST C, STE 204	DORADO	PR	00646
46141P677	EURO PACIFIC FUNDS	60	0.08%	EUROPAC GOLD FUND CLASS A	LOTS 81 82, ST C, STE 204	DORADO	PR	00646
46141Q196	EURO PACIFIC FUNDS	60	0.10%	EUROPAC GOLD FUND CL I	LOTS 81 82, ST C, STE 204	DORADO	PR	00646
46141T448	AXS FUNDS	60	0.40%	AXS MULTI STRATEGY ALTERNATIVES INV	181 WESTCHESTER AVE, STE 402	PORT CHESTER	NY	10573
46141T869	FIRST TRUST CAPITAL	60	0.12%	FIRST TRUST MERGER ARBITRAGE CLASS I	2220 E. ROUTE 66, STE 226	SMITHFIELD	RI	02917
465898435	DELAWARE GROUP	60	0.40%	DELAWARE IVY SMID CAP CORE CL A	2005 MARKET ST	PHILADELPHIA	PA	19103
46602Q206	NATIXIS GLOBAL ASSOCIATES	60	0.05%	LOOMIS SAYLES GLOBAL ALLOCATION CLASS C	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116
46637K240	JP MORGAN FUNDS	60	0.40%	JPMORGAN INCOME FUNDCLASS A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
46637K315	JP MORGAN FUNDS	60	0.40%	JPMORGAN HEDGED EQUITY CLASS A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
46645V329	JP MORGAN FUNDS	60	0.15%	JP MORGAN HEDGED EQUITY 3 FD I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
46645V378	JP MORGAN FUNDS	60	0.15%	JP MORGAN HEDGED EQUITY 2 FD I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
46645V675	JP MORGAN FUNDS	60	0.08%	JPMORGAN EQUITY PREM INCOME CL I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
469785604	JACOB FUNDS	60	0.40%	JACOB INTERNET	727 2ND ST, STE 106	HERMOSA BEACH	CA	90254
471023549	JANUS FUNDS	60	0.35%	JANUS HENDERSON TRITON T	151 DETROIT ST.	DENVER	CO	80206
471023572	JANUS FUNDS	60	0.35%	JANUS HENDERSON SMALL CAP VALUE T	151 DETROIT ST.	DENVER	CO	80206
471023598	JANUS FUNDS	60	0.35%	JANUS HENDERSON MID CAP VALUE T	151 DETROIT ST.	DENVER	CO	80206
471023606	JANUS FUNDS	60	0.35%	JANUS HENDERSON FLEXIBLE BOND T	151 DETROIT ST.	DENVER	CO	80206
471023655	JANUS FUNDS	60	0.35%	JANUS HENDERSON CONTRARIAN T	151 DETROIT ST.	DENVER	CO	80206
471023663	JANUS FUNDS	60	0.35%	JANUS HENDERSON GLOB TECH & INNOV T	151 DETROIT ST.	DENVER	CO	80206

471023671	JANUS FUNDS	60	0.35%	JANUS HENDERSON GL LIFE SCIENCES T	151 DETROIT ST.	DENVER	CO	80206
471023762	JANUS FUNDS	60	0.35%	JANUS HENDERSON HIGH-YIELD T	151 DETROIT ST.	DENVER	CO	80206
471023804	JANUS FUNDS	60	0.35%	JANUS HENDERSON ENTERPRISE T	151 DETROIT ST.	DENVER	CO	80206
471023846	JANUS FUNDS	60	0.35%	JANUS HENDERSON OVERSEAS T	151 DETROIT ST.	DENVER	CO	80206
471023879	JANUS FUNDS	60	0.35%	JANUS HENDERSON BALANCED T	151 DETROIT ST.	DENVER	CO	80206
471023887	JANUS FUNDS	60	0.35%	JANUS HENDERSON SHORT DUR FLEX BD T	151 DETROIT ST.	DENVER	CO	80206
47103A625	JANUS FUNDS	60	0.35%	JANUS HENDERSON FORTY T	151 DETROIT ST.	DENVER	CO	80206
47103C704	JANUS FUNDS	60	\$15.00	JANUS HENDERSON BALANCED I	151 DETROIT ST.	DENVER	CO	80206
47103D470	JANUS FUNDS	60	0.35%	JANUS HENDERSON MULTISECTOR INCOME T	151 DETROIT ST.	DENVER	CO	80206
47103X443	JANUS FUNDS	60	0.35%	JANUS HENDERSON GLBLEQUITY INCOME T	151 DETROIT ST.	DENVER	CO	80206
47103X492	JANUS FUNDS	60	\$15.00	JANUS HENDERSON GLBLEQUITY INCOME CL I	151 DETROIT ST.	DENVER	CO	80206
47103X534	JANUS FUNDS	60	\$15.00	JANUS HENDERSON GLBLEQUITY INCOME CL A	151 DETROIT ST.	DENVER	CO	80206
47103Y839	JANUS FUNDS	60	\$15.00	JANUS HENDERSON DEVELOPED WORLD BD I	151 DETROIT ST.	DENVER	CO	80206
476313101	JENSEN FUNDS	60	0.40%	JENSEN QUALITY GROWTH FD CL J	811 E. WISCONSIN AVE, 8TH FL	MILWAUKEE	WI	53202
47803P328	JOHN HANCOCK FUNDS	60	0.40%	JOHN HANCOCK DISCIPLVALUE INTL FD CL A	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210
47803T619	JOHN HANCOCK FUNDS	60	0.40%	JOHN HANCOCK INTL GROWTH CL A	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210
47803W406	JOHN HANCOCK FUNDS	60	0.15%	JOHN HAN DISCIPLINEDVALUE MID CAP CL I	601 CONGRESS ST., 9TH FL.	BOSTON	MA	02210
4812A0227	JP MORGAN FUNDS	60	0.40%	JPMORGAN U.S. GARP EQUITY FUND CL A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A1365	JP MORGAN FUNDS	60	0.40%	JPMORGAN SMALL CAP EQUITY CLASS A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A1373	JP MORGAN FUNDS	60	0.15%	JPMORGAN SMALL CAP EQUITY FND CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A1456	JP MORGAN FUNDS	60	0.40%	JPMORGAN US VALUE CLASS A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A1860	JP MORGAN FUNDS	60	0.15%	JPMORGAN US RESEARCHENHANCED EQ CL I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A3288	JP MORGAN FUNDS	60	0.38%	JP MORGAN INCOME BUILDER FUND CL A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A4351	JP MORGAN FUNDS	60	0.15%	JPMORGAN STRATEGIC INCOME OPPS - CL I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812A4385	JP MORGAN FUNDS	60	0.40%	JP MORGAN STRATEGIC INCOME OPPORT A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C0357	JP MORGAN FUNDS	60	0.38%	JPMORGAN CORE BOND FUND CL A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C0381	JP MORGAN FUNDS	60	0.15%	JPMORGAN CORE BOND CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C0464	JP MORGAN FUNDS	60	0.40%	JPMORGAN EQUITY INCOME FUND CL A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C0498	JP MORGAN FUNDS	60	0.15%	JPMORGAN EQUITY INCOME CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C0506	JP MORGAN FUNDS	60	0.40%	JPMORGAN LARGE CAP GROWTH CLASS A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C0845	JP MORGAN FUNDS	60	0.15%	JPMORGAN CORE PLUS BOND CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C1306	JP MORGAN FUNDS	60	0.40%	JPMORGAN SHORT DURATION BOND CL A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C1512	JP MORGAN FUNDS	60	0.15%	JPMORGAN SMID CAP EQUITY CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C1710	JP MORGAN FUNDS	60	0.15%	JPMORGAN DIVERS MID CAP GROWTH CLASS I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
4812C2809	JP MORGAN FUNDS	60	0.40%	JPMORGAN INVESTOR GROWTH FUND CLASS A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
494613607	KINETICS (INTERNET) FUNDS	60	0.40%	KINETICS PARADIGM FUND	470 PARK AVE SOUTH	NEW YORK	NY	10016
494613706	KINETICS (INTERNET) FUNDS	60	0.40%	KINETICS SMALL CAP OPPORTUNITIES	470 PARK AVE SOUTH	NEW YORK	NY	10016
52106N442	LAZARD FUNDS	60	0.40%	LAZARD GLOBAL LISTEDINFRASTRUCTURE OPEN	30 ROCKEFELLER PLAZA, 57TH FL.	NEW YORK	NY	10112
52106N459	LAZARD FUNDS	60	0.15%	LAZARD GLOBAL LISTEDINFRASTRUCTE INSTL	30 ROCKEFELLER PLAZA, 57TH FL.	NEW YORK	NY	10112
52467P465	FRANKLIN GROUP OF FUNDS	60	0.15%	CLEARBRIDGE SELECT FUND I	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
524686540	FRANKLIN GROUP OF FUNDS	60	0.40%	CLEARBRIDGE INTERN'TGROWTH FD CL A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
52469F317	FRANKLIN GROUP OF FUNDS	60	0.40%	WESTERN ASSET CORP BOND A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
52469F366	FRANKLIN GROUP OF FUNDS	60	0.40%	WESTERN ASSET MORT TTL RTRN A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
52469H453	FRANKLIN GROUP OF FUNDS	60	0.10%	FRANKLIN GLOBAL EQT FD CLASS I	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
52471R648	FRANKLIN GROUP OF FUNDS	60	0.40%	CLEARBRIDGE SELECT FUND CL A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
527289797	LEUTHOLD FUNDS	60	0.40%	LEUTHOLD GRIZZLY SHORT FUND	33 SOUTH SIXTH ST. STE 4600	MINNEAPOLIS	MN	55402
543069405	LONGLEAF PARTNERS	60	0.12%	LONGLEAF INTERNATL	6410 POPLAR AVE, STE 900	MEMPHIS	TN	38119
543487870	NATIXIS GLOBAL ASSOCIATES	60	0.15%	LOOMIS SAYLES GLOBALALLOCATION CLASS Y	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116
543495832	LOOMIS SAYLES FUNDS	60	0.35%	LOOMIS SAYLES BOND RETAIL SHARES	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116
543495840	LOOMIS SAYLES FUNDS	60	0.15%	LOOMIS SAYLES BOND INSTL	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116
543915326	LORD ABBETT FAMILY OF FUNDS	60	0.45%	LORD ABBETT GROWTH LEADERS FUND CL A	90 HUDSON ST 10TH FL	JERSEY CITY	NJ	07302
543916845	LORD ABBETT FAMILY OF FUNDS	60	0.37%	LORD ABBETT TOTAL RETURN CL A	90 HUDSON ST 10TH FL	JERSEY CITY	NJ	07302
544006109	LORD ABBETT FAMILY OF FUNDS	60	0.45%	LORD ABBETT DEVELOP GROWTH CLASS A	90 HUDSON ST 10TH FL	JERSEY CITY	NJ	07302
55273E103	MFS FAMILY OF FUNDS	60	0.08%	MFS INTERNATIONAL GROWTH CLASS A	111 HUNTINGTON AVE	BOSTON	MA	021997632
55273E673	MFS FAMILY OF FUNDS	60	0.40%	MFS EMERGING MARKETSDEBT CL A	111 HUNTINGTON AVE	BOSTON	MA	021997632
55273E848	MFS FAMILY OF FUNDS	60	0.08%	MFS INTERNATIONAL GROWTH FD CL I	111 HUNTINGTON AVE	BOSTON	MA	021997632
55273G298	MFS FAMILY OF FUNDS	60	0.15%	MFS INTERNATIONAL DIVERSIFICATION CL I	111 HUNTINGTON AVE	BOSTON	MA	021997632
55273G330	MFS FAMILY OF FUNDS	60	0.40%	MFS INTERNATIONAL DIVERSIFICATION FD A	111 HUNTINGTON AVE	BOSTON	MA	021997632
55273H312	MFS FAMILY OF FUNDS	60	0.40%	MFS LOW VOLATILITY EQUITY A	111 HUNTINGTON AVE	BOSTON	MA	021997632
55273W103	MFS FAMILY OF FUNDS	60	0.08%	MFS BLENDED RESEARCH CORE EQUITY CL I	111 HUNTINGTON AVE	BOSTON	MA	021997632
55278M100	MFS FAMILY OF FUNDS	60	0.40%	MFS NEW DISCOVERY VALUE FUND CL A	111 HUNTINGTON AVE	BOSTON	MA	021997632
55293K204	MFS FAMILY OF FUNDS	60	0.08%	MFS INTERNATIONAL EQUITY FUND CL I	111 HUNTINGTON AVE	BOSTON	MA	021997632
552981300	MFS FAMILY OF FUNDS	60	0.40%	MFS TOTAL RETURN CLASS A	111 HUNTINGTON AVE	BOSTON	MA	021997632
552981888	MFS FAMILY OF FUNDS	60	0.40%	MFS INTERNATIONAL NEW DISCOVERY CL A	111 HUNTINGTON AVE	BOSTON	MA	021997632
552982753	MFS FAMILY OF FUNDS	60	0.40%	MFS GLOBAL REAL ESTATE CL A	111 HUNTINGTON AVE	BOSTON	MA	021997632
552983553	MFS FAMILY OF FUNDS	60	0.40%	MFS NEW DISCOVERY CLASS A	111 HUNTINGTON AVE	BOSTON	MA	021997632
552983694	MFS FAMILY OF FUNDS	60	0.15%	MFS VALUE FUND CLASS I	111 HUNTINGTON AVE	BOSTON	MA	021997632
552985103	MFS FAMILY OF FUNDS	60	0.40%	MFS GROWTH FUND CLASS A	111 HUNTINGTON AVE	BOSTON	MA	021997632
552985863	MFS FAMILY OF FUNDS	60	0.15%	MFS GROWTH FUND CLASS I	111 HUNTINGTON AVE	BOSTON	MA	021997632
56062F541	MAINSTAY	60	0.40%	MAINSTAY WMC ENDURING CAPITAL A	30 HUDSON ST, 23RD FL	ARLINGTON	NJ	07032
56065F431	MAINSTAY	60	0.40%	MAINSTAY PINESTONE INTL EQUITY CLASS A	30 HUDSON ST, 23RD FL	ARLINGTON	NJ	07032
56166Y438	MUHLENKAMP FUNDS	60	0.40%	MUHLENKAMP FUND	5000 STONEWOOD DR.	WEXFORD	PA	15090
56167N290	KENSINGTON FUNDS	60	0.10%	KENSINGTON DYNAMIC GROWTH CLASS A	100 SALEM ST	SMITHFIELD	RI	02917
56167N878	JACKSON SQUARE PARTNERS	60	0.40%	JACKSON SQUARE SMID CAP GROWTH FD INVEST	1 LETTERMAN DR	SAN FRANCISCO	CA	94129
573012309	MARSICO FUNDS	60	0.40%	MARSICO MIDCAP GROWTH FOCUS FUND	235 WEST GALENA ST	MILWAUKEE	WI	53212
573012606	MARSICO FUNDS	60	0.40%	MARSICO GLOBAL FUND	235 WEST GALENA ST	MILWAUKEE	WI	53212
575719109	MFS FAMILY OF FUNDS	60	0.40%	MFS MASS INVESTOR GROWTH STOCK A	111 HUNTINGTON AVE	BOSTON	MA	021997632
575719406	MFS FAMILY OF FUNDS	60	0.15%	MFS MA INVESTORS GROWTH STOCK CL I	111 HUNTINGTON AVE	BOSTON	MA	021997632
577125107	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS ASIA DIVIDEND FUND	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111
577125206	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS EMERG MRKTSSM COMPANIES INVSTR	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111
577125305	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS CHINA DIV FUND INVESTOR CLASS	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111
577125404	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS CHINA SMALLCOMPANIES INVESTOR	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111
577130206	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS ASIAN GROWTH & INCOME FUND	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111
577130701	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS CHINA FUND	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111
577130834	MATTHEWS ASIAN FUNDS	60	0.15%	MATTHEWS PACIFIC TIGER FUND INSTL	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111
577130883	MATTHEWS ASIAN FUNDS	60	0.40%	MATTHEWS ASIAN INNOVATORS FD INVST	4 EMBARCADERO CENTER STE 550	SAN FRANCISCO	CA	94111
592905103	METROPOLITAN WEST FUNDS	60	0.35%	METROPOLITAN WEST TOT RETURN BOND CL M	865 S FIGUEROA ST 1400	LOS ANGELES	CA	90071
592905509	METROPOLITAN WEST FUNDS	60	0.10%	METROPOLITAN WEST TOTAL RETURN CLASS I	865 S FIGUEROA ST 1400	LOS ANGELES	CA	90071
592905640	METROPOLITAN WEST FUNDS	60	0.15%	METROPOLITAN WEST TOTAL RETURN BD I-2	865 S FIGUEROA ST 1400	LOS ANGELES	CA	90071
592905699	METROPOLITAN WEST FUNDS	60	0.40%	METROPOLITAN WEST FLEXIBLE INCOME M	865 S FIGUEROA ST 1400	LOS ANGELES	CA	90071
592905871	METROPOLITAN WEST FUNDS	60	0.40%	METROPOLITAN WEST HIGH YIELD BOND CL M	865 S FIGUEROA ST 1400	LOS ANGELES	CA	90071
617440599	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STANLEY DISCOVERY PORT CL A	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036
61744J564	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STANLEY GROWTH PORTFOLIO A	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036
61744J614	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STA INST INC.INCEPTION PORT CL A	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036
61744J861	MORGAN STANLEY FUNDS	60	0.15%	MORGAN STANLEY GROWTH PORTFOLIO I	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036
61747T106	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STANLEY INSIGHT A	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036
61747T403	MORGAN STANLEY FUNDS	60	0.15%	MORGAN STANLEY INSIGHT I	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036
61756E594	MORGAN STANLEY FUNDS	60	0.10%	MSIF GLOBAL INSIGHT PORT CL I	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036
61756E685	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STANLEY GLOBAL OPPORTUNITY A	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036
61756E693	MORGAN STANLEY FUNDS	60	0.15%	MORGAN STANLEY GLOBAL OPPORTUNITY I	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036
61756E826	MORGAN STANLEY FUNDS	60	0.40%	MORGAN STANLEY INSTLINTERNTL OPP CL A	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036

61756E834	MORGAN STANLEY FUNDS	60	0.10%	MSIF INTERNATIONAL OPPORTUNITIES CL I	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036
61766J849	MORGAN STANLEY FUNDS	60	0.10%	MSIF US CORE PORT I	522 FIFTH AVE, 4TH FL	NEW YORK	NY	10036
628255432	HUNTINGTON	60	0.15%	RATIONAL SPECIAL SITUATIONS INC INSTL	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788
62826M483	JP MORGAN FUNDS	60	0.40%	JPMORGAN GROWTH ADVANTAGE FUND CL A	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
62827L658	EVENTIDE FUND	60	0.15%	EVENTIDE GILEAD FUND CLASS I	80 ARKAY STE 110	HAUPPAUGE	NY	11788
62827L682	EVENTIDE FUND	60	0.40%	EVENTIDE GILEAD FUND CLASS N	80 ARKAY STE 110	HAUPPAUGE	NY	11788
62827P816	CATALYST FUNDS	60	0.15%	CATALYST MILLBURN HEDGE STRTGY FD CL I	80 ARKAY STE 110	HAUPPAUGE	NY	11788
62827P832	CATALYST FUNDS	60	0.10%	CATALYST MILLBURN HEDGE STRATEGY CL A	80 ARKAY STE 110	HAUPPAUGE	NY	11788
63868B484	NATIONWIDE (GARTMORE) FUNDS	60	0.10%	NATIONWIDE WCM FOCUSED SML CAP IS	1000 CONTINENTAL DR STE 400	COLUMBUS	OH	43215
63872T562	NATIXIS GLOBAL ASSOCIATES	60	0.05%	LOOMIS SAYLES SR FLT RATE & FIXED INC C	399 BOYLSTON ST, 8TH FL	BOSTON	MA	02116
63983V209	NEEDHAM FUNDS	60	0.40%	NEEDHAM AGGRESSIVE GROWTH	445 PARK AVE 15TH FL	NEW YORK	NY	10022
640193835	ADVISORS CAPITAL	60	0.40%	ADVISORS CAPITAL ACTIVE ALL CAP FD	100 SALEM ST	SMITHFIELD	RI	02917
640193843	ADVISORS CAPITAL	60	0.40%	ADVISORS CAPITAL TACTICAL FX INC INVS	100 SALEM ST	SMITHFIELD	RI	02917
640193850	ADVISORS CAPITAL	60	0.40%	ADVISORS CAPITAL SMALL MID CAP INVSTR	100 SALEM ST	SMITHFIELD	RI	02917
640193868	ADVISORS CAPITAL	60	0.40%	ADVISORS CAPITAL US DIVIDEND FD INVESTOR	100 SALEM ST	SMITHFIELD	RI	02917
640917100	NEUBERGER BERMAN GROUP	60	0.40%	NEUBERGER BERMAN GENESIS TRUST CLASS	1290 AVE OF THE AMERICAS, 22ND FL	NEW YORK	NY	10104002
640917407	NEUBERGER BERMAN GROUP	60	0.40%	NEUBERGER BERMAN LRG CAP VALUE TRUST	1290 AVE OF THE AMERICAS, 22ND FL	NEW YORK	NY	10104002
640917803	NEUBERGER BERMAN GROUP	60	0.40%	NEUBERGER BERMAN SMALL CAP GRWTH TRUS	1290 AVE OF THE AMERICAS, 22ND FL	NEW YORK	NY	10104002
641224266	NEUBERGER BERMAN GROUP	60	0.40%	NEUBERGER BERMAN MIDCAP GROWTH FUND CL A	1290 AVE OF THE AMERICAS, 22ND FL	NEW YORK	NY	10104002
641224787	NEUBERGER BERMAN GROUP	60	0.15%	NEUBERGER BERMAN LARGE CAP VALUE INST	1290 AVE OF THE AMERICAS, 22ND FL	NEW YORK	NY	10104002
64128K769	NEUBERGER BERMAN GROUP	60	\$12.00	NEUBERGER BERMAN STRATEGIC INC CL C	1290 AVE OF THE AMERICAS, 22ND FL	NEW YORK	NY	101040002
643822109	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN NEW ECONOMYFUND CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
643822406	AMERICAN CLASS F	60	0.37%	AMERICAN NEW ECONOMYCLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
648018109	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN NEW PERSPECTIVE CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
648018406	AMERICAN CLASS F	60	0.37%	AMERICAN NEW PERSPECTIVE CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
649280104	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN NEW WORLD FUND CLASS A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
649280401	AMERICAN CLASS F	60	0.37%	AMERICAN NEW WORLD CLASS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
649280823	AMERICAN CLASS F	60	0.15%	AMERICAN NEW WORLD FUND CL F2	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
66263L684	NORTH SQUARE FUNDS	60	0.12%	NORTH SQUARE TACTICAL DEFENSIVE I	10 S LASALLE ST STE 1925	CHICAGO	IL	60603
664925203	HODGES FUNDS	60	0.40%	HODGES SMALL CAP FUND RETAIL CLASS	2905 MAPLE AVENUE	DALLAS	TX	75201
665162400	NORTHERN FUNDS	60	0.40%	NORTHERN SMALL CAP VALUE	801 SOUTH CANAL, C5S	CHICAGO	IL	60675
665162533	NORTHERN FUNDS	60	0.03%	NORTHERN BOND INDEX FUND	801 SOUTH CANAL, C5S	CHICAGO	IL	60675
665162699	NORTHERN FUNDS	60	0.35%	NORTHERN HIGH YIELD FIXED INCOME	801 SOUTH CANAL, C5S	CHICAGO	IL	60675
66538G148	HOWARD CAPITAL MANAGEMENT	60	0.40%	HCM INCOME PLUS FUNDINVESTOR	1145 HEMBREE ROAD	ROSWELL	GA	30076
66538G627	HOWARD CAPITAL MANAGEMENT	60	0.40%	HCM DIVIDEND SECTOR PLUS FUND INVESTOR	1145 HEMBREE ROAD	ROSWELL	GA	30076
66538G858	HOWARD CAPITAL MANAGEMENT	60	0.40%	HCM TACTICAL GROWTH FUND INVESTOR	1145 HEMBREE ROAD	ROSWELL	GA	30076
66538J506	PACIFIC FINANCIAL	60	0.40%	PFG MFS AGGRESSIVE GROWTH STRATEGY R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J605	PACIFIC FINANCIAL	60	0.40%	PFG JP MORGAN TACTICAGGRESSIVE STRAT R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J829	PACIFIC FINANCIAL	60	0.40%	PFG BNY MELLON DIVERSIFIER STRAT R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J837	PACIFIC FINANCIAL	60	0.40%	PFG MEEDER TACTICAL STRATEGY FUND R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J852	PACIFIC FINANCIAL	60	0.40%	PFG JP MORGAN TACTICMODERATE STRATEGY R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66538J878	PACIFIC FINANCIAL	60	0.40%	PFG ACTIVE CORE BOND STRATEGY FUND CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A488	PACIFIC FINANCIAL	60	0.40%	PFG INVESCO EQ FACTRROTATION STRATEGY R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A496	PACIFIC FINANCIAL	60	0.40%	PFG JANUS HENDERSON BALANCED STRATEGY R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A512	PACIFIC FINANCIAL	60	0.40%	PFG FIDELITY INST AMCORE PLUS BD STRG R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A652	PACIFIC FINANCIAL	60	0.40%	PFG TACTICAL INCOME STRATEGY CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A660	PACIFIC FINANCIAL	60	0.40%	PFG EQUITY INDEX FOCUSED STRATEGY R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A678	PACIFIC FINANCIAL	60	0.40%	PFG SECTOR EQUITY BUS CYCLE STRAT R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A686	PACIFIC FINANCIAL	60	0.40%	PFG BR TRGT ALLOCAT EQ STRATEGY FD CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A694	PACIFIC FINANCIAL	60	0.40%	PFG AMERICAN FUNDS GROWTH STRAT CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
66539A710	PACIFIC FINANCIAL	60	0.40%	PFG AMERICAN FDS CONS INC STRAT CL R	777 108TH AVE NE, STE 2100	BELLEVUE	WA	98004
67066D713	NUVEEN MUTUAL FUNDS	60	0.40%	NUVEEN FLOATING RATEINCOME A	333 WEST WACKER DR	CHICAGO	IL	60606
670678309	NUVEEN MUTUAL FUNDS	60	0.40%	NUVEEN SMALL CAP VALUE CLASS A	333 WEST WACKER DR	CHICAGO	IL	60606
671081305	OAK ASSOCIATES FUNDS	60	0.40%	RED OAK TECHNOLOGY SELECT	225 PICTORIA DR, STE 450	CINCINNATI	OH	45246
674375308	OBERWEIS FUNDS	60	0.40%	OBERWEIS SMALL-CAP OPPORTUNITIES	3333 WARRENVILLE RD, STE. 500	LISLE	IL	60532
674375506	OBERWEIS FUNDS	60	0.40%	OBERWEIS INTL OPPORTUNITIES INVSTR	3333 WARRENVILLE RD, STE. 500	LISLE	IL	60532
693390379	PIMCO FUNDS	60	0.40%	PIMCO HIGH YIELD CLASS A	1633 BROADWAY	NEW YORK	NY	10019
693390445	PIMCO FUNDS	60	0.40%	PIMCO TOTAL RETURN CLASS A	1633 BROADWAY	NEW YORK	NY	10019
693391120	PIMCO FUNDS	60	0.40%	PIMCO REAL RETURN CLASS A	1633 BROADWAY	NEW YORK	NY	10019
693391211	PIMCO FUNDS	60	0.38%	PIMCO SHORT TERM CLASS A	1633 BROADWAY	NEW YORK	NY	10019
693391245	PIMCO FUNDS	60	0.40%	PIMCO INTL BD FD U SDOLLAR-HEDGED A	1633 BROADWAY	NEW YORK	NY	10019
693391476	PIMCO FUNDS	60	0.40%	PIMCO GNMA AND GOVT SECURITIES FUND A	1633 BROADWAY	NEW YORK	NY	10019
701765109	PARNASSUS FUNDS	60	0.40%	PARNASSUS MID CAP GROWTH FUND INVST	1 MARKET ST STEUART TOWER STE 1600	SAN FRANCISCO	CA	94105
701765869	PARNASSUS FUNDS	60	0.40%	PARNASSUS VALUE EQUITY INVESTOR	1 MARKET ST STEUART TOWER STE 1600	SAN FRANCISCO	CA	94105
701765885	PARNASSUS FUNDS	60	0.40%	PARNASSUS MID CAP	1 MARKET ST STEUART TOWER STE 1600	SAN FRANCISCO	CA	94105
701769101	PARNASSUS FUNDS	60	0.40%	PARNASSUS CORE EQUITY INVESTOR	1 MARKET ST STEUART TOWER STE 1600	SAN FRANCISCO	CA	94105
701769408	PARNASSUS FUNDS	60	0.10%	PARNASSUS CORE EQUITY INSTL	1 MARKET ST STEUART TOWER STE 1600	SAN FRANCISCO	CA	94105
704223445	PAX WORLD FUNDS	60	0.12%	IMPAX GLOBAL SUSTAIN INFRASTRUCTURE INST	1290 BROADWAY, STE 1100	DENVER	CO	80203
70472Q708	PEAR TREE FUNDS	60	0.40%	PEAR TREE POLARIS FRGN VALUE ORDINARY	55 OLD BEDFORD ROAD	LINCOLN	MA	01773
714199106	PERMANENT PORTFOLIO	60	0.38%	PERMANENT PORTFOLIO	600 MONTGOMERY ST STE 4100	SAN FRANCISCO	CA	941112702
722005584	PIMCO FUNDS	60	0.40%	PIMCO COMMODITY REALRETURN STRAT A	1633 BROADWAY	NEW YORK	NY	10019
72200Q430	PIMCO FUNDS	60	0.40%	PIMCO STOCKSPUSLUS INTERNATL US\$HDG A	1633 BROADWAY	NEW YORK	NY	10019
72201F474	PIMCO FUNDS	60	0.40%	PIMCO INCOME FUND CL A	1633 BROADWAY	NEW YORK	NY	10019
72201P159	PIMCO FUNDS	60	0.40%	PIMCO COMMODITIES PLUS STRATEGY CL A	1633 BROADWAY	NEW YORK	NY	10019
72202E286	PIMCO FUNDS	60	0.10%	PIMCO SHORT ASSET INVESTMENT I3	1633 BROADWAY	NEW YORK	NY	10019
72202E435	PIMCO FUNDS	60	0.15%	PIMCO INTL BD U.S. DOLLAR-HEDGED I-3	1633 BROADWAY	NEW YORK	NY	10019
72202E666	PIMCO FUNDS	60	0.40%	PIMCO PREFERRED AND CAPITAL SECS CL A	1633 BROADWAY	NEW YORK	NY	10019
72202G372	PIMCO FUNDS	60	0.40%	PIMCO LONG DURATION TOTAL RETURN CL A	1633 BROADWAY	NEW YORK	NY	10019
72202L454	PIMCO FUNDS	60	0.40%	PIMCO RAE US SMALL FUND A	1633 BROADWAY	NEW YORK	NY	10019
723622502	PIONEER GROUP	60	0.10%	PIONEER BOND FUND CLASS R	60 STATE ST, 17TH FL.	BOSTON	MA	02109
72387P627	PIONEER GROUP	60	0.15%	PIONEER MULTI-ASSET INCOME FUND CL Y	60 STATE ST, 17TH FL.	BOSTON	MA	02109
72387P643	PIONEER GROUP	60	0.40%	PIONEER MULTI-ASSET INCOME CLASS A	60 STATE ST, 17TH FL.	BOSTON	MA	02109
741454102	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE COMM & TECHNOLOGY INVESTOR	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
741479109	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE GROWTH STOCK	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
741480107	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE HEALTH SCIENCES	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
741494108	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE GLOBAL TECHNOLOGY	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74149N106	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE GLBL MULTI SECTOR BOND FD	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74149P309	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE RET 2030 FD	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74149P408	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE RET 2040 FD	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74149P762	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE RETIREMENT 2045 FD	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74149P770	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE RETIREMENT 2035 FUND	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74149P788	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE RETIREMENT 2025 FD	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
74160Q103	PRIME CAP ODYSSEY	60	0.10%	PRIMECAP ODYSSEY GROWTH FUND	2020 E. FINANCIAL WAY, STE 100	GLENDDORA	CA	91741
74160Q202	PRIME CAP ODYSSEY	60	0.10%	PRIMECAP ODYSSEY AGGRESSIVE GRWTH FD	2020 E. FINANCIAL WAY, STE 100	GLENDDORA	CA	91741
74253Q580	PRINCIPAL	60	0.15%	PRINCIPAL REAL ESTATE SEC INSTL CL	620 COOLIDGE DR, STE 300	FOLSOM	CA	95630
74253Q747	PRINCIPAL	60	0.15%	PRINCIPAL MID CAP INSTL	620 COOLIDGE DR, STE 300	FOLSOM	CA	95630
74255L175	PRINCIPAL	60	0.15%	FINISTERRE EMERG MKTTL RTRN BD INSTL	620 COOLIDGE DR, STE 300	FOLSOM	CA	95630
74255L589	PRINCIPAL	60	0.10%	PRINCIPAL BLUE CHIP I SHARES	620 COOLIDGE DR, STE 300	FOLSOM	CA	95630
742935117	AKRE FUNDS	60	0.40%	AKRE FOCUS FUND RETAIL	777 E. WISCONSIN AVE. 4TH FL	MILWAUKEE	WI	53202
742935125	AKRE FUNDS	60	0.10%	AKRE FOCUS FUND INSTL	777 E. WISCONSIN AVE. 4TH FL	MILWAUKEE	WI	53202
743185159	PRO FUNDS	60	0.40%	NASDAQ-100 PRO FUND INVESTOR CLASS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814

743185266	PRO FUNDS	60	0.40%	TECHNOLOGY ULTRA SECTOR PRO FD INVSTR	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814
743185480	PRO FUNDS	60	0.40%	BIOTECHNOLOGY ULTRA SECTOR PRO FD INVS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814
743185860	PRO FUNDS	60	0.40%	ULTRA NASDAQ-100 PRO FUND INVESTOR CLASS	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814
74318X653	PRO FUNDS	60	0.40%	BITCOIN STRATEGY FD INVESTOR	7501 WISCONSIN AVE, STE 1000 E TOWER	BETHESDA	MD	20814
744336108	PRUDENTIAL INVESTMENTS	60	0.10%	PGIM GLOBAL REAL ESTATE CL A	655 BROAD ST	NEWARK	NJ	07102
74439V800	PRUDENTIAL INVESTMENTS	60	0.10%	PGIM FLOATING RATE INCOME CL Z	655 BROAD ST	NEWARK	NJ	07102
74440B108	PRUDENTIAL INVESTMENTS	60	0.40%	PGIM TOTAL RETURN BOND CL A	655 BROAD ST	NEWARK	NJ	07102
74440B405	PRUDENTIAL INVESTMENTS	60	0.15%	PGIM TOTAL RETURN BOND CL Z	655 BROAD ST	NEWARK	NJ	07102
74440Y108	PRUDENTIAL INVESTMENTS	60	0.40%	PGIM HIGH YIELD CL A	655 BROAD ST	NEWARK	NJ	07102
74441F504	PRUDENTIAL INVESTMENTS	60	0.10%	PGIM QUANT SOLUTIONS LARGE CAP INDEX Z	655 BROAD ST	NEWARK	NJ	07102
74441R102	PRUDENTIAL INVESTMENTS	60	0.40%	PGIM SHORT-TERM CORP BOND CL A	655 BROAD ST	NEWARK	NJ	07102
74441R300	PRUDENTIAL INVESTMENTS	60	0.10%	PGIM SHORT-TERM CORP BOND CL C	655 BROAD ST	NEWARK	NJ	07102
746704105	PUTNAM FUNDS	60	0.40%	PUTNAM DIVERSIFIED INCOME TRUST CLASS A	1 POST OFFICE SQ MAILZONE G3C	BOSTON	MA	02109
746763200	PUTNAM FUNDS	60	0.40%	PUTNAM INTERNATIONALVALUE FUND CLASS A	1 POST OFFICE SQ MAILZONE G3C	BOSTON	MA	02109
746764570	PUTNAM FUNDS	60	0.40%	PUTNAM GLOBAL TECHNOLOGY FUND CL A	1 POST OFFICE SQ MAILZONE G3C	BOSTON	MA	02109
746778109	PUTNAM FUNDS	60	0.40%	PUTNAM GLOBAL HEALTHCARE FUND CLASS A	1 POST OFFICE SQ MAILZONE G3C	BOSTON	MA	02109
74925K417	RBB FUNDS	60	0.40%	SGI GLOBAL EQUITY FUND CL I	1055 WESTLAKES DR	BERWYN	PA	19312
74926P100	RBC FUNDS	60	0.40%	RBC SMID CAP GROWTH FUND CLASS A	50 S SIXTH ST, STE 2350	MINNEAPOLIS	MN	55402
74926P316	RBC FUNDS	60	0.15%	RBC EMERGING MARKETSEQUITY FD CL I	50 S SIXTH ST, STE 2350	MINNEAPOLIS	MN	55402
74933W775	SUMMIT GLOBAL INVESTMENTS	60	0.10%	SGI PRUDENT GROWTH FUND I	620 S. MAIN ST	BOUNTIFUL	UT	84010
75526L704	EVERMORE FUNDS	60	0.40%	EVERMORE GLOBAL VALUE FD INVESTOR	777 EAST WISCONSIN AVE.	MILWAUKEE	WI	53202
779546100	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE DIVIDEND GROWTH	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77954N103	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE FINANCIAL SERVICES	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77954P108	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE U.S EQUITY RESEARCH FD	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77954Q106	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE BLUE CHIP GROWTH INC	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
779552108	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE EQUITY INDEX 500 FUND	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
779557107	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE ALL CAP OPPORTUNITIES INVST	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77956H856	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE GLOBAL STOCK	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77956H864	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE EMERGING MKTS STOCK	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
779578103	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE VALUE	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77957T107	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE US TREAINTERMEDIATE IND INV	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
77958A107	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE INTL EQUITY INDEX	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
779917103	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE INTRTD US SM CAP GR EQUITY	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
780905733	ROYCE FUNDS	60	0.40%	ROYCE SMALL CAP VALUE SERVICE CL	745 FIFTH AVE STE 2400	NEW YORK	NY	10151
780905741	ROYCE FUNDS	60	0.40%	ROYCE SMALLER CO GROWTH SERVICE CL	745 FIFTH AVE STE 2400	NEW YORK	NY	10151
780905832	ROYCE FUNDS	60	0.15%	ROYCE SMALL-CAP OPPORTUNITY INVEST	745 FIFTH AVE STE 2400	NEW YORK	NY	10151
780905840	ROYCE FUNDS	60	0.15%	ROYCE PENNSYLVANIA MUTUAL INVST CLASS	745 FIFTH AVE STE 2400	NEW YORK	NY	10151
783554264	RYDEX SERIES TRUST	60	0.07%	RYDEX ELECTRONICS CL C	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850
783554603	RYDEX SERIES TRUST	60	0.40%	RYDEX NASDAQ 100 INV CLASS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850
783554793	RYDEX SERIES TRUST	60	0.40%	RYDEX CONSUMER PRODUCTS INVESTOR CL	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850
78355E650	RYDEX SERIES TRUST	60	0.40%	RYDEX S&P 500 PURE GROWTH H CLASS	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850
78356A780	RYDEX SERIES TRUST	60	0.40%	GUGGENHEIM MULTI - HEDGE STRATEGIES P	9601 BLACKWELL RD STE 500	ROCKVILLE	MD	20850
78410K881	CCM PARTNERS	60	0.12%	SHELTON TACTICAL CREDIT FD INSTL CL	P.O. BOX 87	DENVER	CO	802010087
808509731	SCHWAB FUNDS	60	0.40%	SCHWAB HEALTH CARE FUND	211 MAIN ST	SAN FRANCISCO	CA	94105
808509806	SCHWAB FUNDS	60	0.40%	SCHWAB CORE EQUITY	211 MAIN ST	SAN FRANCISCO	CA	94105
808530208	SCHWARTZ INVESTMENT TRUST	60	0.40%	AVE MARIA VALUE FUND	801 W. ANN ARBOR TRAIL STE 244	PLYMOUTH	MI	48170
808530307	SCHWARTZ INVESTMENT TRUST	60	0.40%	AVE MARIA GROWTH	801 W. ANN ARBOR TRAIL STE 244	PLYMOUTH	MI	48170
808530505	SCHWARTZ INVESTMENT TRUST	60	0.08%	AVE MARIA BOND CL R	801 W. ANN ARBOR TRAIL STE 244	PLYMOUTH	MI	48170
808530604	SCHWARTZ INVESTMENT TRUST	60	0.40%	AVE MARIA RISING DIVIDEND FUND	801 W. ANN ARBOR TRAIL STE 244	PLYMOUTH	MI	48170
808530802	SCHWARTZ INVESTMENT TRUST	60	0.40%	AVE MARIA WORLD EQUITY FUND	801 W. ANN ARBOR TRAIL STE 244	PLYMOUTH	MI	48170
808530885	SCHWARTZ INVESTMENT TRUST	60	0.40%	AVE MARIA FOCUSED FUND	801 W. ANN ARBOR TRAIL STE 244	PLYMOUTH	MI	48170
81580H407	SEGALL BRYANT & HAMILL AKA WESTCORE	60	0.40%	SEGALL BRYANT HAMILL SML CAP GROWTH RTL	370 17TH ST, STE 5000	DENVER	CO	80202
81580H860	SEGALL BRYANT & HAMILL AKA WESTCORE	60	0.30%	SEGALL BRYANT HAMILL PLUS BOND FD RETAIL	370 17TH ST, STE 5000	DENVER	CO	80202
81752T684	PALM VALLEY CAPITAL	60	0.40%	PALM VALLEY CAPITAL FUND INVESTOR	422 JACKSONVILLE DR	JACKSONVILLE BEACH	FL	32250
82301Q692	CCM PARTNERS	60	0.40%	SHELTON SUSTAINABLE EQUITY INVESTOR	P.O. BOX 87	DENVER	CO	802010087
82301Q726	CCM PARTNERS	60	0.15%	SHELTON NASDAQ 100 INDEX INVESTOR	P.O. BOX 87	DENVER	CO	802010087
85208P105	SPROTT FUNDS	60	0.40%	SPROTT GOLD EQUITY FUND INVESTOR	200 BAY ST, STE 2600	TORONTO	CA	M5J 2J1
85749T608	SSGA FUNDS	60	0.40%	STATE STREET SM/MID CAP EQ INDEX CLASS A	ONE LINCOLN ST.	BOSTON	MA	021112900
87234N351	TCW GALILEO	60	0.40%	TCW EMERGING MARKETS INCOME CL N	865 S FIGUERA ST, 22ND FL	LOS ANGELES	CA	90071
87234N641	TCW GALILEO	60	0.35%	TCW TOTAL RETURN BOND CLASS N	865 S FIGUERA ST, 22ND FL	LOS ANGELES	CA	90071
87234N880	TCW GALILEO	60	0.10%	TCW TOTAL RETURN BOND CLASS I	865 S FIGUERA ST, 22ND FL	LOS ANGELES	CA	90071
87283V106	T. ROWE PRICE FINANCIAL INSTITUTION SERVICES	60	0.15%	T ROWE PRICE LARGE CAP GROWTH INVESTOR	4515 PAINTERS MILL RD	OWINGS MILLS	MD	21117
880208103	FRANKLIN GROUP OF FUNDS	60	\$16.00	TEMPLETON GLOBAL BOND CLASS A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
880208400	FRANKLIN GROUP OF FUNDS	60	\$16.00	TEMPLETON GLOBAL BOND ADVISOR CLASS	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
88339M207	LIBERTY STREET FUNDS	60	0.20%	THE PRIVATE SHARES FUND CLASS I	2220 E. ROUTE 66, STE 226	GLENDORA	CA	91740
884116872	THIRD AVENUE FUNDS	60	0.40%	THIRD AVENUE REAL ESTATE VALUE INVST	622 THIRD AVE 32 FL	NEW YORK	NY	10017
884891201	THOMPSON INVESTMENT MANAGEMENT, INC.	60	0.25%	THOMPSON BOND FUND	1255 FOURIER DR STE 200	MADISON	WI	53717
885215194	THORNBURG FUNDS	60	0.15%	THORNBURG STRATEGIC INCOME FUND CL I	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506
885215467	THORNBURG FUNDS	60	0.15%	THORNBURG INCOME BUILDER CL I	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506
885215558	THORNBURG FUNDS	60	0.40%	THORNBURG INV INCOME BUILDER FUND CL A	2300 NORTH RIDGETOP RD	SANTA FE	NM	87506
885882555	THRIVENT FUNDS	60	0.15%	THRIVENT SMALL CAP STOCK FUND CL S	4321 N. BALLARD ROAD	APPLETON	WI	549190001
885882662	THRIVENT FUNDS	60	0.15%	THRIVENT MID CAP STOCK FUND CL S	4321 N. BALLARD ROAD	APPLETON	WI	549190001
887432409	TIMOTHY PLAN	60	0.08%	TIMOTHY SMALL CAP VALUE CLASS A	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788
887432433	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN DEFEN STRATEGIES CLASS I	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788
887432458	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN HIGH YIELD BOND CLASS I	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788
887432474	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN LARGE MID CAP VALUE CL I	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788
887432482	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN SMALL CAP VALUE CLASS I	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788
887432490	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN LARGE MID CAP GROWTH CL I	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788
887432516	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN INTERNATIONAL CL I	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788
887432524	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN AGGR GROWTH CLASS I	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788
887432607	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN LRG/MID CAP VALUE CL A	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788
887432789	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN LARGE / MID CAP GROWTH CL A	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788
887432813	TIMOTHY PLAN	60	0.08%	TIMOTHY PLAN AGGRESSIVE GROWTH A	80 ARKAY DR, STE 110	HAUPPAUGE	NY	11788
888894102	TOCQUEVILLE	60	\$16.00	TOCQUEVILLE FUND	40 W 57TH ST 19TH FL	NEW YORK	NY	10019
89154Q588	TOUCHSTONE FAMILY OF FUNDS	60	0.07%	TOUCHSTONE FLEXIBLE INCOME FUND INSTL	303 BROADWAY, STE 1100	CINCINNATI	OH	452024203
89154Q596	TOUCHSTONE FAMILY OF FUNDS	60	0.10%	TOUCHSTONE FLEXIBLE INCOME FUND CL Y	303 BROADWAY, STE 1100	CINCINNATI	OH	452024203
89155H785	TOUCHSTONE FAMILY OF FUNDS	60	0.40%	TOUCHSTONE MID CAP FUND CL Z	303 BROADWAY, STE 1100	CINCINNATI	OH	452024203
89155H819	TOUCHSTONE FAMILY OF FUNDS	60	0.40%	TOUCHSTONE SANDS CAP SEL GRWTH Z	303 BROADWAY, STE 1100	CINCINNATI	OH	452024203
89156Y407	CROMWELL	60	0.40%	CROMWELL CENTERSQUARREAL ESTATE INVESTOR	100 SALEM ST	SMITHFIELD	RI	02917
893958462	TRANSAMERICA	60	0.40%	TRANSAMERICA CAPITAL GROWTH CL A	4333 EDGEWOOD RD NE	CEDAR RAPIDS	IA	52499
893962175	TRANSAMERICA	60	0.10%	TRANSAMERICA CAPITAL GROWTH CL I	4333 EDGEWOOD RD NE	CEDAR RAPIDS	IA	52499
89833W394	PERFORMANCE TRUST FUNDS	60	0.40%	PERFORMANCE TRUST TOTAL RETRN BND INST	500 WEST MADISON, STE 470	CHICAGO	IL	60661
89833W527	JENSEN FUNDS	60	0.40%	JENSEN QUALITY VALUEFUND CLASS J	811 E. WISCONSIN AVE, 8TH FL	MILWAUKEE	WI	53202
901165100	TWEEDY BROWNE	60	\$25.00	TWEEDY BROWNE INTERNATL VALUE FUND	ONE STATION PLACE, 5TH FL	STAMFORD	CT	06902
903287662	VICTORY-USAA	60	0.40%	VICTORY NASDAQ-100 INDEX FUND CL A	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114
903288819	VICTORY-USAA	60	0.15%	VICTORY NASDAQ-100 INDEX FUND	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114
903288876	VICTORY-USAA	60	0.10%	VICTORY SCIENCE & TECHNOLOFY FUND	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114
904504495	JP MORGAN FUNDS	60	0.15%	JPMORGAN UNDISCOVERD MNG BEHAVIOR CL I	1111 POLARIS PARKWAY	COLUMBUS	OH	43240
911476208	US GLOBAL INVESTORS	60	0.40%	GLOBAL RESOURCES FUND	3 CANAL PLAZA, STE 600	PORTLAND	ME	04101
920423100	VALUE LINE MUTUAL FUNDS	60	0.40%	VALUE LINE MID CAP FOCUSED INVESTORS FD	7 TIMES SQUARE, STE 1606	NEW YORK	NY	10036
920457108	VALUE LINE MUTUAL FUNDS	60	0.40%	VALUE LINE SELECT GROWTH INVESTORS CL	7 TIMES SQUARE, STE 1606	NEW YORK	NY	10036

92532P207	VERSUS CAPITAL FUNDS	60	0.20%	VERSUS CAPITAL MULTI MNGR REAL EST INC I	5555 DTC PARKWAY, STE 330	GREENWOOD VILLAGE	CO	80111
92647K457	VICTORY CAPITAL MANAGEMENT	60	0.12%	VICTORY HIGH YIELD FD CL Y	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114
92647Q108	VICTORY CAPITAL MANAGEMENT	60	0.40%	VICTORY RS SMALL CAPGROWTH FUND CL A	4900 TIEDEMAN RD 4TH FL	BROOKLYN	OH	44114
92828N130	VIRTUS	60	0.15%	VIRTUS KAR MID CAP CORE FUND CLASS I	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301
92828N197	VIRTUS	60	0.10%	VIRTUS KAR SMALL MID CAP CORE FD CL I	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301
92828N767	VIRTUS	60	0.40%	VIRTUS KAR MID CAP GROWTH FUND CL A	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301
92828R628	VIRTUS	60	0.10%	VIRTUS NEWFLEET MLT SECTOR SH TERM BD C	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301
92828W387	VIRTUS	60	0.40%	VIRTUS SGA EMERGING MARKETS EQUITY FD A	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301
92837F284	VIRTUS	60	0.40%	VIRTUS SGA INTL GROWTH A	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301
92837F318	VIRTUS	60	0.40%	VIRTUS ZEVENBERGEN INNOVATIVE GR STK A	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301
92837N436	VIRTUS	60	0.40%	VIRTUS NFJ LARGE CAPVALUE A	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301
92837N519	VIRTUS	60	0.40%	VIRTUS NFJ INTL VALUE A	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301
92837N535	VIRTUS	60	0.15%	VIRTUS INCOME & GROWFUND INSTITUTIONAL	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301
92837Q843	VIRTUS	60	0.10%	VIRTUS ZEVENBERGEN TECHNOLOGY INSTL	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301
92838V494	VIRTUS	60	0.40%	VIRTUS DUFF & PHELPS WATER FUND A	100 SUMMIT LAKE DR 201	GREENFIELD	MA	01301
92914A828	VOYA FUNDS	60	0.40%	VOYA GLOBAL BOND CLASS A	7337 E. DOUBLETREE RANCH RD	SCOTTSDALE	AZ	85258
936772201	WASATCH FUNDS	60	0.40%	WASATCH CORE GROWTH	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108
936772300	WASATCH FUNDS	60	0.25%	WASATCH HOISINGTON US TREASURY	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108
936772409	WASATCH FUNDS	60	0.40%	WASATCH ULTRA GROWTH	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108
936772508	WASATCH FUNDS	60	0.40%	WASATCH MICROCAP	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108
936793405	WASATCH FUNDS	60	0.40%	WASATCH INTERNATIONAL GROWTH	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108
936793504	WASATCH FUNDS	60	0.40%	WASATCH MICRO-CAP VALUE FUND	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108
936793843	WASATCH FUNDS	60	0.40%	WASATCH GLOBAL VALUE FUND	505 WAKARA WAY, STE 300	SALT LAKE CITY	UT	84108
939330106	AMERICAN FUNDS GROUP	60	\$18.00	AMERICAN WASHNTN MUTUAL INVESTRS CL A	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
939330403	AMERICAN CLASS F	60	0.37%	AMERICAN WASHINGTON MUTUAL INVESTORS F1	3500 WISEMAN BLVD	SAN ANTONIO	TX	782514321
94975P462	ALLSPRING FUNDS DISTRIBUTOR LLC	60	0.40%	ALLSPRING LARGE CAP GROWTH FUND A	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105
94984B694	ALLSPRING FUNDS DISTRIBUTOR LLC	60	0.15%	ALLSPRING CORE PLUS BOND FUND INST	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105
94985D350	ALLSPRING FUNDS DISTRIBUTOR LLC	60	0.10%	ALLSPRING DIVRSFD CAP BUILDER FD INST	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105
94985D483	ALLSPRING FUNDS DISTRIBUTOR LLC	60	0.40%	ALLSPRING UTILITY & TELECOMMS FUND A	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105
949915482	ALLSPRING FUNDS DISTRIBUTOR LLC	60	0.15%	ALLSPRING SPECIAL MID CAP VLUE INST	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105
949915672	ALLSPRING FUNDS DISTRIBUTOR LLC	60	0.40%	ALLSPRING GROWTH FUND A	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105
949921308	ALLSPRING FUNDS DISTRIBUTOR LLC	60	0.40%	ALLSPRING SPECIAL MID CAP VLUE FD A	525 MARKET ST MAC A0103 122	SAN FRANCISCO	CA	94105
957663495	FRANKLIN GROUP OF FUNDS	60	0.40%	WESTERN ASSET CORE BOND FUND CL A	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
957663503	FRANKLIN GROUP OF FUNDS	60	0.15%	WESTERN ASSET CORE PLUS BOND FUND INSTL	100 FOUNTAIN PARKWAY	ST. PETERSBURG	FL	33716
98147A295	WORLD FUNDS	60	0.40%	APPLIED FIN EXPLORERFUND INVESTOR	8730 STONY POINT PKWY STE 205	RICHMOND	VA	23235
98148J188	WORLD FUNDS	60	0.08%	APPLIED FIN SELECT FUND INSTL	8730 STONY POINT PKWY STE 205	RICHMOND	VA	23235

DUKE ENERGY RETIREMENT SAVINGS PLAN
EIN: 20-2777218 PN: 002
Form 5500, Schedule H, Part IV, Line 4i – Schedule of Assets (Held at End of Year)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor or Similar Party	(c) Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Market Value (in thousands)
	Common Stock Funds			
*	Duke Energy Common Stock Fund	46,887,641 shares	** \$	1,089,477
	Institutional Funds			
*	US Equity Small/Midcap Blend Fund	16,451,287 shares	**	540,260
*	Fixed Income Index Fund	4,855,477 shares	**	51,322
*	US Equity Small/Midcap Index Fund	11,220,964 shares	**	122,645
*	Non-US Equity Index Fund	37,334,108 shares	**	411,795
*	US Equity All Cap Blend Fund	19,520,943 shares	**	848,966
*	Non-US Equity Blend Fund	41,279,545 shares	**	619,606
*	Fixed Income Blend Fund	32,092,705 shares	**	502,251
*	Target Retirement Date Fund 2010	737,956 shares	**	13,305
*	Target Retirement Date Fund 2015	1,511,397 shares	**	29,049
*	Target Retirement Date Fund 2020	4,909,200 shares	**	101,866
*	Target Retirement Date Fund 2025	10,012,128 shares	**	234,985
*	Target Retirement Date Fund 2030	11,945,919 shares	**	292,317
*	Target Retirement Date Fund 2035	9,582,431 shares	**	251,922
*	Target Retirement Date Fund 2040	9,449,569 shares	**	246,728
*	Target Retirement Date Fund 2045	10,238,465 shares	**	270,398
*	Target Retirement Date Fund 2050	8,569,744 shares	**	230,869
*	Target Retirement Date Fund 2055	7,362,211 shares	**	197,970
*	Target Retirement Date Fund 2060	7,613,043 shares	**	121,733
*	Target Retirement Date Fund Post Retirement	1,580,052 shares	**	26,497
	Total Institutional Funds			<u>5,114,484</u>
	Commingled Funds			
*	US Equity S&P 500 Index Fund	55,236,813 shares	**	2,495,599
*	Diversified Real Asset Fund	1,035,412 shares	**	14,247
*	Global Real Estate Investment Trust Fund	1,292,404 shares	**	25,822
	Total Commingled Funds			<u>2,535,668</u>
	Self-directed Brokerage Accounts			
*	Fidelity BrokerageLink	906,152,917 shares	**	906,153
	Common Collective Trust Funds			
	Security-backed (Synthetic) Investment Contracts		**	545,924
	Short-Term Investment Fund A S	38,095,022 units	**	16,987
	Total Common Collective Trust Funds			<u>562,911</u>
	Total Investments			10,208,693
*	Participant Loans	Participant Loans	– 0 –	136,654
		Interest Rates ranging from 3.25% - 9.5%		
	Total			<u><u>\$ 10,345,347</u></u>

* Permitted party-in-interest

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