

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 SONY USA 401(K) PLAN
1b	Three-digit plan number (PN) ▶ 002
1c	Effective date of plan 01/01/1984
2a	Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) SONY CORPORATION OF AMERICA 25 MADISON AVENUE NEW YORK, NY 10010
2b	Employer Identification Number (EIN) 13-1914734
2c	Plan Sponsor's telephone number 212-833-6858
2d	Business code (see instructions) 551112

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

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

SIGN HERE	Filed with authorized/valid electronic signature.	10/14/2024	LAUREN POLLITZER
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	10/11/2024	ROBERT KLEE
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

3a Plan administrator's name and address ☐ Same as Plan Sponsor LAUREN POLLITZER 25 MADISON AVENUE NEW YORK, NY 10010	3b Administrator's EIN 13-1914734 3c Administrator's telephone number 212-833-6858
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 25707
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	6a(1) 13118 6a(2) 13896 6b 1191 6c 11005 6d 26092 6e 62 6f 26154 6g(1) 25277 6g(2) 25681 6h 36
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	7
8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions: 2E 2F 2G 2J 2K 2R 2S 2T 3H b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:	

9a Plan funding arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor	9b Plan benefit arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor
10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)	
a Pension Schedules (1) ☒ R (Retirement Plan Information) (2) ☐ MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary (3) ☐ SB (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary (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 _____ (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 SONY USA 401(K) PLAN	B Three-digit plan number (PN) 002
C Plan sponsor's name as shown on line 2a of Form 5500 SONY CORPORATION OF AMERICA	D Employer Identification Number (EIN) 13-1914734

Part I

Service Provider Information (see instructions)

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

1

Information on Persons Receiving Only Eligible Indirect Compensation

- a

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

X

Yes

No
- b

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

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

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
SANDS CAPITAL MANAGEMENT, LLC
20-2830751

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
TCW INVESTMENT MANAGEMENT COMPANY
95-3703295

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
SEI TRUST COMPANY
06-1271230

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

CHARLES SCHWAB INVT MANAGEMENT

94-3106735

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

COLUMBIA MGMT INVESTMENT ADVISORS

41-1533211

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

DIMENSIONAL FUND ADVISORS

30-0303270

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

DODGE & COX

94-1441976

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

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

(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)

BLACKROCK

94-3112180

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
21 24 28 50 51	NONE	1061102	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

EDELMAN FINANCIAL ENGINES, LLC

94-3250323

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 50	NONE	968582	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

T ROWE PRICE ASSET MGMT INC

100 EAST PRATT STREET
BALTIMORE, MD 21202

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
15 50	NONE	896443	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

T. ROWE PRICE ASSOCIATES, INC.

52-0556948

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 50 51	NONE	888924	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

ALTRINSIC GLOBAL ADVISORS, LLC

30-0016268

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 50 51	NONE	772874	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

PRUDENTIAL TRUST COMPANY

23-6994310

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 50 51	NONE	685924	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

NORTHERN TRUST COMPANY

36-1561860

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
19 21 25 28 50 51 99	NONE	431236	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☐ No ☒

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

LOOMIS SAYLES TRUST COMPANY

20-8080381

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51	NONE	228497	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

MERCER INVESTMENTS LLC

30-0282430

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 50	NONE	151525	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

PRICEWATERHOUSECOOPERS LLP

13-4008324

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10 11 19 50	NONE	140000	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

STATE STREET GLOBAL ADVISORS TR CO.

81-4017137

(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?
18 19 28 50 51	NONE	114950	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☐ No ☒

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

AON CONSULTING

22-2232264

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	25484	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

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

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

CHARLES SCHWAB & CO. INC.

94-1737782

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
33 50 62 71	NONE	1354	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

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

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

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

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

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
ADVISORS PREFERRED 1445 RESEARCH BLVD SUITE 530 ROCKVILLE, MD 20850	RATE OF 0.45% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
ALGER FUNDS PO BOX 8480 BOSTON, MA 02266	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
ALLIANCEBERNSTEIN 13-3191825	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
ALLIANZ GLOBAL INVESTORS 1633 BROADWAY NEW YORK, NY 10019	RATE OF 0.10-0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
ADVISORS CAPITAL 10 WILSEY SQUARE #200 RIDGEWOOD, NJ 07450	RATE OF 0.25% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
AMANA 35-6447892	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
AMERICAN CENTURY INVESTMENTS 43-0821857	RANGE OF 0.05 - 0.35% OF AVG DAILY BAL OF ASSETS	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
AMERICAN FUNDS 90-0924512	RANGE OF 0.12 - 0.37% OF AVG DAILY BAL OF ASSETS	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
CBOE VEST 1765 GREENSBORO STATION PLACE TOWER 9TH FLOOR MCLEAN, VA 22102	RANGE OF 0.40% OF AVG DAILY BAL OF ASSETS	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
ARTISAN PARTNERS FUNDS 1330 AVENUE OF THE AMERICAS STE 31 NEW YORK, NY 10019	RANGE OF 0.40% OF AVG DAILY BAL OF ASSETS	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
ATAC FUND C/O US BANK GLOBAL FUND SERVICES PO BOX 701 MILWAUKEE, WI 53201	RANGE OF 0.40% OF AVG DAILY BAL OF ASSETS	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
AXS FUNDS 155 N WACKER DRIVE SUITE 4250 CHICAGO, IL 60606	RANGE OF 0.40% OF AVG DAILY BAL OF ASSETS	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
BARON CAPITAL GROUP, INC. 13-3107580	RATE OF 0.09-0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
BERKSHIRE 77-0330031	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
BLACKROCK 04-6171663	RATE OF 0.06-0.50% OF AVG DAILY BALANCE OF ASSET	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
BROWN ADVISORY FUNDS 52-1952888	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
BROWN CAPITAL MANAGEMENT, LLC 1201 NORTH CALVERT STREET BAL, MD 21202	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
BUFFALO US BANCORP FUND SERVICES LLC PO BOX 701 MILWAUKEE, WI 53201	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
AVE MARIA MUTUAL FUNDS 38-2325495	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
CAVANAL HILL FUNDS 3435 STELZER ROAD COLUMBUS, OH 43219	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
COLUMBIA THREADNEEDLE 93-0577450	RATE OF 0.10% OF AVG DAILY BALANCE OF ASSET	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
BAIRD 39-6037917	RATE OF 0.05% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
EATON VANCE 04-2718215	RATE OF 0.07-0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
EURO PACIFIC ASSET MANAGEMENT LOTS 81-82 STREET C DORADO, PR 00646	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
EVENTIDE FUNDS 4221 N 203RD STREET SUITE 100 ELKHORN, NE 68022	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
FEDERATED FUNDS 25-1111467	RATE OF 0.10-0.37% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
FIDELITY INVESTMENTS 06-1194217	RATE OF 0.25% OF AVG DAILY BALANCE OF ASSET	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
FIRST EAGLE FUNDS 1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
FRANKLIN TEMPLETON INVESTMENTS 94-3167260	RATE OF 0.15-0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
GOLDMAN SACHS 46-5215217	RATE OF 0.05-0.50% OF AVG DAILY BALANCE OF ASSET	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
HARBOR 04-2679462	RATE OF 0.35% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
DRIEHAUS 20-3634295	RATE OF 0.10% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
INVESCO 58-2287224	RATE OF 0.50% OF AVG DAILY BALANCE OF ASSET	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
JACKSON SQUARE ONE LETTERMAN DRIVE BLDG A SUITE A3-200 SAN FRANCISCO, CA 94129	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
JACOB 727 2ND STREET #106 HERMOSA BEACH, CA 90254	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
JANUS HENDERSON 43-1804048	RATE OF 0.10-0.35% OF AVG DAILY BALANCE OF ASSET	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
GUINNESS ATKINSON 98-0534338	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
JOHN HANCOCK 04-3483032	RATE OF 0.10% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
JPMORGAN 13-2624428	RATE OF 0.50% OF AVG DAILY BALANCE OF ASSET	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
LORD ABBETT 13-3731507	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
MADISON FUNDS 54-1815009	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
KINETICS 13-3878346	RATE OF 0.40% OF AVG DAILY BALANCE OF ASSET	

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
ALLSPRING GLOBAL INVESTMENTS 95-3692822	RATE OF 0.06-0.55% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
CLIFFWATER LLC 20-1246914	RATE OF 0.15% OF AVG DAILY BALANCE OF ASSET	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
CHARLES SCHWAB & CO. INC.	33 50 62 71	0
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
DOUBLELINE 2002 N. TAMPA ST. SUITE 200 TAMPA, FL 33602	RATE OF 0.36% OF AVG DAILY BALANCE OF ASSET	

Part II Service Providers Who Fail or Refuse to Provide Information

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

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

Part III Termination Information on Accountants and Enrolled Actuaries (see instructions)
(complete as many entries as needed)

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

SCHEDULE D (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration	DFE/Participating Plan Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110 2023 This Form is Open to Public Inspection.
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For calendar plan year 2023 or fiscal plan year beginning **01/01/2023** and ending **12/31/2023**

A Name of plan SONY USA 401(K) PLAN	B Three-digit plan number (PN) ▶ 002
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C Plan or DFE sponsor's name as shown on line 2a of Form 5500 SONY CORPORATION OF AMERICA	D Employer Identification Number (EIN) 13-1914734
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Part I	Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs) (Complete as many entries as needed to report all interests in DFEs)
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a Name of MTIA, CCT, PSA, or 103-12 IE: **AEW GLOBAL PROPERTIES TRUST FUND DC**

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

c EIN-PN 45-4660038-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 18214571
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a Name of MTIA, CCT, PSA, or 103-12 IE: **BLACKROCK LIFEPATH INDEX 2065 NLG**

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

c EIN-PN 84-1915237-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 15033734
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a Name of MTIA, CCT, PSA, or 103-12 IE: **BLACKROCK LIFEPATH INDEX 2025 NLG**

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

c EIN-PN 45-2829112-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 177167030
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a Name of MTIA, CCT, PSA, or 103-12 IE: **BLACKROCK LIFEPATH INDEX 2030 NLG**

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

c EIN-PN 45-2829163-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 237801273
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a Name of MTIA, CCT, PSA, or 103-12 IE: **BLACKROCK LIFEPATH INDEX 2035 NLG**

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

c EIN-PN 45-2829211-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 332119376
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a Name of MTIA, CCT, PSA, or 103-12 IE: **BLACKROCK LIFEPATH INDEX 2040 NLG**

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

c EIN-PN 45-2837597-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 313707343
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a Name of MTIA, CCT, PSA, or 103-12 IE: **BLACKROCK LIFEPATH INDEX 2045 NLG**

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

c EIN-PN 45-2837638-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 300352992
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a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPATH INDEX 2050 NLG		
b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST CO.		
c EIN-PN 45-2837704-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 255811858
a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPATH INDEX 2055 NLG		
b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST CO.		
c EIN-PN 45-2837751-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 164274181
a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPATH INDEX 2060 NLG		
b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST CO.		
c EIN-PN 47-2034946-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 76451639
a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK LIFEPATH INDEX RETIRE NLG		
b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST CO.		
c EIN-PN 45-2837784-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 95983337
a Name of MTIA, CCT, PSA, or 103-12 IE: JENNISON US SMALL CAP EQUITY FUND		
b Name of sponsor of entity listed in (a): PRUDENTIAL TRUST COMPANY		
c EIN-PN 23-6994310-046	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 135493526
a Name of MTIA, CCT, PSA, or 103-12 IE: METWEST TOTAL RETURN BOND FUND CLAS		
b Name of sponsor of entity listed in (a): SEI TRUST COMPANY		
c EIN-PN 47-2418714-005	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 60241158
a Name of MTIA, CCT, PSA, or 103-12 IE: NTGI GOVT STIF		
b Name of sponsor of entity listed in (a): NORTHERN TRUST INVESTMENTS, INC.		
c EIN-PN 45-6138589-068	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 10222685
a Name of MTIA, CCT, PSA, or 103-12 IE: NTGI MSCI EMERGING MARKETS INDEX NL		
b Name of sponsor of entity listed in (a): NORTHERN TRUST INVESTMENTS, INC.		
c EIN-PN 45-6138589-101	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 9629900
a Name of MTIA, CCT, PSA, or 103-12 IE: NTGI RUSSELL 1000 GROWTH INDEX NL		
b Name of sponsor of entity listed in (a): NORTHERN TRUST INVESTMENTS, INC.		
c EIN-PN 45-6138589-099	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 157038239
a Name of MTIA, CCT, PSA, or 103-12 IE: NTGI RUSSELL 1000 VALUE INDEX NL		
b Name of sponsor of entity listed in (a): NORTHERN TRUST INVESTMENTS, INC.		
c EIN-PN 45-6138589-098	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 85024756

a Name of MTIA, CCT, PSA, or 103-12 IE: NTGI S & P 400 INDEX DC NL		
b Name of sponsor of entity listed in (a): NORTHERN TRUST INVESTMENTS, INC.		
c EIN-PN 45-6138589-105	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0

a Name of MTIA, CCT, PSA, or 103-12 IE: NTGI S & P 500 INDEX DC NL		
b Name of sponsor of entity listed in (a): NORTHERN TRUST INVESTMENTS, INC.		
c EIN-PN 45-6138589-002	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 813568036

a Name of MTIA, CCT, PSA, or 103-12 IE: PRUDENTIAL CORE PLUS BOND FUND		
b Name of sponsor of entity listed in (a): PRUDENTIAL TRUST CO		
c EIN-PN 23-6994310-165	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 60267579

a Name of MTIA, CCT, PSA, or 103-12 IE: SHORT TERM INVESTMENT FUND A		
b Name of sponsor of entity listed in (a): SEI TRUST COMPANY		
c EIN-PN 41-6292499-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 3488070

a Name of MTIA, CCT, PSA, or 103-12 IE: MFO STATE STR BK & TR CO INVT FDS T		
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY		
c EIN-PN 90-0337987-177	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 119879566

a Name of MTIA, CCT, PSA, or 103-12 IE: SSGA GLOBAL REAL ESTATE IDX NL CL A		
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY		
c EIN-PN 90-0337987-238	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 5560326

a Name of MTIA, CCT, PSA, or 103-12 IE: SSGA INTERNATIONAL INDEX NL CLASS A		
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY		
c EIN-PN 90-0337987-157	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 54777500

a Name of MTIA, CCT, PSA, or 103-12 IE: SSGA RUSSELL 2000 INDEX NL CLASS A		
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY		
c EIN-PN 90-0337987-096	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 40684830

a Name of MTIA, CCT, PSA, or 103-12 IE: SSGA US HIGH YIELD BOND IDX NL CL A		
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY		
c EIN-PN 90-0337987-231	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 17785236

a Name of MTIA, CCT, PSA, or 103-12 IE: GALLIARD SA INTERMEDIATE CORE FD C		
b Name of sponsor of entity listed in (a): SEI TRUST COMPANY		
c EIN-PN 52-2250965-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 36537773

a Name of MTIA, CCT, PSA, or 103-12 IE: GALLIARD SA INTERMEDIATE CORE FD J		
b Name of sponsor of entity listed in (a): SEI TRUST COMPANY		
c EIN-PN 26-0232928-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 36702224
a Name of MTIA, CCT, PSA, or 103-12 IE: GALLIARD SA INTERMEDIATE CORE FD L		
b Name of sponsor of entity listed in (a): SEI TRUST COMPANY		
c EIN-PN 27-6635237-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 100733305
a Name of MTIA, CCT, PSA, or 103-12 IE: GALLIARD SA INTERMEDIATE CORE FD N		
b Name of sponsor of entity listed in (a): SEI TRUST COMPANY		
c EIN-PN 27-6724457-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 36640013
a Name of MTIA, CCT, PSA, or 103-12 IE: MFO SANDS CAP COLLECTIVE INVT TR		
b Name of sponsor of entity listed in (a): SEI TRUST COMPANY		
c EIN-PN 85-0894185-143	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 19650977
a Name of MTIA, CCT, PSA, or 103-12 IE: LOOMIS SAYLES LARGE CAP GROWTH TR		
b Name of sponsor of entity listed in (a): LOOMIS SAYLES TRUST COMPANY, LLC		
c EIN-PN 84-6391546-012	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 243434266
a Name of MTIA, CCT, PSA, or 103-12 IE: SSGA GL ALL CAP EQ EX-U.S. IDX NL		
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY		
c EIN-PN 90-0337987-299	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 53728151
a Name of MTIA, CCT, PSA, or 103-12 IE: SS U.S BOND IDX NL SERIES FUND CL A		
b Name of sponsor of entity listed in (a): STATE STREET GLOBAL ADVISORS TRUST COMPANY		
c EIN-PN 90-0337987-177	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 15196468
a Name of MTIA, CCT, PSA, or 103-12 IE: GS STABLE VALUE COLLECTIVE TRUST		
b Name of sponsor of entity listed in (a): GOLDMAN SACHS TRUST COMPANY, N.A.		
c EIN-PN 13-4166989-025	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 327046
a Name of MTIA, CCT, PSA, or 103-12 IE: NTGI EXTENDED EQUITY INDEX NL		
b Name of sponsor of entity listed in (a): NORTHERN TRUST INVESTMENTS, INC.		
c EIN-PN 45-6138589-068	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 348505572
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

Part II Information on Participating Plans (to be completed by DFEs, 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
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plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN

SCHEDULE H (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	OMB No. 1210-0110
		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 SONY USA 401(K) PLAN	B Three-digit plan number (PN) ►	002
C Plan sponsor's name as shown on line 2a of Form 5500 SONY CORPORATION OF AMERICA	D Employer Identification Number (EIN) 13-1914734	

Part I	Asset and Liability Statement
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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)	18221406	19607571
(2) Participant contributions	1b(2)	3372429	3684152
(3) Other	1b(3)	1686721	2454138
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	-385306	-1713690
(2) U.S. Government securities	1c(2)	61511023	58360297
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)	1336429	297096
(B) All other	1c(3)(B)	109262983	98837131
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)	6060699	5550976
(B) Common	1c(4)(B)	321957278	415563668
(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)	26508773	28616570
(9) Value of interest in common/collective trusts	1c(9)	3708918744	4452034536
(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)	219856081	330984762
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)	34760160	61843281

1d Employer-related investments:		(a) Beginning of Year	(b) End of Year
(1) Employer securities	1d(1)		
(2) Employer real property	1d(2)		
e Buildings and other property used in plan operation	1e		
f Total assets (add all amounts in lines 1a through 1e)	1f	4513067420	5476120488
Liabilities			
g Benefit claims payable	1g		
h Operating payables	1h		
i Acquisition indebtedness	1i		
j Other liabilities	1j	1926190	2025895
k Total liabilities (add all amounts in lines 1g through 1j)	1k	1926190	2025895
Net Assets			
l Net assets (subtract line 1k from line 1f)	1l	4511141230	5474094593

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)	108380582	
(B) Participants	2a(1)(B)	205370841	
(C) Others (including rollovers)	2a(1)(C)	53634626	
(2) Noncash contributions	2a(2)		
(3) Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)		367386049
b Earnings on investments:			
(1) Interest:			
(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)	31510	
(B) U.S. Government securities	2b(1)(B)		
(C) Corporate debt instruments	2b(1)(C)		
(D) Loans (other than to participants)	2b(1)(D)		
(E) Participant loans	2b(1)(E)	1483740	
(F) Other	2b(1)(F)		
(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)		1515250
(2) Dividends: (A) Preferred stock	2b(2)(A)	152221	
(B) Common stock	2b(2)(B)	5076130	
(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	6402146	
(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)		11630497
(3) Rents	2b(3)		
(4) Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)	563860837	
(B) Aggregate carrying amount (see instructions)	2b(4)(B)	497398746	
(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)		
(5) Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)		
(B) Other	2b(5)(B)	70480787	
(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)		701994643
(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)		34035172
c Other income	2c		-1501559
d Total income. Add all income amounts in column (b) and enter total	2d		1252002930

Expenses

e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	282662211	
(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)		282662211
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)	896443	
(4) IQPA audit fees.....	2i(4)	140000	
(5) Investment advisory and investment management fees	2i(5)	5022467	
(6) Bank or trust company trustee/custodial fees	2i(6)	281147	
(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)	47299	
(12) Total administrative expenses. Add lines 2i(1) through (11)	2i(12)		6387356
j Total expenses. Add all expense amounts in column (b) and enter total	2j		289049567

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d	2k		962953363
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: **PRICEWATERHOUSECOOPERS LLP**

(2) EIN: **13-4008324**

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.)	☒	☐	9026595
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?	☒	☐	30000000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	☐	☒	
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 SONY USA 401(K) PLAN				B Three-digit plan number (PN) ▶	002
C Plan sponsor's name as shown on line 2a of Form 5500 SONY CORPORATION OF AMERICA				D Employer Identification Number (EIN) 13-1914734	
Part I Distributions					
All references to distributions relate only to payments of benefits during the plan year.					
1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....				1	0
2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits): EIN(s): 58-1428634					
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)

14a

b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment)

14b

c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment)

14c

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

a The corresponding number for the plan year immediately preceding the current plan year

15a

b The corresponding number for the second preceding plan year

15b

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

a Enter the number of employers who withdrew during the preceding plan year

16a

b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers

16b

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

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

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

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

- 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 _____.

Sony USA 401(k) Plan

**Financial Statements and Supplemental Schedules
December 31, 2023 and 2022**

Sony USA 401(k) Plan
December 31, 2023 and 2022

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



Report of Independent Auditors

To the Administrator of Sony USA 401(k) Plan

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

We have performed an audit of the accompanying financial statements of Sony USA 401(k) Plan (the "Plan"), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), as permitted by ERISA Section 103(a)(3)(C) (ERISA Section 103(a)(3)(C) audit). The financial statements 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 including the related notes (collectively referred to as the "financial statements").

Management, having determined it is permissible in the circumstances, has elected to have the audit of the Plan's financial statements performed in accordance with ERISA Section 103(a)(3)(C) pursuant to 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. As permitted by ERISA Section 103(a)(3)(C), our audit need not extend to any statements or information related to assets held for investment of the plan (investment information) by a bank or similar institution or insurance carrier that is regulated, supervised, and subject to periodic examination by a state or federal agency, provided that the statements or information regarding assets so held are prepared and certified to by the bank or similar institution or insurance carrier in accordance with 29 CFR 2520.103-5 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA (qualified institution).

Management has obtained certifications from a qualified institution as of December 31, 2023 and 2022 and for the year ended December 31, 2023, stating that the certified investment information, as described in Note 5 to the financial statements, is complete and accurate.

Opinion

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

- the amounts and disclosures in the accompanying financial statements, other than those agreed to or derived from the certified investment information, are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.
- the information in the accompanying financial statements related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).



Basis for Opinion

We conducted our audit in accordance with auditing standards generally accepted in the United States of America (US GAAS). Our responsibilities under those standards are further described in the Auditors' Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the Plan and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our ERISA Section 103(a)(3)(C) audit opinion.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error. Management's election of the ERISA Section 103(a)(3)(C) audit does not affect management's responsibility for the financial statements.

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

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

Auditors' Responsibilities for the Audit of the Financial Statements

Except as described in the Scope and Nature of the ERISA Section 103(a)(3)(C) Audit section of our report, our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditors' report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with US GAAS will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

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

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.



- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for a reasonable period of time.

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

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

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

Other Matter – Supplemental Schedules Required by ERISA

Schedule H, line 4a – Schedule of Delinquent Participant Contributions as of and for the year ended December 31, 2023 and Schedule H, line 4i – Schedule of Assets (Held at End of Year) as of December 31, 2023 (“supplemental schedules”), are presented for purposes of additional analysis and are not a required part of the financial statements but are supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information included in the supplemental schedules, other than that agreed to or derived from the certified investment information, has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with US GAAS. For information included in the supplemental schedules that agreed to or is derived from the certified investment information, we compared such information to the related certified investment information.

In forming our opinion on the supplemental schedules, we evaluated whether the supplemental schedules, other than the information agreed to or derived from the certified investment information, including their form and content, are presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. In our opinion

- the form and content of the supplemental schedules, other than the information in the supplemental schedules that agreed to or is derived from the certified investment information, are



presented, in all material respects, in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

- the information in the supplemental schedules related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

Freewaterhouse Gores LLP

New York, New York
October 11, 2024

Sony USA 401(k) Plan
Statements of Net Assets Available for Benefits
December 31, 2023 and 2022

	As of December 31	
	<u>2023</u>	<u>2022</u>
Assets:		
Investments at fair value	\$ 5,053,693,100	\$ 4,055,748,575
Investments at contract value	\$ 391,548,149	439,387,094
Receivables:		
Employer contributions receivable	\$ 19,607,571	18,221,406
Employee contributions receivable	\$ 3,684,152	3,372,429
Notes receivable from participants	\$ 28,616,570	26,508,773
Accrued interest and dividends	\$ 2,454,138	1,686,721
Total receivables	\$ 54,362,431	49,789,329
Total assets	\$ 5,499,603,680	4,544,924,999
Liabilities:		
Accrued administrative expenses	\$ 2,025,895	1,926,190
Total liabilities	\$ 2,025,895	1,926,190
Net assets available for benefits	\$ 5,497,577,785	\$ 4,542,998,809

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

Sony USA 401(k) Plan
Statement of Changes in Net Assets Available for Benefit
Year Ended December 31, 2023

	For the year ended December 31, 2023
Additions to net assets attributed to:	
Employee contributions	\$ 205,370,841
Employer contributions	108,380,582
Rollover contributions from other qualified plans	53,634,626
Net investment income/(loss):	
Net appreciation/(depreciation) in fair value of investments	\$ 865,096,008
Interest and dividends	8,687,325
Total net investment income/(loss)	<u>873,783,333</u>
Interest income on notes receivable from participants	1,483,740
Total additions/(deductions)	<u>1,242,653,122</u>
Deductions from net assets attributed to:	
Distributions to participants	282,870,578
Administrative expenses	5,203,568
Total deductions	<u>288,074,146</u>
Net increase/(decrease) in net assets available for benefits	<u>954,578,976</u>
Net assets available for benefits:	
Beginning of year	<u>4,542,998,809</u>
End of year	<u><u>\$ 5,497,577,785</u></u>

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

Sony USA 401(k) Plan

Notes to Financial Statements

December 31, 2023 and 2022

1. Description of the Plan

General

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

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

On April 21, 2022, Sony Pictures Entertainment, Inc. acquired Industrial Media Inc. & Industrial Media ATL ("Industrial Media"). Industrial Media's eligible employees began participating in the Plan as of that date.

Effective January 1, 2023, there were two additional participating companies. Sony Pictures Entertainment Inc. became the sole owner of Game Show Network, LLC ("Game Show Network") on November 18, 2019. Game Show Network's eligible employees began participating in the Plan effective January 1, 2023 when they became employees of Sony Pictures Entertainment Inc. Additionally, Sony Pictures Entertainment Inc. acquired Beachwood Services, Inc. ("Beachwood") in late 2020. Beachwood's eligible employees began participating in the Plan effective January 1, 2023.

Effective June 2, 2023, Sony Pictures Entertainment became the sole owner of B17 Entertainment. Their employees began participating in the Plan as of that date.

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

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

Participating companies (the "Companies") as of December 31, 2023 are:

- B17 Entertainment
- Beachwood Services, Inc.
- Crispin Corporation
- Game Show Network, LLC
- Industrial Media Inc & Industrial Media ATL
- MI Liquidation
- Naughty Dog Inc.
- SEG Travel LLC
- SEL Retail Operations Inc.
- Sony Americas Holding Inc.
- Sony Biotechnology Inc.
- Sony Corporation of America
- Sony Electronics, Inc.
- Sony DADC US Inc.
- Sony DepthSensing Solutions (f/k/a SoftKinetic Inc.)
- Sony Immersive Music Studios

Sony USA 401(k) Plan

Notes to Financial Statements

December 31, 2023 and 2022

- Sony Interactive Entertainment LLC
- Sony Latin America Inc.
- Sony Music Entertainment
- Sony Music Publishing (US) LLC (f/k/a Sony Music Holdings Inc.)
- Sony Plaza Inc.
- Sony Pictures Entertainment Inc.
- Sostar Inc.
- The Orchard Enterprises Inc.

Eligibility

The Plan covers all eligible employees of the Companies. Eligible employees are immediately eligible to make elective pre-tax, Roth and after-tax deferrals and to receive company matching contributions under the Plan except that employees who are regularly scheduled to work fewer than 20 hours per week are not eligible to participate in the Plan until they have completed a year of service as defined by the Plan.

Contributions

The savings component of the Plan provides that participating employees may elect to contribute up to 50% of their eligible annual compensation, with the company matching 100% of the first 3%, and 50% of the second 3% of participant contributions immediately. No matching contribution is made for participant contributions in excess of 6% of eligible annual compensation. Newly eligible employees (and rehires) who do not make a timely active election to contribute to the Plan (generally within 45 days of becoming eligible) are automatically enrolled in the Plan at a rate of 6% of eligible compensation on a pre-tax basis only with annual increases of 1% each year on the anniversary of their enrollment date until the contribution level of 10% is reached. Employees may opt out of either of these automatic elections at any time. Certain groups are excluded from auto-enrollment but still have the ability to opt into the Plan at any time (subject to satisfying the Plan's eligibility requirements). Employees who are auto-enrolled are notified of their enrollment and of the Plan's qualified default investment alternative ("QDIA"), and thus the QDIA is deemed to be a participant-directed investment. In accordance with the Internal Revenue Service ("IRS") limitations, employee pre-tax and Roth contributions are limited to a maximum annual amount of \$22,500 for 2023. Participants who are turning 50 years of age or older may also make catch-up contributions on a pre-tax and Roth basis of up to \$7,500 for 2023, which increases the maximum annual pre-tax and/or Roth contribution amount to \$30,000 for 2023. Catch-up contributions are not eligible for company matching contributions. On a combined pre-tax, Roth and after-tax basis, participant contributions are limited to \$66,000 annually. Participants direct the investment of their contributions into various investment options offered by the Plan. Absent an investment election by the employee, assets are invested in the QDIA, which is the Sony Target Date Fund with the year in its name closest to the employee's 65th birthday.

Certain employees of designated participating Companies are eligible for an annual 3% non-elective contribution (either "Retirement Savings Account ("RSA")" or "Retirement Savings Investment Fund ("RSIF")" as applicable in accordance with Plan rules) based on their eligible compensation after they have completed a year of service with a participating Company (in accordance with the Plan's eligibility rules). These annual contributions are made after the end of the Plan year subject to Plan provisions and are based on eligible compensation earned in the previous calendar year. The RSA contribution amount was recorded as employer contributions receivable of \$8,553,030 at December 31, 2023. The RSIF contribution amount was recorded as employer contributions receivable of \$1,151,324 at December 31, 2023. The RSA and RSIF receivable balances at December 31, 2022 were \$8,023,169 and \$1,070,441 respectively.

Sony USA 401(k) Plan

Notes to Financial Statements

December 31, 2023 and 2022

In connection with the adoption of a safe harbor plan design, the Plan instituted a true-up employer matching contribution. If, during the Plan year, a participant reaches the pre-tax/Roth contribution limit, before the end of the year, and therefore stops receiving matching contributions before they have received the maximum matching contribution for which they are eligible under the Plan, the applicable Company will make a lump sum contribution, as soon as administratively possible after the end of the applicable Plan year to the participant's account, which is equal to the difference between the amount they would have received had they not reached one of the Plan limits and the amount actually contributed, subject to the maximum match as defined by the Plan. The true-up contribution was \$8,133,243 for the year ended December 31, 2023. The true-up contribution for the year ended December 31, 2022 was \$7,560,585. The contributions are included in the employer contributions receivable amount shown on the Statement of Net Assets Available for Benefits.

Participant Account Allocations

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

Vesting

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

Forfeited Accounts

If a participant who is not 100% vested terminates from the Companies, the non-vested portion of all company contributions is forfeited in accordance with Plan rules and may be used to offset subsequent company contributions and/or Plan expenses.

Notes Receivable from Participants

Participants may elect to take loans from their accumulated vested account balances subject to certain restrictions and limitations, as defined in the Plan document. Loans are withdrawn pro rata from the participant's fund balance(s). For the year ended December 31, 2023, the interest rate charged on loans ranged from 3.93% to 9.50%, which was derived from the Prime rate plus 1%. For the year ended December 31, 2022, the interest rate charged on loans ranged from 4.25% to 8.50%, which was derived from the Prime rate plus 1%. Repayment of loans is amortized monthly, bi-weekly or weekly, depending on the participant's pay frequency, and made either in equal installments through payroll deductions for a period generally not to exceed 15 years if the loan is for the purchase of a primary residence, or five years for a general purpose loan, or in a lump sum. Employees may have one general purpose loan and one primary residence loan outstanding at one time. The maximum amount a participant can borrow is the lesser of 50% of his or her vested account balance (including any outstanding loans) minus his or her current outstanding loan balance, or \$50,000 minus his or her highest outstanding loan balance(s) across all of the employer's qualified plans during the past twelve months. Loan repayments, consisting of interest and principal, are paid ratably through payroll deductions and are invested in the participant's fund balance(s) according to his or her current investment elections. Should a participant terminate employment with the Companies and not repay his or her loan in full by the end of the calendar quarter following the calendar quarter in which payment

Sony USA 401(k) Plan

Notes to Financial Statements

December 31, 2023 and 2022

is due, the participant's outstanding loan balance is deemed to be distributed to the participant in partial settlement of the participant's vested account balances.

Payment of Benefits

Participants may receive the value of the vested interest in his or her account at any time after separation from service subject to the minimum distribution requirements. The participant or beneficiary may elect to receive a lump-sum amount subject to limitations specified in the Plan document, or monthly, quarterly, semi-annual, or annual installments over an elected period of time. A terminated participant may also elect to take partial lump-sum distributions from their Plan account at any time, limited to one partial lump-sum distribution per calendar quarter, subject to the terms of the Plan. Prior to separation from service, participants may elect a rollover withdrawal, after-tax withdrawal, hardship withdrawal or age 59 ½ withdrawal subject to meeting certain criteria.

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

Administrative and Investment Management Expenses

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

Termination

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

2. Summary of Significant Accounting Policies

Basis of Preparation

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

Use of Estimates

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

Investments

Investments are reported at fair value, except for the fully benefit-responsive investment contracts, which are reported at contract value. See Note 3 for discussion of fair value measurement. Purchases and sales of securities are recorded on a trade date basis. Dividend income is recorded on the ex-dividend date. Interest income and expenses are accrued daily. Income from other investments is

Sony USA 401(k) Plan

Notes to Financial Statements

December 31, 2023 and 2022

recorded as earned on an accrual basis. The Plan presents the net appreciation or depreciation in the fair value of its investments, which consist of the realized gains or losses and the change in unrealized appreciation or depreciation on those investments, in the Statements of Changes in Net Assets Available for Benefits.

Notes Receivable from Participants

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

Administrative Expenses

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

Benefits Paid

Distributions to participants are recorded when paid.

3. Fair Value Measurements

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

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

Level 2 Inputs to the valuation methodology include:

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

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

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

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

There were no significant transfers in or out of Level 1 or Level 2 fair value measurements during the periods presented. There were no Level 3 investments for the years ended December 31, 2023 and 2022.

Sony USA 401(k) Plan

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Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2023.

Collective Trusts

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

Registered Investment Companies

Assets of publicly traded registered investment companies are valued using the NAV calculated by the administrator of the funds and the NAV quotes are available in public markets, such as stock exchanges. The NAV is calculated daily based on the closing market prices and accruals of the securities in the funds' portfolios (total value of the fund) divided by the number of shares currently issued and outstanding. It offers daily redemption with notification on trade date, assuming normal market conditions.

Common and Preferred Stocks

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

Interest Bearing Cash

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

Self-directed Brokerage Account

Investments held in the self-directed brokerage account constitute a broad array of registered investment companies (publicly traded mutual funds) and certificates of deposit. On July 1, 2022, investments available through the self-directed brokerage account were expanded to include publicly traded exchange traded funds ("ETFs") in addition to the previously available publicly traded mutual funds and certificates of deposit. Fair values of all registered investment companies and certificates of deposit are determined using the methods prescribed above.

Sony USA 401(k) Plan

Notes to Financial Statements

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The following tables set forth by level, within the fair value hierarchy, the fair value of the Plan's investments as of December 31, 2023 and 2022:

<i>Investments at Fair Value as of December 31, 2023</i>			
	<i>Level 1</i>	<i>Level 2</i>	<i>Total</i>
Registered Investment Companies:			
Large Cap Equity - Value	\$ 257,503,513	\$ -	\$ 257,503,513
Emerging Markets Equity	\$ 19,841,800	\$ -	\$ 19,841,800
High Yield	\$ 52,046,917	\$ -	\$ 52,046,917
Total Registered Investment Companies	\$ 329,392,230	\$ -	\$ 329,392,230
Common and Preferred Stocks:			
Total Common and Preferred Stocks	\$ 421,114,644	\$ -	\$ 421,114,644
Interest Bearing Cash	\$ (901,353)	\$ -	\$ (901,353)
Total Self-Directed Brokerage Window	\$ 61,843,281	\$ -	\$ 61,843,281
Total Investments at Fair Value	\$ 811,448,802	\$ -	\$ 811,448,802
Collective Trusts*			\$ 4,240,651,766
Registered Investment Companies (private MF)*			\$ 1,592,532
Total Investments			\$ 5,053,693,100

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

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Notes to Financial Statements
December 31, 2023 and 2022

Investments at Fair Value as of December 31, 2022

	<u>Level 1</u>	<u>Level 2</u>	<u>Total</u>
Registered Investment Companies:			
Large Cap Equity - Value	\$ 158,116,363	\$ -	\$ 158,116,363
Emerging Markets Equity	\$ 21,567,193	\$ -	\$ 21,567,193
High Yield	\$ 30,612,752	\$ -	\$ 30,612,752
Total Registered Investment Companies	<u>\$ 210,296,309</u>	<u>\$ -</u>	<u>\$ 210,296,309</u>
Common and Preferred Stocks:			
Total Common and Preferred Stocks	<u>\$ 328,017,977</u>	<u>\$ -</u>	<u>\$ 328,017,977</u>
Interest Bearing Cash	<u>\$ (390,422)</u>	<u>\$ -</u>	<u>\$ (390,422)</u>
Total Self-Directed Brokerage Window	<u>\$ 34,760,160</u>	<u>\$ -</u>	<u>\$ 34,760,160</u>
Total Investments at Fair Value	<u>\$ 572,684,024</u>	<u>\$ -</u>	<u>\$ 572,684,024</u>
Collective Trusts*			\$ 3,473,504,778
Registered Investment Companies (private MF)*			\$ 9,559,773
Total Investments			<u>\$ 4,055,748,575</u>

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

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

12/31/2023

Category of Investment	Fair Value of Common Collective Trust	Redemption Terms	Redemption Restrictions
Short Term Investment Fund	\$ 8,561,193	Daily redemption with notification on day of trade date	NA
Target Date Funds	\$ 1,968,879,705	Daily redemption with notification on day of trade date	NA
Short-Term Bond/Stable Value Fund	\$ 3,815,831	Daily redemption with notification on day of trade date	NA
Intermediate-Term Bond	\$ 255,584,770	Daily redemption with notification on day of trade date	NA
High Yield Bond	\$ 17,785,236	Daily redemption with notification on day of trade date	NA
Large Cap Equity - Value	\$ 85,024,756	Daily redemption with notification on day of trade date	NA
Large Cap Equity - Core	\$ 813,568,036	Daily redemption with notification on day of trade date	NA
Large Cap Equity - Growth	\$ 400,472,505	Daily redemption with notification on day of trade date	NA
Small/Mid Cap Equity	\$ 348,505,572	Daily redemption with notification on day of trade date	NA
Small Cap Equity	\$ 176,178,356	Daily redemption with notification on day of trade date	NA
Global/International Equity	\$ 108,505,651	Daily redemption with notification on day of trade date	NA
Emerging Markets	\$ 29,280,877	Daily redemption with notification on day of trade date	NA
Global REIT	\$ 23,774,897	Daily redemption with notification on day of trade date	NA

12/31/2022

Category of Investment	Fair Value of Common Collective Trust	Redemption Terms	Redemption Restrictions
Short Term Investment Fund	\$ 7,485,533	Daily redemption with notification on day of trade date	NA
Target Date Funds	\$ 1,536,476,332	Daily redemption with notification on day of trade date	NA
Short-Term Bond	\$ 9,613,752	Daily redemption with notification on day of trade date	NA
Intermediate-Term Bond	\$ 231,199,769	Daily redemption with notification on day of trade date	NA
High Yield Bond	\$ 28,924,390	Daily redemption with notification on day of trade date	NA
Large Cap Equity - Value	\$ 157,393,418	Daily redemption with notification on day of trade date	NA
Large Cap Equity - Core	\$ 633,302,810	Daily redemption with notification on day of trade date	NA
Large Cap Equity - Growth	\$ 228,661,041	Daily redemption with notification on day of trade date	NA
Mid Cap Equity	\$ 302,619,714	Daily redemption with notification on day of trade date	NA
Small Cap Equity	\$ 162,802,980	Daily redemption with notification on day of trade date	NA
International Equity	\$ 118,441,646	Daily redemption with notification on day of trade date	NA
Emerging Markets	\$ 31,430,880	Daily redemption with notification on day of trade date	NA
Global REIT	\$ 24,428,785	Daily redemption with notification on day of trade date	NA

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Notes to Financial Statements

December 31, 2023 and 2022

4. Fully Benefit-Responsive Investment Contracts (FBRICs)

The Plan holds a portfolio of four separate synthetic guaranteed investment contracts (“the Contracts”) that are held within a customized separately-managed stable value account. These contracts meet the fully benefit-responsive investment contract criteria and, therefore, are reported at contract value. Contract value is the relevant measure for fully benefit-responsive investment contracts because this is the amount received by participants when they initiate permitted transactions under the terms of the Plan. Contract value represents contributions made under each contract, plus earnings, less withdrawals. The value of these investment contracts held by the Plan was \$391,548,149 at December 31, 2023, and \$439,387,094 at December 31, 2022.

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

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

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

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

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

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

Sony USA 401(k) Plan

Notes to Financial Statements

December 31, 2023 and 2022

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

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

5. Information Certified by the Plan's Trustee

The Plan's investments are held in a trust administered by the Northern Trust Company, Trustee of the Plan. The Trustee has certified that their reports of assets held at December 31, 2023 and December 31, 2022, and transactions for the year ended December 31, 2023, are complete and accurate in accordance with Section 2520.103-5 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. The following is a summary of the Plan's financial information and data certified by the Trustee:

	As of December 31 2023	As of December 31 2022
Investments at fair value	\$ 5,050,452,053	\$ 4,055,748,575
Investments at contract value	-	439,387,094
Notes receivable from participants	28,616,570	26,508,773
Accrued interest and dividends	2,453,423	1,686,721

	For the year ended December 31, 2023
Net investment income/(loss):	
Net appreciation/(depreciation) in fair value of investments	\$ 853,853,791
Interest and dividends	8,656,033
Total net investment income/(loss)	<u>\$ 862,509,824</u>
Interest income on notes receivable from participants	\$ 1,483,740

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Notes to Financial Statements

December 31, 2023 and 2022

6. Federal Income Tax Status

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

Accounting principles generally accepted in the United States of America require the Plan's management to evaluate tax positions taken by the Plan and recognize a tax liability or asset if the plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Plan sponsor has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2023 and 2022, there are no uncertain positions taken or expected to be taken that would require recognition of a liability or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan administrator believes it is no longer subject to income tax examinations for years prior to 2020.

7. Risks and Uncertainties

The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market, liquidity, and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and those changes could materially affect participant account balances, as well as the amounts reported in the Statements of Net assets Available for Benefits. Market values of investments may decline for a number of reasons, including changes in prevailing market and interest rates, increases in defaults and credit rating downgrades.

8. Related Party and Party-in-Interest Transactions

Parties-in-interest are defined under DOL regulations as any fiduciary of the Plan, any party rendering service to the Plan, the employer, and certain others. Officers and employees do not receive compensation from the Plan. Certain Plan investments are collective trust funds managed by the Trustee. Additionally, as described in Note 2, the Plan paid certain expenses related to plan operations and investment activity to various service providers. These transactions are party-in-interest transactions under ERISA. In addition, notes receivable from participants are party-in-interest transactions.

Sony USA 401(k) Plan

Notes to Financial Statements

December 31, 2023 and 2022

9. Reconciliation between Financial Statements and Form 5500

The following is a reconciliation of net assets available for benefits per the financial statements at December 31, 2023 and 2022, to the Form 5500:

	<u>2023</u>	<u>2022</u>
Net assets available for benefits per financial statements	\$ 5,497,577,785	\$ 4,542,998,809
Market value adjustments to Stable Value Fund	(23,483,192)	(31,857,579)
Net assets available for benefits per Form 5500	<u>\$ 5,474,094,593</u>	<u>\$ 4,511,141,230</u>

The following is a reconciliation of the change in net assets available for benefits for the year ended December 31, 2023, per the financial statements to the net income reported in the 2022 Form 5500:

Net increase in net assets available for benefits per financial statements	\$ 954,578,976
Market value adjustments to Stable Value Fund	8,374,387
Net increase in net assets available for benefits per Form 5500	<u>\$ 962,953,363</u>

10. Subsequent Events

Plan management evaluated all events or transactions that occurred after December 31, 2023 up through October 11, 2024, the date these financial statements were available for issuance.

Effective February 16, 2024, Sony Corporation of America acquired Dexai Robotics Inc. Their employees began participating in the Plan effective March 25, 2024.

Effective April 1, 2024, Sony Music Entertainment acquired Three Ten Merchandising Services Inc. Their employees began participating in the Plan at that time.

Sony Pictures Entertainment acquired Pixomondo LLC on October 25, 2022. Their employees started participating in the Plan effective September 23, 2024.

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

Participant Contributions Transferred Late to the Plan 2022-\$7,271,257 2023-\$1,755,338	Total that Constitutes Nonexempt Prohibited Transaction As of and for the year ended December 31, 2023			Total Fully Corrected under VFCP and PTE-2002-51
Check here if late participant loan payments are included: X	Contributions Not Corrected	Contributions Corrected outside VFCP	Contributions Pending Correction in VFCP	
	\$0	\$9,026,595		

[2022	\$7,271,257
2023	\$1,755,338

*Amounts reflected are participant contributions that were transferred late to the Plan in each of the 2022 and 2023 Plan years. In 2023, the late contributions were corrected and excise tax due to the IRS was paid.]

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)
At December 31, 2023

(a)	(b)	(c)	(d)	(e)
	Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Cost **	Current Value
	Collective Trusts			
•	Collective Trusts	NT COLLECTIVE S&P500 INDEX FUND-DC-NON LENDING (TIER J)		813,568,036
•	Collective Trusts	NT COLLECTIVE EXTENDED EQUITY INDEX FD -NONLENDING		348,505,572
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX RETIREMENT 2035 NL CL F		331,911,009
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX 2040 NL FUND F		313,707,343
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX RETIREMENT 2045 NL CL F		300,352,992
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX 2050 NL FUND F		255,811,858
	Collective Trusts	MFO LOOMIS SAYLES TR CO LLC LARGE CAP GROWTH FD CL B		243,434,266
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX 2030 NL FUND F		237,801,273
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX RETIREMENT 2025 NL CL F		177,167,030
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX 2055 NON LENDING FD F		164,274,181
•	Collective Trusts	MFB NT COLLECTIVE RUSSELL 1000 GROWTH INDEX FUND - NON LENDING		157,038,239
	Value of Interest in Collective Trusts	MFO PRUDENTIAL TR CO COLTV TR JENNISON US SMALL CAP EQTY FD INSTL (CL 1) 9JA		135,493,526
	Collective Trusts	MFO STATE STR BK & TR CO INVT FDS TAX EXEMPT RETIREMENT PLANS CL A		119,879,566
	Collective Trusts	MFO BLACKROCK LIFEPATH INDEX RETIREMENT NL CL F		95,983,337
•	Collective Trusts	MFB NT COLLECTIVE RUSSELL 1000 VALUE INDEX FUND - NON LENDING		85,024,756
	Collective Trusts	MFO BLACKROCK LIFEPATH 2060 NL F		76,451,639
	Collective Trusts	MFO PRUDENTIAL CORE PLUS BOND FUND CL 1		60,267,579
	Collective Trusts	MFO METWEST TOTAL RETURN BOND CLASS C		60,241,158
	Value of Interest in Collective Trusts	MFO SSGA INTERNATIONAL INDEX		54,777,500
	Collective Trusts	MFO SSGA GLOBAL ALL CAP EQUITY EX US INDEX NL FUND CLASS A		53,728,151
	Collective Trusts	MFO RUSSELL 2000 NON LENDING SER CL A		40,684,830
	Collective Trusts	MFO SANDS CAP COLLECTIVE INVT TR 80007W60-3428		19,650,977
	Collective Trusts	MFO AEW GLOBAL PROPERTIES TRUST FUND DC FUND CLASS A 00105A10-451		18,214,571
	Collective Trusts	MFO SSGA US HI YIELD BD INDEX NL SF CL A		17,785,236
	Collective Trusts	MFO STATE STR BK & TR CO INVT FDS TAX EXEMPT RETIREMENT PLANS CL A		15,196,468
	Collective Trusts	MFO BLACKROCK INSTL LIFEPATH INDEX 2065 NON LENDABLE FD F		15,033,734
•	Collective Trusts	MFB NT COLLECTIVE MSCI EMERGING MARKETS FUND-NON LENDING		9,629,900
•	Collective Trusts	NT COLLECTIVE GOVT SHORT TERM INVT FD		7,010,921
	Collective Trusts	MFO SSGA GLOBAL REIT		5,560,326
***	Value of Interest in Common/Collective Trusts	NT COLLECTIVE GOVT SHORT TERM INVT FD		1,697,511
•	Collective Trusts	NT COLLECTIVE GOVT SHORT TERM INVT FD		739,501
•	Collective Trusts	NT COLLECTIVE GOVT SHORT TERM INVT FD		610,164
	Collective Trusts	MFO GOLDMAN SACHS STABLE VALUE COLLECTIVE TRUST 7124		327,046
•	Collective Trusts	NT COLLECTIVE GOVT SHORT TERM INVT FD		140,912
•	Collective Trusts	NT COLLECTIVE GOVT SHORT TERM INVT FD		13,073
•	Collective Trusts	NT COLLECTIVE GOVT SHORT TERM INVT FD		10,429
•	Collective Trusts	NT COLLECTIVE GOVT SHORT TERM INVT FD		174
***	Value of Interest in Collective Trusts	Galliard Intermediate Core Fund L (a)		100,733,305
***	Value of Interest in Collective Trusts	Galliard SA Intermediate Core Fund J (a)		36,702,224
***	Value of Interest in Collective Trusts	Galliard SA Intermediate Core Fund N (a)		36,640,013
***	Value of Interest in Collective Trusts	Galliard SA Intermediate Core Fund C (a)		36,537,773
***	Value of Interest in Collective Trusts	Short-Term Investment Fund II (a)		3,488,070
		Total Collective Trusts		4,451,826,169

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)
At December 31, 2023

(a)	(b)	(c)	(d)	(e)
	Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Cost **	Current Value
Registered Investment Companies				
	Value of Interest in Registered Investment Companies	MFO DODGE & COX FDS STOCK FUND X		257,503,513
	Value of Interest in Registered Investment Companies	MFO COLUMBIA FDS SER TR II MASS INCOME OPPORTUNITIES FD CL Y		52,046,917
	Value of Interest in Registered Investment Companies	MFO DFA INVT DIMENSIONS GROUP INC EMERGING MKTS CORE EQUITY PORT		19,841,800
	Value of Interest in Registered Investment Companies	MFO RESERVE INVT FDS INC T ROWE PRICE GOVT RESERVE FD		1,592,532
		Total Registered Investment Companies		330,984,762
Common and Preferred Stock				
	Corporate Stock - Preferred	ITAU UNIBANCO HOLDINGS S.A. PRF NPV ITUB4		3,039,369
	Corporate Stock - Preferred	HENKEL AG & CO KGAA NON-VTG PRF NPV		1,952,641
	Corporate Stock - Preferred	PVTPL GM CRUISE HOLDINGS LLC CLASS F PREFERRED SHARES		328,499
	Corporate Stock - Preferred	PVTPL &&& WAYMO LLC SER A-2 CONVT PREF STOCK T-ROWE PRICE ONLY		230,467
	Corporate Stock - Common	MICROSOFT CORP COM		32,601,539
	Corporate Stock - Common	APPLE INC COM STK		21,171,946
	Corporate Stock - Common	AMAZON COM INC COM		17,956,725
	Corporate Stock - Common	ALPHABET INC CAPITAL STOCK USD0.001 CL A		16,461,908
	Corporate Stock - Common	NVIDIA CORP COM		12,559,770
	Corporate Stock - Common	META PLATFORMS INC COM USD0.000006 CL 'A'		10,040,075
	Corporate Stock - Common	INTUIT COM		9,374,200
	Corporate Stock - Common	UNITEDHEALTH GROUP INC COM		9,271,663
	Corporate Stock - Common	MASTERCARD INC CL A		7,228,065
	Corporate Stock - Common	FISERV INC COM		7,031,620
	Corporate Stock - Common	CHUBB LTD ORD CHF24.15		6,845,766
	Corporate Stock - Common	THE CIGNA GROUP		6,333,368
	Corporate Stock - Common	VISA INC COM CL A STK		6,013,564
	Corporate Stock - Common	INTUITIVE SURGICAL INC COM NEW STK		5,262,816
	Corporate Stock - Common	TOTALENERGIES SE		5,189,494
	Corporate Stock - Common	EVEREST GROUP LTD		5,155,196
	Corporate Stock - Common	SANOFI EUR2		5,013,096
	Corporate Stock - Common	HEINEKEN NV EUR1.60		4,852,711
	Corporate Stock - Common	ELI LILLY & CO COM		4,816,668
	Corporate Stock - Common	STRYKER CORP		4,731,169
	Corporate Stock - Common	WILLIS TOWERS WATSON PLC COM USD0.000115		4,718,837
	Corporate Stock - Common	GSK PLC ORD GBPO.3125		4,597,681
	Corporate Stock - Common	ZURICH INSURANCE GROUP AG CHFO.10		4,548,775
	Corporate Stock - Common	CHECK PT SOFTWARE TECHNOLOGIES ORDILS.01		4,418,992
	Corporate Stock - Common	ADR HDFC BK LTD ADR REPSTG 3 SHS		4,245,110
	Corporate Stock - Common	MEDTRONIC PLC COMMON STOCK STOCK		4,235,568
	Corporate Stock - Common	SAMSUNG ELECTRONIC GDR		4,221,364
	Corporate Stock - Common	AKZO NOBEL NV EURO.50(POST REV SPLIT)		4,211,096
	Corporate Stock - Common	DIAGEO PLC ORD GBPO.28 101/108		4,064,694
	Corporate Stock - Common	ADR KB FINL GROUP INC SPONSORED ADR REPSTG 1 COM SH ADR		4,050,164

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	Common and Preferred Stock			
	Corporate Stock - Common	NESTLE SA CHF0.10(REGD)		3,936,084
	Corporate Stock - Common	AMPHENOL CORP NEW CL A		3,879,750
	Corporate Stock - Common	DANONE EURO.25		3,773,871
	Corporate Stock - Common	SERVICENOW INC COM USD0.001		3,769,124
	Corporate Stock - Common	KUBOTA CORP NPV		3,755,190
	Corporate Stock - Common	BOOKING HLDGS INC COM		3,664,278
	Corporate Stock - Common	ROSS STORES INC COM		3,607,274
	Corporate Stock - Common	DAITO TRUST CONST NPV		3,588,580
	Corporate Stock - Common	ROCHE HLDGS AG GENUSSSCHEINE NPV		3,380,267
	Corporate Stock - Common	SUMITOMO MITSUI TRUST HOLDINGS INC		3,369,813
	Corporate Stock - Common	INGERSOLL RAND INC COM		3,257,638
	Corporate Stock - Common	ADR ASML HLDG NV NY REG 2012 (POST REV SPLIT)		3,257,027
	Corporate Stock - Common	ADOBE INC COM		3,113,059
	Corporate Stock - Common	SUZUKI MOTOR CORP NPV		3,099,947
	Corporate Stock - Common	NETFLIX INC COM STK		2,867,723
	Corporate Stock - Common	GLOBAL PMTS INC COM		2,802,509
	Corporate Stock - Common	BUREAU VERITAS EURO.12		2,777,427
	Corporate Stock - Common	ADR BP P L C SPONSORED ADR		2,751,571
	Corporate Stock - Common	SIEMENS AG NPV(REGD)		2,737,448
	Corporate Stock - Common	MICHELIN (CGDE) EURO.50 (POST SUBDIVISION)		2,693,322
	Corporate Stock - Common	BECTON DICKINSON & CO COM		2,659,698
	Corporate Stock - Common	DEUTSCHE BOERSE AG NPV(REGD)		2,578,924
	Corporate Stock - Common	DEUTSCHE POST AG NPV(REGD)		2,536,665
	Corporate Stock - Common	ATLISSIAN CORP CL A		2,481,118
	Corporate Stock - Common	SINGAPORE EXCHANGE NPV		2,431,545
	Corporate Stock - Common	MONSTER BEVERAGE CORP NEW COM		2,385,400
	Corporate Stock - Common	BAIDU INC USD0.000000625 A CLASS		2,379,882
	Corporate Stock - Common	SOMPO HOLDINGS INC		2,278,840
	Corporate Stock - Common	T-MOBILE US INC COM		2,229,870
	Corporate Stock - Common	DAIMLER TRUCK HOLD NPV		2,228,806
	Corporate Stock - Common	LLOYDS BANKING GP ORD GBPO.1		2,192,515
	Corporate Stock - Common	AXIS CAPITAL HOLDINGS LTD COM USD0.0125		2,192,431
	Corporate Stock - Common	SONY GROUP CORPORA NPV		2,177,865
	Corporate Stock - Common	EURONEXT EUR1.60		2,173,061
	Corporate Stock - Common	HALEON PLC ORD GBPO.01		2,139,000
	Corporate Stock - Common	CREDICORP LTD COM STK		2,131,705
	Corporate Stock - Common	CHIPOTLE MEXICAN GRILL INC COM STK		2,094,855
	Corporate Stock - Common	EISAI CO LTD NPV		2,045,920
	Corporate Stock - Common	CADENCE DESIGN SYS INC COM		2,041,141
	Corporate Stock - Common	LIBERTY GLOBAL LTD. COMMON STOCK		2,035,376
	Corporate Stock - Common	ADR BIONTECH SE ADS		2,032,911
	Corporate Stock - Common	AXA SA EUR2.29		1,914,988
	Corporate Stock - Common	WAL-MART DE MEX COM NPV		1,889,199

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	Common and Preferred Stock			
	Corporate Stock - Common	LOJAS RENNER SA COM NPV		1,880,669
	Corporate Stock - Common	SANDS CHINA LTD USD0.01		1,861,008
	Corporate Stock - Common	TOKIO MARINE HOLDINGS INC NPV		1,857,469
	Corporate Stock - Common	CRH ORD EUR 0.32		1,857,015
	Corporate Stock - Common	DYNATRACE INC COM		1,832,334
	Corporate Stock - Common	ALIBABA GROUP HOLDING LTD		1,831,448
	Corporate Stock - Common	SAP SE		1,830,430
	Corporate Stock - Common	PERNOD RICARD NPV EUR 1.55		1,827,677
	Corporate Stock - Common	MINEBEA MITSUMI INC		1,826,273
	Corporate Stock - Common	FAIR ISAAC CORPORATION COM		1,804,216
	Corporate Stock - Common	PAYLOCITY HLDG CORP COM		1,769,500
	Corporate Stock - Common	ADVANCED MICRO DEVICES INC COM		1,761,255
	Corporate Stock - Common	SCHLUMBERGER LTD COM COM		1,751,094
	Corporate Stock - Common	SPOTIFY TECHNOLOGY S A COM EURO.025		1,717,873
	Corporate Stock - Common	ADR FOMENTO ECONOMICO MEXICANO SAB DE CV		1,649,970
	Corporate Stock - Common	BANCO BILBAO VIZCA EURO.49		1,635,606
	Corporate Stock - Common	NOVARTIS AG CHFO.49 (REGD)		1,595,251
	Corporate Stock - Common	ADIDAS AG		1,554,020
	Corporate Stock - Common	HUMANA INC COM		1,523,134
	Corporate Stock - Common	SCOR SE EUR7.876972		1,520,992
	Corporate Stock - Common	MAKITA CORP NPV		1,520,433
	Corporate Stock - Common	SANDOZ GROUP AG CHFO.05		1,472,618
	Corporate Stock - Common	SALESFORCE INC COM USD0.001		1,451,480
	Corporate Stock - Common	TRADEWEB MKTS INC CL A CL A		1,370,016
	Corporate Stock - Common	ADR VODAFONE GROUP PLC NEW SPONSORED ADRNO PAR		1,364,647
	Corporate Stock - Common	DOLLAR GEN CORP NEW COM		1,291,525
	Corporate Stock - Common	COUPANG INC		1,217,116
	Corporate Stock - Common	VERTEX PHARMACEUTICALS INC COM		1,190,967
	Corporate Stock - Common	KINROSS GOLD CORP COM NPV		1,132,337
	Corporate Stock - Common	AGNICO-EAGLE MINES LTD COM NPV		1,115,155
	Corporate Stock - Common	RIVIAN AUTOMOTIVE INC		1,059,055
	Corporate Stock - Common	SNAP INC SNAP INC		998,836
	Corporate Stock - Common	ADR LEGEND BIOTECH CORP SPON ADS EACH REP 2 ORD SHS		963,923
	Corporate Stock - Common	HOWMET AEROSPACE INC COM USD1.00 WI		833,448
	Corporate Stock - Common	SCHWAB CHARLES CORP COM NEW		791,200
	Corporate Stock - Common	PENUMBRA INC COM		752,608
	Corporate Stock - Common	DANAHER CORP COM		647,752
	Corporate Stock - Common	MONGODB INC CL A CL A		571,572
	Corporate Stock - Common	AFFIRM HLDGS INC CL A CL A		539,705
	Corporate Stock - Common	KERRY GROUP 'A'ORD EURO.125		487,028
	Corporate Stock - Common	PELTON INTERACTIVE INC		484,051
	Corporate Stock - Common	AURORA INNOVATION INC CL A COM		372,525
	Corporate Stock - Common	PVTPL ANT GROUP BALANCE OWED OWED 2023 BUYBACK PP		249,978

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Common and Preferred Stock				
	Corporate Stock - Common	PVTPL &&& TROWE ACCT ONLY STRIPE INC CLASS B		237,540
	Corporate Stock - Common	&&&MAGIC LEAP INC CLASS A COM STK TROWE PRICE ONLY		3,662
		Total Common and Preferred Stock		421,114,644
Interest Bearing Cash				
	Interest Bearing Cash	Euro		17,239
	Interest Bearing Cash	Euro		616
	Interest Bearing Cash	Euro		3
	Interest Bearing Cash	United States dollar		(5,552)
	Interest Bearing Cash	United States dollar		(8,177)
	Interest Bearing Cash	United States dollar		(19,627)
	Interest Bearing Cash	United States dollar		(45,659)
	Receivables - Other - USD	Pending foreign exchange purchases: British pound sterling		534,843
	Receivables - Other - USD	Pending trade sales: Euro		331,427
	Receivables - Other - USD	Pending foreign exchange purchases: Japanese yen		219,713
	Receivables - Other - USD	Pending foreign exchange purchases: United States dollar		178,850
	Receivables - Other - USD	Pending foreign exchange purchases: United States dollar		153,355
	Receivables - Other - USD	Pending foreign exchange purchases: Euro		138,199
	Receivables - Other - USD	Pending trade sales: United States dollar		49,283
	Receivables - Other - USD	Pending foreign exchange purchases: Euro		35,071
	Other Liabilities	Pending foreign exchange sales: United States dollar		(35,134)
	Other Liabilities	Pending foreign exchange sales: United States dollar		(138,583)
	Other Liabilities	Pending foreign exchange sales: Euro		(153,080)
	Other Liabilities	Pending trade purchases: Euro		(173,269)
	Other Liabilities	Pending foreign exchange sales: Euro		(178,354)
	Other Liabilities	Pending foreign exchange sales: United States dollar		(218,877)
	Other Liabilities	Pending trade purchases: Japanese yen		(219,609)
	Other Liabilities	Pending trade purchases: United States dollar		(294,747)
	Other Liabilities	Pending foreign exchange sales: United States dollar		(534,444)
	Other Liabilities	Pending trade purchases: British pound sterling		(534,840)
***	Other Liabilities	Pending trade purchases: United States dollar		(812,337)
		Total Interest Bearing Cash		(1,713,690)
Corporate and Sovereign Debt				
***	Corporate Debt Instruments - Preferred	WESTAR ENERGY INC 2.55% DUE 07-01-2026		189,494
***	Corporate Debt Instruments - Preferred	KANSAS CITY POWER & LT 3.65% DUE 08-15-2025		107,602
***	Corporate Debt Instruments - Other	MERCEDES-BENZ AUTO FIXED 4.51% DUE 11-15-2027		869,477
***	Corporate Debt Instruments - Other	WELLS FARGO COML 3.695% DUE 11-15-2048		833,821
***	Corporate Debt Instruments - Other	TOYOTA AUTO RECEIVABLES OWNER TRUST SER 23-A CL A3 4.63% DUE 09-15-2027		825,060
***	Corporate Debt Instruments - Other	FORD CREDIT AUTO LEASE TRUST SER 23-A CL A3 4.94% 03-15-2026		772,577
***	Corporate Debt Instruments - Other	VERIZON MASTER TR SR 2021-2 CL A.99% 04-20-2028		763,069
***	Corporate Debt Instruments - Other	CMO MORGAN STANLEY BAM SR 2015-C25 CL A5 3.658% 10-15-2028		724,087
***	Corporate Debt Instruments - Other	FORD CREDIT AUTO OWNER TRUST SER 22-C CL A3 4.48% DUE 12-15-2026 BEO		665,417

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	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	VOLKSWAGEN AUTO LN 5.48% DUE 12-20-2028		648,293
***	Corporate Debt Instruments - Other	NISSAN AUTO FIXED 4.46% DUE 05-17-2027		635,286
***	Corporate Debt Instruments - Other	PVTPL KUBOTA CR OWNER TR 2022-2 NT CL A-3 144A 4.09% DUE 12-15-2026 BEO		634,136
***	Corporate Debt Instruments - Other	CARMAX AUTO OWNER TRUST SER 23-1 CL A3 4.75% 10-15-2027		622,573
***	Corporate Debt Instruments - Other	HYUNDAI AUTO 5.54% DUE 10-16-2028		612,636
***	Corporate Debt Instruments - Other	FORD CREDIT AUTO OWNER TRUST SER 23-A CL A3 4.65% DUE 02-15-2028		604,209
***	Corporate Debt Instruments - Other	PVTPL T-MOBILE US TR 2022-1 SER 22-1A CL A 144A 4.91% 05-22-2028		588,811
***	Corporate Debt Instruments - Other	PVTPL CHASE AUTO OWNER TR SER 22-AA CL A3 4.22% DUE 06-25-2027 BEO		572,896
***	Corporate Debt Instruments - Other	AMERICAN EXPRESS CR ACCOUNT MASTER TR 2022-3 ASSET BACKED CL A 3.385% 08-16-2027		540,691
***	Corporate Debt Instruments - Other	BNP PARIBAS SR NON VAR RT 2.819% DUE 11-19-2025		535,978
***	Corporate Debt Instruments - Other	BANK OF AMERICA CORPORATION MTN 1.53% DUE 12-06-2025/06-06-2022 REG		528,720
***	Corporate Debt Instruments - Other	ORACLE CORP 2.5% DUE 04-01-2025 REG		522,086
***	Corporate Debt Instruments - Other	PVTPL ENTERPRISE FLEET FING LLC SR 23-3 CL A2 6.4% 03-20-2030		516,268
***	Corporate Debt Instruments - Other	PVTPL NAVIENT PRIVATE ED REFI LN TR 2021-G CL A 1.58% DUE 04-15-2070 BEO		512,772
***	Corporate Debt Instruments - Other	WELLS FARGO COML 2.674% DUE 07-15-2048		507,244
***	Corporate Debt Instruments - Other	PVTPL CHESAPEAKE FUNDING II LLC SER 23-2A CL A1 6.16% DUE 10-15-2035		500,969
***	Corporate Debt Instruments - Other	CAPITAL ONE PRIME AUTO RECEIVABLES SER 22-2 CL A3 4.14% DUE 05-17-2027 BEO		495,560
***	Corporate Debt Instruments - Other	BX TR 2022-PSB 7.76777% 08-15-2039		492,901
***	Corporate Debt Instruments - Other	BB&T BRH BKG & TR 3.625% DUE 09-16-2025		483,325
***	Corporate Debt Instruments - Other	BPR TR 2022-OANA FLTGT RT 7.21477% DUE 04-15-2037		482,931
***	Corporate Debt Instruments - Other	WORLD OMNI AUTO RECEIVABLES TR SER 23-D CL A3 5.79% 02-15-2029		477,320
***	Corporate Debt Instruments - Other	CNH EQUIP TR 2022-B ASSET BACKED NT CL A-3 3.89% 08-16-2027		471,794
***	Corporate Debt Instruments - Other	MERCEDES-BENZ AUTO RECEIVABLES SER 23-2 CL A3 5.95% 11-15-2028		467,997
***	Corporate Debt Instruments - Other	WELLS FARGO & CO MEDIUM TERM SR NTS BOOK3.526% 03-24-2028		467,744
***	Corporate Debt Instruments - Other	CNH EQUIP TR 2022-A ASSET BACKED NT CL A-3 2.83% 07-15-2027		467,579
***	Corporate Debt Instruments - Other	VOLKSWAGEN AUTO LEASE TRUST SER 23-A CL A3 5.9% DUE 10-20-2026		465,718
***	Corporate Debt Instruments - Other	BX TR 2022-GPA COML MTG PASSTHRU CTF CL A 7.48177% 08-15-2039		465,437
***	Corporate Debt Instruments - Other	PVTPL DLLAD 2021-1 LLC SR 21-1A CL A3 .64% 09-21-2026		465,200
***	Corporate Debt Instruments - Other	BX TR 2022-IND COML MTG PASSTHRU CTF CL A 6.80777% 04-15-2037		460,334
***	Corporate Debt Instruments - Other	HONDA AUTO RECEIVABLES OWNER TR SER 22-2 CL A3 3.73% DUE 07-20-2026 REG		452,914
***	Corporate Debt Instruments - Other	PVTPL FORD CR AUTO OWNER TR 2018-REV1 NTCL A 144A 3.19% DUE 07-15-2031 BEO		450,495
***	Corporate Debt Instruments - Other	FIFTH THIRD AUTO TRUST SR 23-1 CL A3 0.0% 08-15-2028		446,207
***	Corporate Debt Instruments - Other	JOHN DEERE OWNER FIXED 5.09% DUE 06-15-2027		439,991
***	Corporate Debt Instruments - Other	CMO CITIGROUP COML MTG TR SER 2016-P6 CLS A4 3.458% 12-10-2049		436,657
***	Corporate Debt Instruments - Other	PORSCHE FINL AUTO 5.79% DUE 01-22-2029		435,090
***	Corporate Debt Instruments - Other	BAXTER INTL INC FIXED 1.322% DUE 11-29-2024		433,345
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & CO SR NT FIXED/FLTGT 2.595% 02-24-2026		426,148
***	Corporate Debt Instruments - Other	CMO WELLS FARGO COML MTG TR 2016-LC24 CTF CL A-3 2.684% DUE 10-15-2049 REG		425,431
***	Corporate Debt Instruments - Other	PVTPL NELNET STUDENT LOAN TRUST SR 21-CA CL AFL FLTGT DUE 04-20-2062 BEO		420,282
***	Corporate Debt Instruments - Other	PVTPL HYUNDAI AUTO LEASE SECURITIZATION TR 202 SR 23-C CL A3 5.8% 12-15-2026		420,087
***	Corporate Debt Instruments - Other	PVTPL HYUNDAI AUTO LEASE SECURITIZATION TR 202 SR 23-A 5.05% DUE 01-15-2026		413,917
***	Corporate Debt Instruments - Other	SBNA AUTO LEASE TR 6.51% DUE 04-20-2027		412,854

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	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	VERIZON MASTER TRUST SR 22-6 CL A 3.67% 01-22-2029		411,815
***	Corporate Debt Instruments - Other	CMO WELLS FARGO COMML MTG SER 2017-C39 CL A4 3.157% 09-15-2050		408,110
***	Corporate Debt Instruments - Other	PVTPL ENTERPRISE FLEET FINANCING LLC SER 22-3 CL A2 4.38% DUE 07-20-2029 REG		405,335
***	Corporate Debt Instruments - Other	AMERICREDIT AUTOMOBILE RECEIVABLES TR 20NT CL A-3 4.38% DUE 04-18-2028 REG		401,066
***	Corporate Debt Instruments - Other	CMO GS MTG SECS TR SER 2017-GS5 CL A3 3.409% 03-10-2050		391,993
***	Corporate Debt Instruments - Other	SUMITOMO MITSUI FINL GROUP INC 1.402% 09-17-2026		391,763
***	Corporate Debt Instruments - Other	HSBC HLDGS PLC FLTG RT 2.633% DUE 11-07-2025		390,034
***	Corporate Debt Instruments - Other	GMF FLOORPLAN 5.34% DUE 06-15-2028		389,814
***	Corporate Debt Instruments - Other	VERIZON MASTER TR 5.42% DUE 04-20-2028		389,291
***	Corporate Debt Instruments - Other	ALLY AUTO RECEIVABLES TRUST SER 22-2 CL A3 0.0% DUE 05-17-2027 BEO		388,345
***	Corporate Debt Instruments - Other	WORLD OMNI AUTO 5.61% DUE 02-15-2028		387,958
***	Corporate Debt Instruments - Other	TAUBMAN CTRS COMML FLTG RT 3.46465% DUE 05-15-2037		387,673
***	Corporate Debt Instruments - Other	TOYOTA AUTO RECEIVABLES OWNER TRUST SER 22-D CL A3 5.32% DUE 09-15-2027		386,994
***	Corporate Debt Instruments - Other	CMO GS MTG SECS TR 2017-GS6 SER 2017-GS6 3.164% DUE 5-10-50 REG		383,628
***	Corporate Debt Instruments - Other	GOLDMAN SACHS GROUP INC .657% DUE 09-10-2024 BEO		379,391
***	Corporate Debt Instruments - Other	GM FINANCIAL SECURITIZED TERM SER 22-4 CL A3 4.82% DUE 08-16-2027 REG		378,563
***	Corporate Debt Instruments - Other	PVTPL WHEELS FLEET LEASE FUNDING 1 LLC SER 23-1A CL A 5.8% DUE 04-18-2028		376,085
***	Corporate Debt Instruments - Other	VERIZON MASTER TR SER 23-7 CL A1A 0.0567% 11-20-2029		375,096
***	Corporate Debt Instruments - Other	JOHN DEERE OWNER TR 2022-B ASSET BACKED NT CL A-3 3.74% 02-16-2027		373,865
***	Corporate Debt Instruments - Other	CITIZENS AUTO 5.84% DUE 01-18-2028		370,200
***	Corporate Debt Instruments - Other	GOLDMAN SACHS GROUP INC .925% DUE 10-21-2024 BEO		369,534
***	Corporate Debt Instruments - Other	SPIRE MO INC 1ST MTG BD FLTG RATE SER 5.838722% 12-02-2024		369,495
***	Corporate Debt Instruments - Other	COMM 2016-COR1 MTG 2.826% DUE 10-10-2049		369,482
***	Corporate Debt Instruments - Other	MMAF EQUIP FIN LLC 2021-A 1.04% 11-13-2030		369,024
***	Corporate Debt Instruments - Other	GM FINANCIAL SECURITIZED TERM SER 23-2 CL A3 4.47% DUE 02-16-2028		367,669
***	Corporate Debt Instruments - Other	HONDA AUTO RECEIVABLES OWNER TRUST SER 23-4 CL A3 5.67% 06-21-2028		367,630
***	Corporate Debt Instruments - Other	LIFE 2022-BMR2 MTG TR 6.61201% 05-15-2039		366,563
***	Corporate Debt Instruments - Other	NELNET STUDENT LN TR 2021-D PVT ED LN BKD NTS CL A-FL 6.12456% 04-20-2062		363,354
***	Corporate Debt Instruments - Other	PVTPL DLLAD LLC SER 23-1A CL A3 4.79% 01-20-2028		362,694
***	Corporate Debt Instruments - Other	CMO CITIGROUP COMML MTG TR 2015-GC29 SER 15-GC29 CL A4 3.192% DUE 04-10-2048 REG		362,337
***	Corporate Debt Instruments - Other	GM FINANCIAL SECURITIZED TERM SER 23-1 CL A3 4.66% DUE 02-16-2028		358,769
***	Corporate Debt Instruments - Other	MISSISSIPPI HIGHER ED ASSISTANCE CORP SER 2014-1 CL A-1 FLTG RT 10-25-2035		358,718
***	Corporate Debt Instruments - Other	CONSUMERS 2023 SECURITIZATION FDG 5.21% 09-01-2031		358,308
***	Corporate Debt Instruments - Other	ROYAL BK CDA 3.97% DUE 07-26-2024		356,930
***	Corporate Debt Instruments - Other	BMW VEHICLE LEASE TRUST SER 23-2 CL A3 6.18% 09-25-2026		355,065
***	Corporate Debt Instruments - Other	WORLD OMNI AUTO RECEIVABLES TRUST SER 23-B CL A3 4.66% DUE 05-15-2028		353,763
***	Corporate Debt Instruments - Other	MORGAN STANLEY FIXED .79% DUE 05-30-2025		351,953
***	Corporate Debt Instruments - Other	TOYOTA LEASE OWNER 5.66% DUE 11-20-2026		350,088
***	Corporate Debt Instruments - Other	PVTPL DLLAA 2021-1 LLC NT CL A-3 144A .67% DUE 04-17-2026 BEO		348,319
***	Corporate Debt Instruments - Other	NISSAN AUTO 5.96% DUE 10-15-2030		347,537
***	Corporate Debt Instruments - Other	HPEFS EQUIP TR 3.76% DUE 09-20-2029		346,214
***	Corporate Debt Instruments - Other	CMO COMM SER 2014-CR18 CL A-5 3.828 DUE 07-15-2047		346,089

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	Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Cost **	Current Value
	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	PVTP BX COMMERCIAL MORTGAGE TRUST 2022-C SR 2022-CSMO CL A FRN 144A 06-15-2027		345,649
***	Corporate Debt Instruments - Other	ONCOR ELEC DELIVERY CO LLC CORP 2.75% 06-01-2024		345,630
***	Corporate Debt Instruments - Other	NISSAN AUTO RECEIVABLES OWNER TRUST SER 23-A CL A3 4.91% DUE 11-15-2027		345,153
***	Corporate Debt Instruments - Other	CITIZENS AUTO 5.83% DUE 02-15-2028		344,886
***	Corporate Debt Instruments - Other	CMO UBS COML MTG TR SER 2017-C3 CL A3 3.167% 08-15-2050		344,508
***	Corporate Debt Instruments - Other	WFRBS COML MTG TR 3.60700011253% DUE 11-15-2047		341,807
***	Corporate Debt Instruments - Other	HYUNDAI AUTO 4.58% DUE 04-15-2027		338,110
***	Corporate Debt Instruments - Other	MORGAN STANLEY 2.72% DUE 07-22-2025		334,407
***	Corporate Debt Instruments - Other	CARMAX AUTO OWNER 3.49% DUE 02-16-2027		333,706
***	Corporate Debt Instruments - Other	JP MORGAN CHASE BK NA 5.11% 12-08-2026		333,124
***	Corporate Debt Instruments - Other	CARMAX AUTO OWNER 3.97% DUE 04-15-2027		330,546
***	Corporate Debt Instruments - Other	MERCEDES-BENZ AUTO LEASE TRUST SER 23-A CL A3 4.74% DUE 01-15-2027		329,490
***	Corporate Debt Instruments - Other	BK AMER AUTO TR 5.74% DUE 06-15-2028		326,201
***	Corporate Debt Instruments - Other	US BANCORP 4.548% 07-22-2028		325,366
***	Corporate Debt Instruments - Other	HONDA AUTO RECEIVABLES OWNER TRUST SER 23-3 CL A3 5.41% 02-18-2028		324,231
***	Corporate Debt Instruments - Other	EXTENDED STAY AMER TR 2021-ESH MTG PASS THRU CTF CL A 144A 6.51148% 07-15-2038		323,630
***	Corporate Debt Instruments - Other	CMO JPMCC COML MTG SECS 2015-JP1 CL A4 3.6498% 01-15-2049		320,866
***	Corporate Debt Instruments - Other	PVTP DELL EQUIP FIN TR 2014-1 SR 2023-3CL A3 6.35% DUE 04-23-2029		320,863
***	Corporate Debt Instruments - Other	PVTP ENTERPRISE FLEET FIN 2021-1 5.51% SER 23-1 CL A2 01-22-2029		319,814
***	Corporate Debt Instruments - Other	PVTP TESLA ELEC VEH TR 2023-1 SER 23-1 CL A3 5.38% 06-20-2028		317,929
***	Corporate Debt Instruments - Other	MORGAN STANLEY BK 2.84% DUE 11-15-2049		317,340
***	Corporate Debt Instruments - Other	BANK AMER CORP FLTGT RT 5.933% DUE 09-15-2027		316,433
***	Corporate Debt Instruments - Other	FISERV INC 2.75% DUE 07-01-2024		315,198
***	Corporate Debt Instruments - Other	WORLD OMNI AUTO RECEIVABLES TR 2022-C SR22-C CL A3 4.21% DUE 10-15-2027 REG		314,260
***	Corporate Debt Instruments - Other	TOYOTA AUTO LN 1.35% DUE 05-25-2033		313,243
***	Corporate Debt Instruments - Other	BK OF AMER CR CARD SER 22-A2 CL A2 FIXED 5% DUE 04-17-2028		311,885
***	Corporate Debt Instruments - Other	WEC ENERGY GROUP INC 0.8% DUE 03-15-2024		306,834
***	Corporate Debt Instruments - Other	ALLY AUTO RECEIVABLES TRUST SER 22-3 CL A3 5.07% DUE 04-15-2027 REG		304,888
***	Corporate Debt Instruments - Other	DBJPM 2016-C1 MTG 3.015% DUE 05-10-2049		303,105
***	Corporate Debt Instruments - Other	NAVIENT STUDENT LN TR 2021-1 6.03822% 12-26-2069		303,070
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & FLTGT RT .969% DUE 06-23-2025		302,768
***	Corporate Debt Instruments - Other	WELLS FARGO COML MTG TR 2016-NXS6 COML MTG PASSTHRU CTF CL 2.642% 11-15-2049		301,650
***	Corporate Debt Instruments - Other	JPMDB COML MTG SECS TR 2016-C4 CL A-2 2.8822% 9-15-2026		301,203
***	Corporate Debt Instruments - Other	CMO CSAIL 2016-C5 COML MTG TR PASSTHRU CTF CL A-5 3.7567 DUE 11-15-25 REG		297,235
***	Corporate Debt Instruments - Other	TOYOTA AUTO 3.76% DUE 04-15-2027		294,987
***	Corporate Debt Instruments - Other	TOWD PT MTG TR 2021-1 NT CL A1 144A 2.25% 11-25-2061		291,819
***	Corporate Debt Instruments - Other	WFRBS COML MTG TR 2014-C25 MTG PASS THRU CTF CL A-4 3.365% 11-15-2047		289,124
***	Corporate Debt Instruments - Other	DISCOVER CARD EXECUTION NT TR SER 22-A4 CL A 4.612% DUE 10-15-2027 REG		286,162
***	Corporate Debt Instruments - Other	AMERICAN EXPRESS CR ACCOUNT MASTER TR SER 23-3 CL A 5.23% 09-15-2028		284,636
***	Corporate Debt Instruments - Other	MORGAN STANLEY .791% DUE 01-22-2025/07-20-2021		279,176
***	Corporate Debt Instruments - Other	PVTP MMAF EQUIP FIN LLC 2021-A ASSET BACKED NT CL A-3 144A .56% 06-13-2028		278,746
***	Corporate Debt Instruments - Other	RABOBANK NEDERLAND 3.649% DUE 04-06-2028		276,580

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	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	TORONTO-DOMINION BANK TRANCHE # TR 005561.2% 06-03-2026		275,525
***	Corporate Debt Instruments - Other	BANK OF AMERICA CORPORATION MTN 3.384% DUE 04-02-2026		272,360
***	Corporate Debt Instruments - Other	GM FINANCIAL SECURITIZED TERM SR 23-4 CLA3 5.78% 08-16-2028		271,587
***	Corporate Debt Instruments - Other	U S BANCORP 6.787% 10-26-2027		271,522
***	Corporate Debt Instruments - Other	PVTPL ENTERPRISE FLEET FING 2023-2 LLC SRS 23-2 CLS A2 5.56% 04-22-2030		270,750
***	Corporate Debt Instruments - Other	PVTPL NELNET STUDENT LN TR SER 21-BA CL AFL FLTG 04-20-2062		269,563
***	Corporate Debt Instruments - Other	MITSUBISHI UFJ 4.788% DUE 07-18-2025		268,734
***	Corporate Debt Instruments - Other	CARMAX AUTO OWNER TRUST SER 23-3 CL A3 6% 05-15-2028		267,897
***	Corporate Debt Instruments - Other	CMO DBJPM SER 2016-C3 CL A4 2.632% 09-10-2049		263,869
***	Corporate Debt Instruments - Other	BOEING CO 4.875% DUE 05-01-2025		263,695
***	Corporate Debt Instruments - Other	BLACK HILLS CORP 1.037% DUE 08-23-2024 BEO		262,015
***	Corporate Debt Instruments - Other	AMERICAN EXPRESS CREDIT ACCOUNT MASTER TRUST SER 23-1 CL A 4.87% DUE 05-15-2028		261,872
***	Corporate Debt Instruments - Other	CDN PAC RY CO NEW FIXED 1.35% DUE 12-02-2024		260,055
***	Corporate Debt Instruments - Other	CITIGROUP INC NT FXD/FLTG 2.014% 01-25-2026		259,479
***	Corporate Debt Instruments - Other	NELNET STUDENT LN TR 2021-A 1.36% 04-20-2062		258,320
***	Corporate Debt Instruments - Other	SCHWAB CHARLES CORP NEW 5.875% 08-24-2026		256,464
***	Corporate Debt Instruments - Other	CHESAPEAKE FUNDING II LLC 2023-1 AST BACKED NT CL A-1 5.65% 05-15-2035		254,996
***	Corporate Debt Instruments - Other	WHEELS FLEET LEASE 6.46% DUE 08-18-2038		253,049
***	Corporate Debt Instruments - Other	CMO WELLS FARGO COML MTG SER 2015-LC22 CL A 3.839% 09-15-2058		252,064
***	Corporate Debt Instruments - Other	HP ENTERPRISE CO 5.9% 10-01-2024		250,666
***	Corporate Debt Instruments - Other	PVTPL WMRK 2022-WMRK A SER 22-WMRK CL A FLTG RT 11-15-2027		249,998
***	Corporate Debt Instruments - Other	KEYBANK NATIONAL ASSOCIATION OH TRANCHE # TR 798 11/15/2022 5.85 11-15-2027		249,968
***	Corporate Debt Instruments - Other	CITIGROUP COML MTG 3.855% DUE 05-10-2047		248,691
***	Corporate Debt Instruments - Other	MFRS & TRADERS TR CO BK NT PROGRAM 5.4% DUE 11-21-2025/10-21-2025		248,368
***	Corporate Debt Instruments - Other	HUNTINGTON NATL BK MD 4.008% DUE 05-16-2025 BEO		246,297
***	Corporate Debt Instruments - Other	WELLS FARGO COML 3.19% DUE 07-15-2050		245,391
***	Corporate Debt Instruments - Other	NORTHROP GRUMMAN 2.93% DUE 01-15-2025		244,303
***	Corporate Debt Instruments - Other	HALEON UK CAPITAL PLC 3.125% 03-24-2025		244,171
***	Corporate Debt Instruments - Other	PVTPL UBS GROUP AG 1.494% 08-10-2027		244,063
***	Corporate Debt Instruments - Other	CITIZENS BK NA PROVIDENCE RI 4.119% 05-23-2025		243,989
***	Corporate Debt Instruments - Other	AMERN EXPRESS CO FLTG RT 5.389% DUE 07-28-2027		242,889
***	Corporate Debt Instruments - Other	NELNET STUDENT LN TR 2004-4 ASSET BKD NTCL A-5 FLTG 01-25-2037 REG		242,014
***	Corporate Debt Instruments - Other	J P MORGAN CHASE COML MTG SECS TR COML MTG PASS THRU CTF CL A 6.746% 03-15-2039		241,616
***	Corporate Debt Instruments - Other	BPCE S A MEDIUM 1.625% DUE 01-14-2025		240,815
***	Corporate Debt Instruments - Other	CMO CSAIL COML MTG TR SER 2015-C4 CL A3 3.5438% 11-15-2048		240,716
***	Corporate Debt Instruments - Other	WELLS FARGO & CO 4.808% 07-25-2028		238,332
***	Corporate Debt Instruments - Other	NTT FIN CORP .583% 03-01-2024		238,058
***	Corporate Debt Instruments - Other	RABOBANK NEDERLAND 1.339% DUE 06-24-2026		235,691
***	Corporate Debt Instruments - Other	JPMBB COML MTG 3.7697% DUE 12-15-2048		231,414
***	Corporate Debt Instruments - Other	NAVIENT PVT ED 4.16% DUE 10-15-2070		230,841
***	Corporate Debt Instruments - Other	HEALTH CARE SVC CORP 1.5% 06-01-2025		227,831
***	Corporate Debt Instruments - Other	NAVIENT PVT ED REFI LN TR 2021-E PVT ED LN BACKED NT CL A .97% 12-16-2069		226,157

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	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	GEORGIA-PAC LLC 1.75% DUE 09-30-2025		222,424
***	Corporate Debt Instruments - Other	GM FINANCIAL AUTOMOBILE LEASING TRU SER 23-1 CL A3 5.16% DUE 04-20-2026		219,984
***	Corporate Debt Instruments - Other	WEYERHAEUSER CO 4.75% 05-15-2026		219,025
***	Corporate Debt Instruments - Other	PVTPL TOYOTA AUTO LN EXTD NT TR 2021-1 NT CL A 144A VAR RT DUE 02-27-2034 BEO		216,563
***	Corporate Debt Instruments - Other	COMM 2016-CCRE28 3.762% DUE 02-10-2049		216,311
***	Corporate Debt Instruments - Other	RELIANCE INDS LTD 1.87% DUE 01-15-2026		215,782
***	Corporate Debt Instruments - Other	PACIFICORP 3.35% DUE 07-01-2025		214,058
***	Corporate Debt Instruments - Other	GM FINANCIAL SECURITIZED TERM SER 21-2 CL A3 .51% 04-16-2026		211,125
***	Corporate Debt Instruments - Other	PVTPL DLLMT 2021-1 LLC DLLMT 2021-1A A3 1% DUE 07-21-2025 BEO		211,094
***	Corporate Debt Instruments - Other	WARNERMEDIA HLDGS INC SR NT 3.755% 03-15-2027		210,969
***	Corporate Debt Instruments - Other	BANK NEW YORK MELLON CORP 4.947% DUE 04-26-2027		210,115
***	Corporate Debt Instruments - Other	VERIZON MASTER TR SR 22-7 CL A1A 5.23% 11-22-2027		209,995
***	Corporate Debt Instruments - Other	PVTPL SFS AUTO RECEIVABLES SEC SR 23-1A CL A3 0.0% 10-20-2028		207,137
***	Corporate Debt Instruments - Other	HCP INC FIXED 4% DUE 06-01-2025		205,954
***	Corporate Debt Instruments - Other	WELLS FARGO & CO VAR RT 3.908% DUE 04-25-2026		205,848
***	Corporate Debt Instruments - Other	PVTPL DLLMT 2023-1 LLC SR 23-1A CLS A3 5.34% 03-22-2027		204,838
***	Corporate Debt Instruments - Other	MORGAN STANLEY BK FLTGT RT 3.72% DUE 12-15-2049		204,252
***	Corporate Debt Instruments - Other	PVTPL MET TOWER GLOBAL FUNDING 5.4% 06-20-2026		203,067
***	Corporate Debt Instruments - Other	HPEFS EQUIP TR 1.38% DUE 05-21-2029		202,552
***	Corporate Debt Instruments - Other	WILLIAMS COMPANIES INC 5.4% DUE 03-02-2026		202,095
***	Corporate Debt Instruments - Other	HSBC HLDGS PLC FLTGT RT 2.251% DUE 11-22-2027		202,023
***	Corporate Debt Instruments - Other	PVTPL PRINCIPAL LIFE GLOBAL FDG II 1.375% DUE 01-10-2025 BEO		201,649
***	Corporate Debt Instruments - Other	CITIGROUP INC 5.61% 09-29-2026		201,505
***	Corporate Debt Instruments - Other	BK NOVA SCOTIA B C FIXED 5.25% DUE 12-06-2024		199,847
***	Corporate Debt Instruments - Other	PNC FINL SVCS GROUP INC 4.758% 01-26-2027		198,507
***	Corporate Debt Instruments - Other	PVTPL MONDELEZ INTL HLDGS NETH B V 4.25% DUE 09-15-2025 BEO		197,549
***	Corporate Debt Instruments - Other	HSBC HLDGS PLC 4.18% DUE 12-09-2025 REG		197,308
***	Corporate Debt Instruments - Other	HSBC HLDGS PLC .976% DUE 05-19-2025 REG		195,936
***	Corporate Debt Instruments - Other	PVTPL VOLKSWAGEN GROUP AMER FIN LLC 3.95% 06-06-2025		195,894
***	Corporate Debt Instruments - Other	GENERAL MTRS FINL CO INC 3.8% 04-07-2025		195,812
***	Corporate Debt Instruments - Other	PVTPL CRH AMERICA INC BNDS 3.875% DUE 05-18-2025 BEO		195,672
***	Corporate Debt Instruments - Other	ETHIOPIAN LEASING 2.646% DUE 05-12-2026		195,423
***	Corporate Debt Instruments - Other	MERCEDES BENZ AUTO RECEIVABLES TR SER 22-1 CL A3 5.21% 08-16-2027		195,277
***	Corporate Debt Instruments - Other	ENERGY TRANSFER L P 6.05% 12-01-2026		195,269
***	Corporate Debt Instruments - Other	PVTPL BAYER US FIN II LLC 4.25% 12-15-2025		194,927
***	Corporate Debt Instruments - Other	MITSUBISHI UFJ .953% DUE 07-19-2025		194,887
***	Corporate Debt Instruments - Other	INGERSOLL-RAND 3.5% DUE 03-21-2026		194,454
***	Corporate Debt Instruments - Other	PVTPL TOYOTA AUTO LOAN EXTENDED NOTE 3.82% DUE 04-25-2035 BEO		194,333
***	Corporate Debt Instruments - Other	FIFTH THIRD BANCORP 2.375% DUE 01-28-2025 REG		193,396
***	Corporate Debt Instruments - Other	CSAIL 2015-C4 COML 3.8079% DUE 11-15-2048		193,324
***	Corporate Debt Instruments - Other	5TH 3RD BK CIN OH 3.85% DUE 03-15-2026		192,402
***	Corporate Debt Instruments - Other	ANGLO AMERN CAP 4% DUE 09-11-2027		192,255

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***	Corporate Debt Instruments - Other	ERP OPER LTD 3.25% DUE 08-01-2027		190,128
***	Corporate Debt Instruments - Other	MITSUBISHI UFJ FIXED 1.412% DUE 07-17-2025		188,766
***	Corporate Debt Instruments - Other	ROCHESTER GAS & 3.1% DUE 06-01-2027		188,716
***	Corporate Debt Instruments - Other	AT&T INC .9% DUE 03-25-2024 BEO		187,906
***	Corporate Debt Instruments - Other	GOLDMAN SACHS GROUP INC 4.482% 08-23-2028		186,827
***	Corporate Debt Instruments - Other	INTL BUSINESS 2.2% DUE 02-09-2027		186,302
***	Corporate Debt Instruments - Other	PEACEHEALTH 1.375% DUE 11-15-2025		185,812
***	Corporate Debt Instruments - Other	PVTPL NEW YORK LIFE GLOBAL FDG SR SECD NT 5.45% 09-18-2026		184,055
***	Corporate Debt Instruments - Other	AMERICAN EXPRESS CO 2.25% DUE 03-04-2025BEO		183,854
***	Corporate Debt Instruments - Other	GE HEALTHCARE HLDG LLC GTD SR NT 5.6% 11-15-2025		181,626
***	Corporate Debt Instruments - Other	PNC FINL SVCS FLTGT RT 5.812% DUE 06-12-2026		181,110
***	Corporate Debt Instruments - Other	AT&T INC STEP CPN 6.85208% DUE 06-12-2024		180,625
***	Corporate Debt Instruments - Other	CARRIER GLOBAL CORP 2.242% 02-15-2025		179,299
***	Corporate Debt Instruments - Other	AT&T INC 1.65% DUE 02-01-2028		178,251
***	Corporate Debt Instruments - Other	PVTPL KUBOTA CR OWNER TR 2021-1 NT CL A-3 144A .62% DUE 08-15-2025 BEO		177,175
***	Corporate Debt Instruments - Other	CITIGROUP INC NT FIXED / FLTGT RATE .981%05-01-2025		176,955
***	Corporate Debt Instruments - Other	FORD CR AUTO OWNER 3.88% DUE 11-15-2034		175,215
***	Corporate Debt Instruments - Other	CAP 1 PRIME AUTO 5.82% DUE 06-15-2028		174,728
***	Corporate Debt Instruments - Other	ENTERPRISE FLEET 5.76% DUE 10-22-2029		174,690
***	Corporate Debt Instruments - Other	L3HARRIS TECHNOLOGIES INC 5.4% 01-15-2027		173,618
***	Corporate Debt Instruments - Other	MID-AMERICA APTS L 3.75% DUE 06-15-2024		173,249
***	Corporate Debt Instruments - Other	STATE STREET CORP 1.746% 02-06-2026		172,981
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & CO 1.47% 09-22-2027		172,172
***	Corporate Debt Instruments - Other	MIDAMERICAN ENERGY 3.1% DUE 05-01-2027		172,150
***	Corporate Debt Instruments - Other	VERIZON MASTER TR SR 23-4 CL A1A 5.16% 06-20-2029		172,078
***	Corporate Debt Instruments - Other	GOLDMAN SACHS GROUP INC 5.798% DUE 08-10-2026		171,675
***	Corporate Debt Instruments - Other	CITIGROUP COML MTG 3.137% DUE 02-10-2048		170,755
***	Corporate Debt Instruments - Other	BA CREDIT CARD TRUST SR 23-A1 CL A1 4.79% 05-15-2028		170,645
***	Corporate Debt Instruments - Other	PVTPL CMO INTOWN 2022-STAY MTG TR SER 22-STAY CLS A FLTGT RT 08-15-2037		170,533
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & CO NT FIXED TO FLTGT RATE 4.323% 04-26-2028		167,582
***	Corporate Debt Instruments - Other	MPLX LP 4% DUE 02-15-2025		167,402
***	Corporate Debt Instruments - Other	PHILLIPS 66 3.85% DUE 04-09-2025		167,263
***	Corporate Debt Instruments - Other	BANK OF AMERICA CORPORATION 2.551% DUE 02-04-2028 BEO		166,851
***	Corporate Debt Instruments - Other	INTST PWR & LT CO 3.25% DUE 12-01-2024		166,463
***	Corporate Debt Instruments - Other	PPG INDUSTRIES 1.2% DUE 03-15-2026		166,434
***	Corporate Debt Instruments - Other	REVVITY INC SR NT .85% 09-15-2024		164,103
***	Corporate Debt Instruments - Other	GENERAL MTRS FINL CO INC 1.2% DUE 10-15-2024 BEO		164,043
***	Corporate Debt Instruments - Other	TOYOTA MTR CR CORP 5.4% 11-20-2026		163,841
***	Corporate Debt Instruments - Other	PVTPL DAIMLER TRUCKS 1.625% 12-13-2024		163,748
***	Corporate Debt Instruments - Other	JPMDB COML MTG 3.1439% DUE 06-15-2049		163,673
***	Corporate Debt Instruments - Other	WEC ENERGY GROUP INC 5.6% 09-12-2026		162,888
***	Corporate Debt Instruments - Other	ALEXANDRIA REAL 4.3% DUE 01-15-2026		157,493

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***	Corporate Debt Instruments - Other	WILLIAMS PARTNERS 3.9% DUE 01-15-2025		157,454
***	Corporate Debt Instruments - Other	ASTRAZENECA FIN LLC .7% DUE 05-28-2024 BEO		156,904
***	Corporate Debt Instruments - Other	TRUIST FINL CORP SR 4.26% 07-28-2026		156,709
***	Corporate Debt Instruments - Other	BAE SYS HLDGS INC 3.85% DUE 12-15-2025		156,507
***	Corporate Debt Instruments - Other	BANK AMER CORP 4.376% 04-27-2028		156,449
***	Corporate Debt Instruments - Other	PVTPL TOWD PT MTG TR SER 18-3 CL A1 FLTG 05-25-2058		156,374
***	Corporate Debt Instruments - Other	PVTPL CHESAPEAKE FDG II LLC SER 2021-1A CL A-1 0.47% DUE 04-15-2033 BEO		155,720
***	Corporate Debt Instruments - Other	NELNET STUDENT LN TR 2021-A 6.23456% 04-20-2062		155,697
***	Corporate Debt Instruments - Other	PVTPL ENTERPRISE FLEET FING 2022-2 LLC SR 22-2 CL A2 4.65% DUE 05-21-2029 BEO		155,266
***	Corporate Debt Instruments - Other	WORLD OMNI AUTOMOBILE LEASE SECURITIZATISR 23-A CL A-3 5.07% DUE 09-15-2026		154,976
***	Corporate Debt Instruments - Other	PVTPL PRICOA GLOBAL FUNDING I 5.55% 08-28-2026		153,156
***	Corporate Debt Instruments - Other	PVTPL EAST OHIO GAS CO 1.3% DUE 06-15-2025/06-16-2020 BEO		151,265
***	Corporate Debt Instruments - Other	PVTPL GUARDIAN LIFE GLOBAL FDG SR SECD MEDIUM 1.1% DUE 06-23-2025 BEO		151,009
***	Corporate Debt Instruments - Other	PVTPL DAIMLER TRUCK FIN NORTH AMER LLC NT 5.6% 08-08-2025		150,992
***	Corporate Debt Instruments - Other	PVTPL NAVIENT STUDENT LN TR 2014-1 SR 22-A CL A 2.23% 07-15-2070		150,537
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & CO. 4.851% DUE 07-25-2028		150,154
***	Corporate Debt Instruments - Other	STATE STR CORP 2.203% 02-07-2028		148,681
***	Corporate Debt Instruments - Other	AIG GLOBAL FDG SR .9% DUE 09-22-2025		148,547
***	Corporate Debt Instruments - Other	WELLS FARGO & COMPANY 4.54% 08-15-2026		148,431
***	Corporate Debt Instruments - Other	J P MORGAN CHASE 3.8046% DUE 07-15-2047		148,271
***	Corporate Debt Instruments - Other	DTE ENERGY CO 4.22% 11-01-2024		148,245
***	Corporate Debt Instruments - Other	PUB SVC ELEC GAS FIXED 3% DUE 05-15-2025		146,388
***	Corporate Debt Instruments - Other	PVTPL PROTECTIVE LIFE GLOBAL FDG MEDIUM TERM N 3.218% DUE 03-28-2025 BEO		146,315
***	Corporate Debt Instruments - Other	PROTECTIVE LIFE 1.646% DUE 01-13-2025		144,221
***	Corporate Debt Instruments - Other	PAC LIFE GLOBAL 1.2% DUE 06-24-2025		142,289
***	Corporate Debt Instruments - Other	FMC CORP 3.2% DUE 10-01-2026		141,923
***	Corporate Debt Instruments - Other	PIONEER NATURAL RESOURCES 5.1% DUE 03-29-2026		141,068
***	Corporate Debt Instruments - Other	JOHN DEERE OWNER TRUST .52% SER 21-B CL A3 03-16-2026		139,309
***	Corporate Debt Instruments - Other	CDN NAT RES LTD 3.8% DUE 04-15-2024		139,179
***	Corporate Debt Instruments - Other	PARKER-HANNIFIN FIXED 3.65% DUE 06-15-2024		138,655
***	Corporate Debt Instruments - Other	NXP B V/NXP FDG LLC/NXP USA INC 4.4% DUE 06-01-2027 BEO		138,257
***	Corporate Debt Instruments - Other	NORTHWESTERN CORP 1.0% DUE 03-26-2024 BEO		138,214
***	Corporate Debt Instruments - Other	BANK OF NOVA SCOTIA 3.45% 04-11-2025		136,996
***	Corporate Debt Instruments - Other	BANK NOVA SCOTIA B C 1.3% DUE 09-15-2026 BEO		136,661
***	Corporate Debt Instruments - Other	PVTPL EMD FINANCE LLC 3.25% DUE 03-19-2025 BEO		136,651
***	Corporate Debt Instruments - Other	PVTPL DELL EQUIPMENT FINANCE TRUST SER 23-2 CL A3 5.65% DUE 01-22-2029		136,623
***	Corporate Debt Instruments - Other	SEMPRA ENERGY 3.3% 04-01-2025		136,610
***	Corporate Debt Instruments - Other	BX COML MTG TR FLTG RT 6.13125% DUE 09-15-2036		136,396
***	Corporate Debt Instruments - Other	INTST PWR & LT CO 3.4% DUE 08-15-2025		136,286
***	Corporate Debt Instruments - Other	HELIOS LEASING I 1.825 DUE 05-16-2025		134,026
***	Corporate Debt Instruments - Other	RTX CORP 5.75% 11-08-2026		133,527
***	Corporate Debt Instruments - Other	PVTPL GULFSTREAM NAT GAS SYS LLC SR NT 144A 4.6% DUE 09-15-2025/09-24-2015 BEO		132,508

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	Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Cost **	Current Value
	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	PVTPL TOWD POINT MORTGAGE TRUST ABS SR 18-6 CL A1A VAR 03/25/2058		130,323
***	Corporate Debt Instruments - Other	AMPHENOL CORP NEW 2.05% DUE 03-01-2025		130,304
***	Corporate Debt Instruments - Other	AMERN EXPRESS CO FLTG RT 4.99% DUE 05-01-2026		129,647
***	Corporate Debt Instruments - Other	PVTPL 7-ELEVEN INC SR NT .8% 02-10-2024		129,262
***	Corporate Debt Instruments - Other	CITIGROUP INC 4.658% DUE 05-24-2028 BEO		129,193
***	Corporate Debt Instruments - Other	NUCOR CORP SR NT 4.3% 05-23-2027		128,802
***	Corporate Debt Instruments - Other	BANK MONTREAL QUE SR MEDIUM TERM NT SER H 4.25% DUE 09-14-2024		128,774
***	Corporate Debt Instruments - Other	BK NEW YORK MELLON FLTG RT 4.414% DUE 07-24-2026		128,644
***	Corporate Debt Instruments - Other	WESTROCK CO CORP BOND 3.75% 03-15-2025		127,418
***	Corporate Debt Instruments - Other	KEYCORP MEDIUM TERM SR NTS BOOK ENTRY 3.878% DUE 05-23-2025		127,088
***	Corporate Debt Instruments - Other	PVTPL TOWD PT MTG TR 2017-6 NT CL A1 VAR RT DUE 10-25-2057 BEO		126,798
***	Corporate Debt Instruments - Other	CAPITAL ONE FINL CORP 2.636% 03-03-2026		124,586
***	Corporate Debt Instruments - Other	ENBRIDGE INC 5.9% 11-15-2026		123,258
***	Corporate Debt Instruments - Other	COMM 2014-CCRE19 MTG TR SER 2014-CR19 CL ASB 3.499% DUE 08-10-2047		122,743
***	Corporate Debt Instruments - Other	SUTTER HEALTH 1.321% DUE 08-15-2025		121,819
***	Corporate Debt Instruments - Other	GENERAL MTRS FINL CO INC 6.05% 10-10-2025		121,391
***	Corporate Debt Instruments - Other	NAVISTAR FINL 6.18% DUE 08-25-2028		121,173
***	Corporate Debt Instruments - Other	NUTRIEN LTD 5.9% DUE 11-07-2024 BEO		120,317
***	Corporate Debt Instruments - Other	FED RLTY INVT TR 1.25% DUE 02-15-2026		120,017
***	Corporate Debt Instruments - Other	FMC CORP 5.15% 05-18-2026		119,878
***	Corporate Debt Instruments - Other	BANK OF NOVA SCOTIA 4.75% DUE 02-02-2026		119,765
***	Corporate Debt Instruments - Other	BOCA COML MTG TR FLTG RT 7.08637% DUE 05-15-2039		119,324
***	Corporate Debt Instruments - Other	PVTPL MONONGAHELA PWR CO 1ST MTG BD 144A4.1% DUE 04-15-2024/01-15-2024 BEO		119,182
***	Corporate Debt Instruments - Other	ENTERPRISE PRODS 3.95% DUE 02-15-2027		118,120
***	Corporate Debt Instruments - Other	ALBEMARLE CORP 4.65% 06-01-2027		117,903
***	Corporate Debt Instruments - Other	CNH INDL CAP LLC 3.95% 05-23-2025		117,890
***	Corporate Debt Instruments - Other	REALTY INCOME CORP 4.125% 10-15-2026		117,761
***	Corporate Debt Instruments - Other	BANK MONTREAL QUE MEDIUM TERM SR NT SER H USD 3.7% DUE 06-07-2025		117,609
***	Corporate Debt Instruments - Other	KIMCO RLTY CORP 3.3% DUE 02-01-2025		117,436
***	Corporate Debt Instruments - Other	HONDA AUTO RECEIVABLES OWNER TR SER 22-2 CL A4 3.76% DUE 12-18-2028		117,356
***	Corporate Debt Instruments - Other	STANLEY BLACK & DECKER INC 2.3% 02-24-2025		115,961
***	Corporate Debt Instruments - Other	T-MOBILE USA INC 2.625% DUE 04-15-2026 BEO		114,132
***	Corporate Debt Instruments - Other	PVTPL CMO BX COML MTG TR 2019-XL COML MTG PASSTHRU CTF CL A 144A 10-15-2036		113,946
***	Corporate Debt Instruments - Other	PVTPL MUTUAL OF OMAHA GLOBAL 5.8% 07-27-2026		112,134
***	Corporate Debt Instruments - Other	MORGAN STANLEY 6.138% 10-16-2026		112,003
***	Corporate Debt Instruments - Other	BANK MONTREAL 5.266% 12-11-2026		111,551
***	Corporate Debt Instruments - Other	ROYAL BK CDA GLOBAL MEDIUM TERM SR BK NTMTN 4.875% DUE 01-12-2026		110,247
***	Corporate Debt Instruments - Other	VULCAN MATLS CO 3.9% 04-01-2027		106,656
***	Corporate Debt Instruments - Other	SIMON PPTY GROUP L 3.3% DUE 01-15-2026		106,591
***	Corporate Debt Instruments - Other	MORGAN STANLEY 1.164% 10-21-2025		105,873
***	Corporate Debt Instruments - Other	UDR INC 2.95% DUE 09-01-2026		104,425
***	Corporate Debt Instruments - Other	LENNOX INTL INC 1.35% DUE 08-01-2025		103,504

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	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & CO 6.07% 10-22-2027		102,921
***	Corporate Debt Instruments - Other	PVTPL CARRIER GLOBAL CORPORATION 5.8% 11-30-2025		101,335
***	Corporate Debt Instruments - Other	ROYAL BK CDA GLOBAL MEDIUM TERM SR BK NTS BOOK ENTRY 5.2% 07-20-2026		101,183
***	Corporate Debt Instruments - Other	ENTERPRISE FLEET 3.03% DUE 01-20-2028		100,718
***	Corporate Debt Instruments - Other	PVTPL GULFSTREAM NAT GAS SYS LLC GULFSTREAM NAT 6.19% DUE 11-01-2025 BEO		100,573
***	Corporate Debt Instruments - Other	PVTPL TOWD PT MTG TR SER 2019-HY3 CL A1A FLTG 12-25-2048		100,238
***	Corporate Debt Instruments - Other	WESTPAC BKG CORP STEP CPN 6.19443% DUE 02-26-2024		100,052
***	Corporate Debt Instruments - Other	MID-AMERICA APTS LP 1.1% 09-15-2026		99,806
***	Corporate Debt Instruments - Other	ENBRIDGE INC 2.15% 02-16-2024		99,547
***	Corporate Debt Instruments - Other	WARNERMEDIA HLDGS INC SR NT 3.638% 03-15-2025		97,851
***	Corporate Debt Instruments - Other	JPMORGAN CHASE & 1.561% DUE 12-10-2025		96,279
***	Corporate Debt Instruments - Other	PVTPL GUARDIAN LIFE GLOBAL FDG SR SECD MEDIUM 3.246% DUE 03-29-2027 BEO		95,293
***	Corporate Debt Instruments - Other	REALTY INCOME CORP 3% DUE 01-15-2027		94,958
***	Corporate Debt Instruments - Other	FIDELITY NATL INFORMATION SVCS INC 4.5% 07-15-2032		94,058
***	Corporate Debt Instruments - Other	MPLX LP 1.75% DUE 03-01-2026		93,585
***	Corporate Debt Instruments - Other	ORACLE CORP 1.65% 03-25-2026		93,327
***	Corporate Debt Instruments - Other	AMEREN CORP 5.7% 12-01-2026		92,140
***	Corporate Debt Instruments - Other	CITIGROUP INC 1.281% 11-03-2025		91,412
***	Corporate Debt Instruments - Other	TAKE-TWO INTERACTIVE SOFTWARE INC 5.0% 03-28-2026		85,413
***	Corporate Debt Instruments - Other	PVTPL MUTUAL OF OMAHA GLOBAL 5.45% 12-12-2028		81,719
***	Corporate Debt Instruments - Other	#REORG MAGELLAN EXCHANGE ONEOK INC 4R1QA4V 03-01-2024		79,828
***	Corporate Debt Instruments - Other	MARATHON PETE CORP 4.7% DUE 05-01-2025 REG		79,471
***	Corporate Debt Instruments - Other	PVTPL BAE SYS HLDGS INC GTD NT 144A 3.8% DUE 10-07-2024 BEO		78,888
***	Corporate Debt Instruments - Other	PARKER-HANNIFIN FIXED 3.3% DUE 11-21-2024		78,508
***	Corporate Debt Instruments - Other	WESTROCK CO FIXED 3% DUE 09-15-2024		78,471
***	Corporate Debt Instruments - Other	NNN REIT INC 4% DUE 11-15-2025		78,262
***	Corporate Debt Instruments - Other	ENBRIDGE INC SR NT 2.5% 02-14-2025		77,574
***	Corporate Debt Instruments - Other	ENTERGY LOUISIANA LLC .95% DUE 10-01-2024		77,391
***	Corporate Debt Instruments - Other	KIMCO RLTY CORP 3.8% 04-01-2027		76,832
***	Corporate Debt Instruments - Other	PACKAGING CORP 3.4% DUE 12-15-2027		76,205
***	Corporate Debt Instruments - Other	MASCO CORP 3.5% 11-15-2027		76,107
***	Corporate Debt Instruments - Other	PVTPL NEW YORK LIFE GLOBAL FDG 2.35% 07-14-2026		75,381
***	Corporate Debt Instruments - Other	MORGAN STANLEY 2.475% 01-21-2028		74,324
***	Corporate Debt Instruments - Other	GOLDMAN SACHS GROUP INC 2.64% DUE 02-24-2028 BEO		74,183
***	Corporate Debt Instruments - Other	DONLEN FLEET LEASE FDG 2 LLC .56% 12-11-2034		73,966
***	Corporate Debt Instruments - Other	CNH INDL CAP LLC FIXED 1.45% DUE 07-15-2026		73,402
***	Corporate Debt Instruments - Other	BANK MONTREAL MEDIUM TERM SR NTS BOOK EN1.25% 09-15-2026		72,911
***	Corporate Debt Instruments - Other	PNC FINL SVCS GROUP INC 6.615% 10-20-2027		72,645
***	Corporate Debt Instruments - Other	CNH INDL CAP LLC 5.45% 10-14-2025		70,337
***	Corporate Debt Instruments - Other	NUCOR CORP 3.95% 05-23-2025		68,885
***	Corporate Debt Instruments - Other	VENTAS REALTY LP 3.5% DUE 02-01-2025		68,395
***	Corporate Debt Instruments - Other	ROGERS COMMUNICATIONS INC SR NT 2.95% 03-15-2025		67,924

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	Corporate and Sovereign Debt			
***	Corporate Debt Instruments - Other	VENTAS REALTY LIMITED PARTNERSHIP 2.65% DUE 01-15-2025		67,877
***	Corporate Debt Instruments - Other	VERIZON COMMUNICATIONS 4.125% DUE 03-16-2027		67,049
***	Corporate Debt Instruments - Other	INGREDION INC 3.2% DUE 10-01-2026		66,988
***	Corporate Debt Instruments - Other	TORONTO DOMINION FIXED 5.532% 07-17-2026		61,165
***	Corporate Debt Instruments - Other	EQUIFAX INC 5.1% 06-01-2028		60,576
***	Corporate Debt Instruments - Other	AT&T INC 2.3% DUE 06-01-2027		60,387
***	Corporate Debt Instruments - Other	CITIGROUP INC FIXED .776% DUE 10-30-2024		60,034
***	Corporate Debt Instruments - Other	WEC ENERGY GROUP INC 5.0% DUE 09-27-2025BEO		59,887
***	Corporate Debt Instruments - Other	WILLIAMS COMPANIES INC 4.55 DUE 06-24-2024		59,667
***	Corporate Debt Instruments - Other	CITIGROUP INC 4.14% 05-24-2025		59,640
***	Corporate Debt Instruments - Other	CAPITAL ONE FINL CORP SR NT FIXED / FLTG 4.927% 05-10-2028		59,003
***	Corporate Debt Instruments - Other	PVTPL FLORIDA GAS TRANSMISSION CO SR NT 4.35% DUE 07-15-2025		58,964
***	Corporate Debt Instruments - Other	MID-AMERICA APTS L 4% DUE 11-15-2025		58,957
***	Corporate Debt Instruments - Other	WELLTOWER INC 4% DUE 06-01-2025		58,903
***	Corporate Debt Instruments - Other	BSTN PPTYS LTD 3.65% DUE 02-01-2026		57,764
***	Corporate Debt Instruments - Other	T-MOBILE USA INC 2.25% DUE 02-15-2026		56,852
***	Corporate Debt Instruments - Other	PIONEER NAT RES CO 1.125% DUE 01-15-2026 REG		55,718
***	Corporate Debt Instruments - Other	CAPITAL ONE FINL CORP 1.878% 11-02-2027		53,994
***	Corporate Debt Instruments - Other	PVTPL CHESAPEAKE FDG II LLC SR 20-1A CL A1 0.87% 08-16-2032		51,824
***	Corporate Debt Instruments - Other	HONDA AUTO RECEIVABLES TR SR 23-4 CL A4 5.66% 02-21-2030		51,399
***	Corporate Debt Instruments - Other	AMERICAN EXPRESS CO 6.338% DUE 10-30-2026		50,993
***	Corporate Debt Instruments - Other	BANK MONTREAL QUE FIXED 5.203% DUE 02-01-2028		50,970
***	Corporate Debt Instruments - Other	SABINE PASS LIQUEFACTION LLC 5.875% 06-30-2026		50,912
***	Corporate Debt Instruments - Other	AMERICREDIT AUTOMOBILE RECEIVABLES TR 21-2 CL A3 .34% DUE 12-18-2026 REG		50,657
***	Corporate Debt Instruments - Other	HP INC FIXED 4.75% DUE 01-15-2028		50,086
***	Corporate Debt Instruments - Other	ABBVIE INC 3.6% 05-14-2025		49,071
***	Corporate Debt Instruments - Other	HUNTINGTON 2.625% DUE 08-06-2024		49,063
***	Corporate Debt Instruments - Other	ROPER TECHNOLOGIES FIXED 2.35% DUE 09-15-2024		48,769
***	Corporate Debt Instruments - Other	BSTN PPTYS LTD 3.2% DUE 01-15-2025		48,607
***	Corporate Debt Instruments - Other	CITIGROUP INC 3.106% DUE 04-08-2026		48,602
***	Corporate Debt Instruments - Other	EDUCATIONAL FDG SOUTH INC NT CL A-2 FLTGRATE 04-25-2035/04-25-2024 REG		48,555
***	Corporate Debt Instruments - Other	HUNTINGTON BANCSHARES INC SR NT FIXED/FLTG 4.443% 08-04-2028		48,502
***	Corporate Debt Instruments - Other	BMW US CAP LLC GTD NT 144A 3.45% 04-01-2027		48,135
***	Corporate Debt Instruments - Other	EXTRA SPACE STORAGE L P SR NT 3.5% 07-01-2026		47,994
***	Corporate Debt Instruments - Other	CITIGROUP INC NT 3.07% 02-24-2028		47,143
***	Corporate Debt Instruments - Other	COMMONSPIRIT HLTH 2.76% DUE 10-01-2024		43,999
***	Corporate Debt Instruments - Other	PVTPL MMAF EQUIP FIN LLC 2019-B SER 19-BCLS A3 2.19% DUE 12-12-2024 BEO		43,075
***	Corporate Debt Instruments - Other	PVTPL PENNSYLVANIA ELEC CO 5.15% 03-30-2026		39,950
***	Corporate Debt Instruments - Other	PARKER-HANNIFIN 2.7% DUE 06-14-2024		39,474
***	Corporate Debt Instruments - Other	AGL CAP CORP 3.875% DUE 11-15-2025		38,981
***	Corporate Debt Instruments - Other	NUTRIEN LTD 3.0% DUE 04-01-2025		38,831
***	Corporate Debt Instruments - Other	ROGERS COMMUNICATIONS INC 3.2% 03-15-2027		38,203

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Corporate and Sovereign Debt				
***	Corporate Debt Instruments - Other	BOEING CO FIXED 2.196% DUE 02-04-2026		37,808
***	Corporate Debt Instruments - Other	MCCORMICK & CO INC .9% DUE 02-15-2026 REG		36,837
***	Corporate Debt Instruments - Other	FED RLTY INVT TR 3.95% DUE 01-15-2024		29,968
***	Corporate Debt Instruments - Other	KIMCO RLTY CORP 2.7% DUE 03-01-2024		29,833
***	Corporate Debt Instruments - Other	FIFTH THIRD BANCORP SR NT FIXED TO FLTG RATE 4.055% 04-25-2028		28,619
***	Corporate Debt Instruments - Other	WI ENERGY CORP 3.55% DUE 06-15-2025		22,379
***	Corporate Debt Instruments - Other	CONOCOPHILLIPS CO FIXED 2.4% DUE 03-07-2025		21,373
***	Corporate Debt Instruments - Other	TAKE-TWO INTERACTIVE SOFTWARE INC 3.55% 04-14-2025		19,575
***	Corporate Debt Instruments - Other	PVTPL CMO TOWD PT MTG TR 2017-5 VAR RT DUE 02-25-2057 BEO		17,965
***	Corporate Debt Instruments - Other	PVTPL EDLINC STUDENT LN FDG TR 2012-1 CLA 144A VAR RT DUE 09-25-2030 BEO		15,930
***	Corporate Debt Instruments - Other	ARI FLEET LEASE TR 2021-A .37% 03-15-2030		15,609
***	Corporate Debt Instruments - Other	HONDA AUTO RECEIVABLES 2021-4 OWNER TR SR 21-4 CL A-3 .88% 01-21-2026		7,722
***	Corporate Debt Instruments - Other	TAKE-TWO INTERACTIVE SOFTWARE INC 3.3% 03-28-2024		1,987
	Total Corporate and Sovereign Debt			99,134,227
U.S. Government and Municipal Securities				
***	U.S. Government Securities	UNITED STATES TREAS NTS DTD 07/15/2023 4.5% 07-15-2026		4,947,278
***	U.S. Government Securities	UNITED STATES OF AMER TREAS NOTES 4.125% 06-15-2026		4,500,527
***	U.S. Government Securities	UNITED STATES TREAS NTS 4.375% 08-15-2026		4,229,859
***	U.S. Government Securities	UNITED STATES OF AMER TREAS NOTES 4.375% 12-15-2026		2,874,117
***	U.S. Government Securities	SMALL BUSINESS ADMIN GTD PARTN CTFB SR 23-10B CL 1 5.688% 09-10-2033		2,560,876
***	U.S. Government Securities	UNITED STATES TREAS NTS 4.625% 11-15-2026		2,489,813
***	U.S. Government Securities	UNITED STATES TREAS NTS 4.625% 09-15-2026		1,719,299
***	U.S. Government Securities	FNMA POOL #BS7985 4.79% 03-01-2028		1,450,774
***	U.S. Government Securities	UNITED STATES TREAS NTS T-NOTE 4.375% 11-30-2028		1,270,128
***	U.S. Government Securities	FHLMC MULTIFAMILY SER KGL1 CL AFL FRN 10-25-2027		1,017,050
***	U.S. Government Securities	FEDERAL HOME LOAN MORTGAGE CORP SER OOK509 CL A2 4.85% 09-25-2028		845,183
***	U.S. Government Securities	UNITED STATES OF AMER TREAS NOTES 4.625% 10-15-2026		837,633
***	U.S. Government Securities	FNMA POOL #AN6709 5.864% 09-01-2027 BEO		831,894
***	U.S. Government Securities	FNMA POOL #BS9640 4.92% 10-01-2028		829,793
***	U.S. Government Securities	FNMA POOL #CB6531 FLTG 06-01-2053		826,241
***	U.S. Government Securities	UNITED STATES TREAS NTS 3.75% 12-31-2028		812,071
***	U.S. Government Securities	FHLMC POOL #8C0338 FLTG RT 07-01-2052		778,924
***	U.S. Government Securities	FHLMC POOL #8C0366 ADJ RT 09-01-2052		752,581
***	U.S. Government Securities	FNMA POOL #BT8375 ADJ RT DUE 09-01-2052 BEO		732,047
***	U.S. Government Securities	FNMA POOL #BS9766 5.38% 10-01-2028		728,637
***	U.S. Government Securities	FNMA POOL #BV7893 FLTG RT DUE 07-01-2052		724,940
***	U.S. Government Securities	FNMA POOL #BW9708 5.106% FLTG RT DUE 11-01-2052 BEO		673,864
***	U.S. Government Securities	FNMA POOL #AN0571 3.1% 01-01-2026 BEO		630,483
***	U.S. Government Securities	FEDERAL HOME LOAN MORTGAGE CORP POOL #8C0283 FLTG RATE DUE 06-01-2052 REG		620,315
***	U.S. Government Securities	FNMA POOL #BW5040 3.862% 07-01-2052 BEO		618,658
***	U.S. Government Securities	UNITED STATES TREAS NTS 1.875% NTS 07/31/2026		515,749

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U.S. Government and Municipal Securities				
***	U.S. Government Securities	FNMA POOL#BS9862 5.33% 12-01-2028		511,232
***	U.S. Government Securities	FNMA POOL #BM7055 3.483% 09-01-2052 BEO		502,065
***	U.S. Government Securities	FNMA POOL #MA3131 3% 09-01-2027 BEO		480,020
***	U.S. Government Securities	FNMA POOL #BL0103 ADJ RT DUE 10-01-2028 BEO		477,283
***	U.S. Government Securities	FNMA POOL #BV2500 FLTGT RT 06-01-2052 REG		473,038
***	U.S. Government Securities	FHLMC POOL #8C0329 ADJ RT 08-01-2052		463,456
***	U.S. Government Securities	EXPORT IMPORT BK UNITED STATES WASHINGTON 2.415% DUE 06-30-2027		452,497
***	U.S. Government Securities	FANNIE MAE FN BW1384 5.343% 12-01-2052		430,820
***	U.S. Government Securities	FNMA POOL #BZ0084 5.09% 01-01-2029		413,667
***	U.S. Government Securities	FNMA POOL #BS7916 4.02% 04-01-2028		404,234
***	U.S. Government Securities	FHLMC POOL #8C0464 ADJ RT 12-01-2052		391,321
***	U.S. Government Securities	FNMA 2.603% 06-01-2052		389,723
***	U.S. Government Securities	FNMA POOL #BM7030 2.464% 06-01-2052 BEO		371,918
***	U.S. Government Securities	FNMA POOL #BL5697 FLTGT RT 02-01-2030		367,091
***	U.S. Government Securities	FHLMC POOL #8C0303 ADJ RT 07-01-2052		365,786
***	U.S. Government Securities	FNMA POOL #BJ0709 2.917% 10-01-2047 BEO		356,909
***	U.S. Government Securities	FNMA POOL #BT8268 ADJ RT DUE 08-01-2052 BEO		354,497
***	U.S. Government Securities	FHLMC POOL #8C0399 ADJ RT 10-01-2052		322,265
***	U.S. Government Securities	FREDDIE MAC SEASONED CR RISK SER 2020-2 CL M55H 2.5% 11-25-2059		305,441
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP POOL #287738 ADJ RATE DUE 02-01-2050 BEO		300,926
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP POOL #287857 2.182% DUE 06-01-2050 BEO		294,704
***	U.S. Government Securities	EXPORT IMPORT BK UNITED STATES WASHINGTON 2.537% DUE 07-13-2025 REG		292,270
***	U.S. Government Securities	FNMA POOL #BJ2463 ADJ RT 11-01-2047		286,777
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP SER K511 CL A2 4.86% 10-25-2028		286,124
***	U.S. Government Securities	FHLMC MULTICLASS SER 21-1 CL TTU 2.5% DUE 09-25-2060		285,171
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP SER 00K508 CL A2 4.74% 08-25-2028		284,122
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP POOL #287858 ADJ RATE DUE 06-01-2050 BEO		275,500
***	U.S. Government Securities	FNMA 4.523% 08-01-2052		268,083
***	U.S. Government Securities	FNMA 3.073% 05-01-2052		267,295
***	U.S. Government Securities	FHLMC POOL #286481 ADJ RT 09-01-2047		264,991
***	U.S. Government Securities	FHLMC POOL #8C0430 ADJ RT 11-01-2052		259,030
***	U.S. Government Securities	FNMA POOL #MA3107 2.5% 08-01-2027 BEO		247,022
***	U.S. Government Securities	FNMA POOL #BJ2464 ADJ RT 11-01-2047		240,045
***	U.S. Government Securities	FNMA POOL #BH7091 3% 12-01-2047		235,289
***	U.S. Government Securities	FNMA POOL #BT8249 ADJ RT DUE 07-01-2052 BEO		227,403
***	U.S. Government Securities	FNMA POOL #BZ0085 5.18% 12-01-2028		218,035
***	U.S. Government Securities	EXPORT IMPORT BK UNITED STATES WASHINGTON 2.329% 01-14-2027		215,568
***	U.S. Government Securities	FNMA POOL #807270 ADJ RT DUE 01-01-2050 REG		202,276
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP POOL #286644 ADJ RATE 11-01-2047		190,868
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP POOL #286444 2.957% 08-01-2047 BEO		179,577
***	U.S. Government Securities	FNMA POOL #BP0633 FLTGT RT DUE 01-01-2050		157,768

Sony USA 401(k) Plan
EIN: 13-1914734 PN: 002
Schedule H, Line 4i Schedule of Assets (Held at End of Year)
At December 31, 2023

(a)	(b)	(c)	(d)	(e)
	Identity of Issue, Borrower, Lessor, or Similar Party	Description of Investment, Including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Cost **	Current Value
	U.S. Government and Municipal Securities			
***	U.S. Government Securities	FREDDIE MAC SEASONED CR RISK SER 2020-3 CL TTU 2.5% 05-25-2060		156,747
***	U.S. Government Securities	FNMA POOL #BJ4472 ADJ RT 11-01-2047		149,914
***	U.S. Government Securities	EXPORT IMPORT BK UNITED STATES WASHINGTON 1.9% DUE 07-12-2024		149,461
***	U.S. Government Securities	FHLMC POOL #2B6713 ADJ RT 12-01-2047		135,289
***	U.S. Government Securities	FREDDIE MAC SEASONED CR RISK SER 2020-3 CL MSTU 2.5% 05-25-2060		129,008
***	U.S. Government Securities	FNMA POOL #BH8503 ADJ RT DUE 12-01-2047 BEO		128,764
***	U.S. Government Securities	FHLMC POOL #2B6628 ADJ RT 11-01-2047		125,303
***	U.S. Government Securities	FNMA POOL #BP2009 2.572% DUE 04-01-2050 BEO		116,999
***	U.S. Government Securities	EXPORT-IMPORT BK FIXED .1581% DUE 11-16-2024		89,636
***	U.S. Government Securities	FEDERAL HOME LN MTG CORP SER Q004 CL A2H FLTG RT 01-25-2021		55,015
***	Other	OREGON ST 5.892% 06-01-2027 BEO TAXABLE		486,084
***	Other	SAN MATEO FOSTER CITY CALIF SCH DIST 1.417% 08-01-2024 BEO TAXABLE		376,917
***	Other	MASSACHUSETTS ST SPL OBLIG REV 4.11% 07-15-2031		373,635
***	Other	LOUISIANA LOC GOVT ENVIRONMENTAL FACS & 3.615% DUE 02-01-2029 REG		372,720
***	Other	LOUISIANA LOC GOVT ENVIRONMENTAL FACS & MUNI 5.081% DUE 06-01-2031		348,864
***	Other	WISCONSIN ST UNREFUNDED .65% 05-01-2025		303,535
***	Other	CHESAPEAKE VA 1.649% 08-01-2024 BEO TAXABLE		284,375
***	Other	OKLAHOMA ST CAPITOL IMPT AUTH REV 1.749% 07-01-2027 BEO TAXABLE		256,880
***	Other	NEW YORK ST DORM AUTH ST PERS INCOME TAXREV 2.738% 03-15-2026 BEO TAXABLE		255,783
***	Other	SAN DIEGO CNTY CALIF REGL TRANSN COMMN SALES TAX REV 1.395% 04-01-2027 BEO		200,542
***	Other	VERMONT ST STUD ASSISTANCE CORP STUD LN REV VAR RT .9425 04-30-2035 REG TAXABLE		197,306
***	Other	NEW YORK N Y CITY TRANSITIONAL FIN AUTH REV 3.35% 08-01-2025 BEO TAXABLE		195,943
***	Other	PHOENIX ARIZ CIVIC IMPT CORP EXCISE TAX REV 1.157% 07-01-2026 BEO TAXABLE		193,716
***	Other	ST PAUL MINN HSG & REDEV AUTH HLTH CARE FAC REV 4.089 07-01-2026 BEO TAXABLE		191,295
***	Other	NEW YORK ST DORM AUTH ST PERS INCOME TAXREV 2.438% 02-15-2026 BEO TAXABLE		187,211
***	Other	INDIANA ST FIN AUTH REV 1.605% 03-01-2026 BEO TAXABLE		186,974
***	Other	INDIANA UNIV REVS 2.083% 06-01-2027 BEO TAXABLE		185,893
***	Other	TEXAS ST 4.701% 10-01-2026		171,890
***	Other	UTAH ST 3.539% 07-01-2025 BEO TAXABLE		115,034
***	Other	MICHIGAN FIN AUTH REV FLTG RT 5.92339992523% 07-25-2061 BEO TAXABLE		108,723
		Total U.S. Government and Municipal Securities		58,360,297
	SCHWAB	Self Directed Brokerage Account		61,843,281
		Total Investments, at fair value		5,421,549,690
*	Various	Notes receivable from participants, with interest ranging from 3.93% to 9.50% and varying maturities		28,616,570
* Represents a party-in-interest				
** Cost information is not required in participant-directed investments				
*** Represents investments underlying synthetic guaranteed investment contracts				
**** Information certified as complete and accurate by Northern Trust Company [except for Galliard CCTs & Short Term Investment Fund CCT held by SEI which are not covered by the certification]				

Plan Name	Sony USA 401(k) Plan
Plan Sponsor EIN	13-1914734
ERISA Plan #	002
Plan Year Ending	December 31, 2023

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

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

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