

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
1290 FUNDS	1290 CONVERTIBLE SECURITIES FUND CLASS A	68246A793	TNFAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 CONVERTIBLE SECURITIES FUND CLASS I	68246A777	TNFIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 CONVERTIBLE SECURITIES FUND CLASS R	68246A769	TNFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 DOUBLELINE DYNAMIC ALLOCATION FUND CLASS A	68259P570	TNXXA	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 DOUBLELINE DYNAMIC ALLOCATION FUND CLASS I	68259P554	TNVDX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 DOUBLELINE DYNAMIC ALLOCATION FUND CLASS R	68259P547	TNVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 GAMCO SMALL MID CAP VALUE FUND CLASS A	68246A108	TNVAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 GAMCO SMALL MID CAP VALUE FUND CLASS I	68246A306	TNVIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 GAMCO SMALL MID CAP VALUE FUND CLASS R	68246A405	TNVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 GLOBAL TALENTS FUND CLASS A	68259PA89	TNYAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 GLOBAL TALENTS FUND CLASS I	68259PA63	TNYFX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 GLOBAL TALENTS FUND CLASS R	68259PA55	TNTRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 HIGH YIELD BOND FUND CLASS A	68246A504	TNHAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 HIGH YIELD BOND FUND CLASS I	68246A702	TNHIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 HIGH YIELD BOND FUND CLASS R	68246A801	TNHRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 LOW VOLATILITY GLOBAL EQUITY FUND CLASS I	68246Y304	TNZIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 MULTI ALTERNATIVE STRATEGIES FUND CLASS A	68246A843	TNMAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 MULTI ALTERNATIVE STRATEGIES FUND CLASS I	68246A827	TNMIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 MULTI ALTERNATIVE STRATEGIES FUND CLASS R	68246A819	TNMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 RETIREMENT 2020 FUND CLASS I	68259P307	TNIIH	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 RETIREMENT 2025 FUND CLASS I	68259P703	TNIJX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 RETIREMENT 2030 FUND CLASS I	68259P869	TNKIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 RETIREMENT 2035 FUND CLASS I	68259P828	TNLIH	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 RETIREMENT 2040 FUND CLASS I	68259P778	TNNIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 RETIREMENT 2045 FUND CLASS I	68259P737	TNIOX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 RETIREMENT 2050 FUND CLASS I	68259P687	TNWIH	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 RETIREMENT 2055 FUND CLASS I	68259P646	TNQIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 RETIREMENT 2060 FUND CLASS I	68259P596	TNXXH	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 SMARTBETA EQUITY FUND CLASS A	68246A884	TNBAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 SMARTBETA EQUITY FUND CLASS I	68246A868	TNBIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 SMARTBETA EQUITY FUND CLASS R	68246A850	TNBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 UNCONSTRAINED BOND MANAGERS FUND CLASS A	68246A710	TNUAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 UNCONSTRAINED BOND MANAGERS FUND CLASS I	68246A686	TNIUIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
1290 FUNDS	1290 UNCONSTRAINED BOND MANAGERS FUND CLASS R	68246A678	TNURX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
13D ACTIVIST FUNDS	13D ACTIVIST FUND CLASS A	66537V252	DDDX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
13D ACTIVIST FUNDS	13D ACTIVIST FUND CLASS I	66537V237	DDDX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 DOMESTIC LONG SHORT EQUITY FUND CLASS Y	46141Q543	ADMWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 DOMESTIC LONG/SHORT EQUITY FUND CLASS I	46141Q535	ADMZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 DOMESTIC LONG/SHORT EQUITY FUND INVESTOR CLASS	46141Q527	ADMQX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 GLOBAL EQUITY ABSOLUTE RETURN FUND CLASS I	46141Q170	AGRXZ	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 GLOBAL EQUITY ABSOLUTE RETURN FUND CLASS Y	46141Q162	AGRWX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 GLOBAL EQUITY ABSOLUTE RETURN FUND INVESTOR CLASS	46141Q188	AGROX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 GLOBAL LONG/SHORT EQUITY FUND CLASS I	46141Q873	AGAZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 GLOBAL LONG/SHORT EQUITY FUND CLASS Y	46141Q865	AGAWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 GLOBAL LONG/SHORT EQUITY FUND INVESTOR CLASS	46141Q881	AGAQX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 GLOBAL MANAGED FUTURES FUND CLASS I	46141P339	AGFZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 GLOBAL MANAGED FUTURES FUND INVESTOR CLASS	46141P347	AGFOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 MACRO OPPORTUNITY FUND CLASS I	46141P453	AGMZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 MACRO OPPORTUNITY FUND INVESTOR CLASS	46141P461	AGMQX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 MANAGED FUTURES FUND CLASS I	461418337	AMFZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 MANAGED FUTURES FUND INVESTOR CLASS	461418345	AMFQX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 U.S. SMALL CAP EQUITY FUND CLASS I	46141Q394	ASFZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 U.S. SMALL CAP EQUITY FUND CLASS Y	46141Q410	ASFWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
361 CAPITAL FUNDS	361 U.S. SMALL CAP EQUITY FUND INVESTOR CLASS	46141Q386	ASFQX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AAM FUNDS	AAM /INSIGHT SELECT INCOME FUND CLASS A	46141P883	CPUAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AAM FUNDS	AAM HIMCO GLOBAL ENHANCED DIVIDEND FUND CLASS A	46141Q261	HGDAX	Load	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AAM FUNDS	AAM HIMCO GLOBAL ENHANCED DIVIDEND FUND CLASS I	46141Q246	HGDIX	No/Low Load	Initial : 25000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AAM FUNDS	AAM PHOCAS REAL ESTATE FUND CLASS A	46141Q220	APRAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AAM FUNDS	AAM PHOCAS REAL ESTATE FUND CLASS I	46141Q238	APRIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AAM FUNDS	AAM SELECT INCOME FUND CLASS I	46141P867	CPUIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AAM FUNDS	AAM/BAHL & GAYNOR INCOME GROWTH FUND CLASS A	461418188	AFNAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AAM FUNDS	AAM/BAHL & GAYNOR INCOME GROWTH FUND CLASS I	461418162	AFNIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AAM FUNDS	AAM/HIMCO SHORT DURATION FUND CLASS A	46141P248	ASDAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AAM FUNDS	AAM/HIMCO SHORT DURATION FUND CLASS I	46141P222	ASDIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB ALL MARKET INCOME PORTFOLIO FUND ADVISOR CLASS	01878T160	MRKXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB ALL MARKET INCOME PORTFOLIO FUND CLASS A	01878T186	MRKAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB ALL MARKET REAL RETURN PORTFOLIO FUND ADVISOR CLASS	018528422	AMTYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB ALL MARKET REAL RETURN PORTFOLIO FUND CLASS A	018528430	AMTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB ALL MARKET TOTAL RETURN PORTFOLIO ADVISOR CLASS	01877F625	ABWYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB ALL MARKET TOTAL RETURN PORTFOLIO CLASS A	01877F658	ABWAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB ALL MARKET TOTAL RETURN PORTFOLIO CLASS I	01877F427	ABWIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB ALL MARKET TOTAL RETURN PORTFOLIO CLASS R	01877F518	ABWRX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB BOND INFLATION STRATEGY FUND ADVISOR CLASS	018528562	ABNXX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB BOND INFLATION STRATEGY FUND CLASS A	018528570	ABNAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB CONCENTRATED GROWTH FUND ADVISOR CLASS	01878T848	WPSGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AB FUNDS	AB CONCENTRATED GROWTH FUND CLASS A	01878T707	WPASX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB CONCENTRATED INTERNATIONAL GROWTH PORTFOLIO FUND ADVISOR CLASS	01878T475	CIGYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB CONCENTRATED INTERNATIONAL GROWTH PORTFOLIO FUND CLASS A	01878T491	CIAGX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB CONSERVATIVE WEALTH STRATEGY FUND ADVISOR CLASS	01877F575	ABPYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB CONSERVATIVE WEALTH STRATEGY FUND CLASS A	01877F617	ABPAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB CORE OPPORTUNITIES FUND ADVISOR CLASS	01879K705	ADGYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB CORE OPPORTUNITIES FUND CLASS A	01879K101	ADGAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB DISCOVERY GROWTH FUND ADVISOR CLASS	018636407	CHCYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB DISCOVERY GROWTH FUND CLASS A	018636100	CHCLX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB DISCOVERY VALUE FUND ADVISOR CLASS	018914408	ABYSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB DISCOVERY VALUE FUND CLASS A	018914101	ABASX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB DISCOVERY VALUE FUND CLASS I	018914705	ABSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB DISCOVERY VALUE FUND CLASS R	018914507	ABSRX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB EMERGING MARKETS MULTI-ASSET PORTF FUND ADVISOR CLASS	01877E545	ABYEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB EMERGING MARKETS MULTI-ASSET PORTF FUND CLASS A	01877E552	ABAEX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB EQUITY INCOME FUND ADVISOR CLASS	018791400	AUIYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB EQUITY INCOME FUND CLASS A	018791103	AUIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB FLEXFEE EMERGING MARKETS GROWTH PORT FUND ADVISOR CLASS	01878T715	FFEXY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB FLEXFEE HIGH YIELD PORTFOLIO ADVISOR CLASS	01881M699	HIYXY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB FLEXFEE INTERNATIONAL BOND PORTFOLIO FUND ADVISOR CLASS	01881M426	FFIYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB FLEXFEE INTERNATIONAL STRATEGIC CORE PORT FUND ADVISOR CLASS	01878H752	FFSYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB FLEXFEE LARGE CAP GROWTH PORTFOLIO FUND ADVISOR CLASS	01878H786	FFLYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB FLEXFEE U.S. THEMATIC PORTFOLIO FUND ADVISOR CLASS	01878H778	FFTYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GLOBAL BOND FUND ADVISOR CLASS	01853W709	ANAYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GLOBAL BOND FUND CLASS A	01853W105	ANAGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GLOBAL CORE EQUITY PORTFOLIO FUND ADVISOR CLASS	01878T244	GCEYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GLOBAL CORE EQUITY PORTFOLIO FUND CLASS A	01878T269	GCEAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GLOBAL REAL ESTATE INVESTMENT FUND ADVISOR CLASS	01877G409	ARSYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GLOBAL REAL ESTATE INVESTMENT FUND CLASS A	01877G102	AREAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GLOBAL REAL INVESTMENT FUND II	018907501	ARIXX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GLOBAL RISK ALLOCATION FUND ADVISOR CLASS	018525501	CBSYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GLOBAL RISK ALLOCATION FUND CLASS A	018525105	CABNX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GOVERNMENT MONEY MARKET PORTFOLIO FUND ADVISOR CLASS	018616698	AEYXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GOVERNMENT MONEY MARKET PORTFOLIO FUND CLASS A	018616730	AEAXX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GOVERNMENT MONEY MARKET PORTFOLIO FUND CLASS I	018616664	AIEXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GROWTH FUND ADVISOR CLASS	01877F757	AGRYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB GROWTH FUND CLASS A	01877F401	AGRFY	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB HIGH INCOME FUND ADVISOR CLASS	01859M408	AGDYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB HIGH INCOME FUND CLASS A	01859M101	AGDAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB HIGH INCOME FUND CLASS I	01859M507	AGDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB HIGH INCOME MUNI FUND ADVISOR CLASS	018642744	ABTYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB HIGH INCOME MUNI FUND CLASS A	018642751	ABTHX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB HIGH INCOME MUNICIPAL PORTFOLIO FUND CLASS Z	018642728	ABTZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB IMPACT MUNICIPAL INCOME SHARES	01879V602	ABIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INCOME FUND ADVISOR CLASS	01881M442	ACGYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INCOME FUND CLASS A	01881M467	AKGAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERMEDIATE CALIFORNIA MUNICIPAL FUND CLASS A	085568814	AICAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERMEDIATE CALIFORNIA MUNICIPAL PORTFOLIO FUND ADVISOR CLASS	085568442	AICYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERMEDIATE DIVERSIFIED MUNICIPAL FUND CLASS A	085568772	AIDAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERMEDIATE DIVERSIFIED MUNICIPAL PORTFOLIO FUND CLASS Z	085568483	AIDYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERMEDIATE DIVERSIFIED MUNICIPAL PORTFOLIO CLASS Z	085568426	AIDZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERMEDIATE DURATION FUND ADVISOR CLASS	085568384	IDPYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERMEDIATE DURATION FUND CLASS A	085568418	IDPAX	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERMEDIATE DURATION FUND CLASS Z	085568392	IDPZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERMEDIATE NEW YORK MUNICIPAL PORTFOLIO FUND ADVISOR CLASS	085568434	ANIYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERMEDIATE NEW YORK MUNICIPAL PORTFOLIO FUND CLASS A	085568848	ANIXX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERNATIONAL PORTFOLIO FUND CLASS A	085568673	AIZAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERNATIONAL STRATEGIC CORE PORT FUND CLASS A	01878H109	ISARX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERNATIONAL STRATEGIC CORE PORTFOLIO FUND ADVISOR CLASS	01878H307	ISRYX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERNATIONAL VALUE FUND ADVISOR CLASS	018913400	ABIYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTERNATIONAL VALUE FUND CLASS A	018913103	ABIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTL SMALL CAP PORTFOLIO FUND ADVISOR CLASS	085567857	IRCYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB INTL STRATEGIC EQUITIES PORTFOLIO FUND ADVISOR CLASS	085567402	STEYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB LARGE CAP GROWTH FUND ADVISOR CLASS	01877C408	APGYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB LARGE CAP GROWTH FUND CLASS Z	01878H885	APGZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB LARGE-CAP GROWTH FUND CLASS A	01877C101	APGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB LIMITED DURATION HIGH INCOME FUND ADVISOR CLASS	018528331	ALHYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB LIMITED DURATION HIGH INCOME FUND CLASS A	018528349	ALHAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2060 FUND ADVISOR CLASS	002542603	TDQYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2060 FUND CLASS A	002542405	TDQAX	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2010 FUND ADVISOR CLASS	01878V876	TDBYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2010 FUND CLASS A	01878V801	TDBAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2015 FUND ADVISOR CLASS	01878V793	TDCYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2020 FUND ADVISOR CLASS	01878V728	TDDYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2020 FUND CLASS A	01878V744	TDDAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AB FUNDS	AB MULTI-MANAGER SELECT 2025 FUND ADVISOR CLASS	01878V645	TDCGY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2025 FUND CLASS A	01878V660	TDAGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2025 FUND CLASS Z	01878V595	TDCGZ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2030 FUND ADVISOR CLASS	01878V561	TDYHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2030 FUND CLASS A	01878V587	TDHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2030 FUND CLASS Z	01878V520	TDHZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2035 FUND ADVISOR CLASS	01878V488	TDMYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2035 FUND CLASS A	01878V512	TDMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2035 FUND CLASS Z	01878V447	TDMZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2040 FUND ADVISOR CLASS	01878V413	TDJYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2040 FUND CLASS A	01878V439	TDJAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2040 FUND CLASS Z	01878V363	TDJZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2045 FUND ADVISOR CLASS	01878V330	TDNYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2045 FUND CLASS A	01878V355	TDNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2050 FUND ADVISOR CLASS	01878V256	TDLYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2050 FUND CLASS A	01878V272	TDLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2055 FUND ADVISOR CLASS	01878V173	TDPLYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2055 FUND CLASS A	01878V199	TDAPX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2055 FUND CLASS Z	01878V132	TDPRZ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT RETIREMENT ALLOCATION FUND ADV	01878V306	TDAYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT RETIREMENT ALLOCATION FUND CL A	01878V108	TDAAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MULTI-MANAGER SELECT 2015 FUND CLASS A	01878V827	TDCAx	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNI INCOME FUND CALIFORNIA ADVISOR CLASS	018642785	ALCVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNI INCOME FUND MASSACHUSETTS PORTFOLIO FUND ADVISOR CLASS	01864E110	AMAYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNI INCOME FUND NATIONAL ADVISOR CLASS	018642819	ALTVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNI INCOME FUND NEW YORK ADVISOR CLASS	018642769	ALNVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNI INCOME FUND VIRGINIA PORTFOLIO FUND ADVISOR CLASS	01864E128	AVAYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNICIPAL BOND INFLATION STRATEGY FUND ADVISOR CLASS	018528471	AUNYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNICIPAL BOND INFLATION STRATEGY FUND CLASS A	018528489	AUNAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNICIPAL INCOME CALIFORNIA CLASS A	018642306	ALCAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNICIPAL INCOME FUND ARIZONA CLASS A	01864E797	AAZAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNICIPAL INCOME FUND MASSACHUSETTS CLASS A	01864E763	AMAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNICIPAL INCOME FUND MINNESOTA CLASS A	01864E409	AMNAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNICIPAL INCOME FUND NATIONAL PORTFOLIO UNINSURED CLASS A	018642108	ALTHX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNICIPAL INCOME FUND NEW JERSEY CLASS A	01864E805	ANJAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNICIPAL INCOME FUND NEW YORK PORTFOLIO CLASS A	018642207	ALNYX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNICIPAL INCOME FUND OHIO CLASS A	01864E862	AOHAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNICIPAL INCOME FUND PENNSYLVANIA CLASS A	01864E839	APAAx	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB MUNICIPAL INCOME FUND VIRGINIA CLASS A	01864E706	AVAAx	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB RELATIVE VALUE FUND ADVISOR CLASS	018597500	CBYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB RELATIVE VALUE FUND CLASS A	018597104	CBDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SELECT U.S. EQUITY FUND ADVISOR CLASS	01877E297	AUUYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SELECT U.S. EQUITY FUND CLASS A	01877E313	AUUAx	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SELECT U.S. LONG/SHORT PORTF FUND ADVISOR CLASS	01878T202	ASLYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SELECT U.S. LONG/SHORT PORTFOLIO FUND CL A	01878T103	ASLAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SELECT U.S. LONG/SHORT PORTFOLIO FUND CL I	01878T400	ASLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SHORT DURATION PORTFOLIO FUND CLASS A	085568749	ADPAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SMALL CAP CORE PORTFOLIO FUND ADVISOR CLASS	085567766	SCRYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SMALL CAP GROWTH FUND ADVISOR CLASS	01877E503	QUAYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SMALL CAP VALUE PORT FUND CLASS A	01878T574	SCAVX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SMALL CAP VALUE PORTFOLIO ADVISOR CLASS	01878T558	SCVYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SMALL-CAP GROWTH FUND CLASS A	01877E107	QUASX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SUSTAINABLE GLOBAL THEMATIC FUND ADVISOR CLASS	018780502	ATEYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SUSTAINABLE GLOBAL THEMATIC FUND CLASS A	018780106	ALTFX	Load; FundVest Institutional	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SUSTAINABLE INTERNATIONAL THEMATIC FUND ADVISOR CLASS	01879X400	AWPYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SUSTAINABLE INTERNATIONAL THEMATIC FUND CLASS A	01879X103	AWPAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB SUSTAINABLE INTERNATIONAL THEMATIC FUND CLASS I	01879X707	AWPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB TAX MANAGED ALL MARKET INCOME PORTFOLIO FUND ADVISOR CLASS	01877F724	AGIYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB TAX MANAGED WEALTH APPRECIATION STRATEGY FUND ADV CL	01877F534	ATWYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB TAX MANAGED WEALTH APPRECIATION STRATEGY FUND CL A	01877F567	ATWAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB TAX-AWARE FIXED INCOME PORTFOLIO FUND ADVISOR CLASS	018528133	ATTYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB TAX-AWARE FIXED INCOME PORTFOLIO FUND CLASS A	018528174	ATTAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB TAX-MANAGED ALL MARKET INCOME PORTFOLIO FUND CLASS A	01877F708	AGIAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB TAX-MANAGED INTERNATIONAL PORTFOLIO FUND CLASS A	085568715	ABXAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB TOTAL RETURN BOND PORTFOLIO FUND ADVISOR CLASS	018528729	ABQYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB TOTAL RETURN BOND PORTFOLIO FUND CLASS A	018528711	ABQUX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB UNCONSTRAINED BOND FUND ADVISOR CLASS	01859N406	AGSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB UNCONSTRAINED BOND FUND CLASS A	01859N109	AGSAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB VALUE FUND ADVISOR CLASS	018915405	ABVYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB VALUE FUND CLASS A	018915108	ABVAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB WEALTH APPRECIATION STRATEGY FUND ADVISOR CLASS	01877F666	AWAYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	AB WEALTH APPRECIATION STRATEGY FUND CLASS A	01877F690	AWAAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCE BERNSTEIN CORPORATE INC SHARES	01879V107	ACISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCE BERNSTEIN EQUITY INCOME FUND CLASS R	018791509	AUIRX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCE BERNSTEIN GLOBAL BOND FUND CLASS I	01853W600	ANAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AB FUNDS	ALLIANCE BERNSTEIN MULTI SECTOR INCOME SHARES	'01879V305	CSHTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCE BERNSTEIN MUNICIPAL INCOME SHARES	'01879V206	MISHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCE BERNSTEIN SMALL CAP GROWTH FUND CLASS Z	'01878H802	QUAZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCE BERNSTEIN TAX-AWARE REAL RETURN INCOME SHARES	'01879V404	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCE BERNSTEIN UNCONSTRAINED BOND FUND CLASS R	'01859N505	AGSRX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCE BERNSTEIN WEALTH APPRECIATION STRAT FUND CLASS R	'01877F526	AWARX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN BOND INFLATION STRATEGY FUND CLASS Z	'01881M475	ABNZX	No/Low Load	Initial : 2000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN DISCOVERY GROWTH FUND CLASS Z	'018636803	CHCZX	No/Low Load	Initial : 2000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN DISCOVERY VALUE FUND CLASS Z	'018914804	ABSZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN GLOBAL BOND FUND CLASS Z	'01853W808	ANAZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN INTERMEDIATE BOND PORTFOLIO FUND CLASS Z	'01881M483	ABQZX	No/Low Load	Initial : 2000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN LARGE CAP GROWTH FUND INSTITUTIONAL CLASS	'01877C705	ALIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN MULTI-MANAGER SELECT 2010 FUND CLASS Z	'01878V835	TDBZX	No/Low Load	Initial : 2000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN MULTI-MANAGER SELECT 2015 FUND CLASS Z	'01878V751	TDCZX	No/Low Load	Initial : 2000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN MULTI-MANAGER SELECT 2020 FUND CLASS Z	'01878V678	TDDZX	No/Low Load	Initial : 2000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN MULTI-MANAGER SELECT 2045 FUND CLASS Z	'01878V280	TDNZX	No/Low Load	Initial : 2000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN MULTI-MANAGER SELECT 2050 FUND CLASS Z	'01878V215	TDLZX	No/Low Load	Initial : 2000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN MULTI-MANAGER SELECT RETIREMENT ALLOCATION FUND CL Z	'01878V702	TDAZX	No/Low Load	Initial : 2000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AB FUNDS	ALLIANCEBERNSTEIN UNCONSTRAINED BOND FUND CLASS Z	'01859N802	AGSZX	No/Low Load	Initial : 2000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABBEY CAPITAL FUNDS	ABBEY CAPITAL FUTURES STRATEGY FUND CLASS A	'74925K375	ABYAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABBEY CAPITAL FUNDS	ABBEY CAPITAL FUTURES STRATEGY FUND CLASS I	'74925K367	ABYIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABBEY CAPITAL FUNDS	ABBEY CAPITAL MULTI ASSET FUND CLASS I	'74933W882	MAFIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN ASIA-PACIFIC (EX-JAPAN) EQUITY FD INST SERVICE CL	'003021680	AAPEX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN ASIA-PACIFIC (EX-JAPAN) EQUITY FUND CLASS A	'003021185	APIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN ASIA-PACIFIC (EX-JAPAN) EQUITY FUND CLASS R	'003021169	APRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN ASIA-PACIFIC (EX-JAPAN) EQUITY FUND INST CLASS	'003021698	AAPIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN CHINA A SHARE EQUITY FUND CLASS A	'003019106	GOPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN CHINA A SHARE EQUITY FUND INSTITUTIONAL CLASS	'003019502	GOPIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN CHINA A SHARE EQUITY FUND INSTITUTIONAL SERVICE CLASS	'003019601	GOPSX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN DIVERSIFIED ALTERNATIVES FUND CLASS A	'003020849	GASAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN DIVERSIFIED ALTERNATIVES FUND INST SVC CLASS	'003020781	GAISX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN DIVERSIFIED ALTERNATIVES FUND INSTITUTIONAL CLASS	'003020799	GASIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN DIVERSIFIED INCOME FUND CLASS A	'003020104	GMAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN DIVERSIFIED INCOME FUND CLASS I	'003020500	GMAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN DIVERSIFIED INCOME FUND INSTITUTIONAL SERVICE CLASS	'003020609	GAMSX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN DYNAMIC ALLOCATION FUND CLASS A	'003020708	GMMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN DYNAMIC ALLOCATION FUND INSTITUTIONAL CLASS	'003020864	GMMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN DYNAMIC ALLOCATION FUND INSTITUTIONAL SERVICE CLASS	'003020856	GAASX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN DYNAMIC DIVIDEND FUND INSTITUTIONAL CLASS	'003022431	ADVDX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN EMERGING MARKETS DEBT FUND CLASS A	'003021151	AKFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN EMERGING MARKETS DEBT FUND INSTITUTIONAL CLASS	'003021128	AKFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN EMERGING MARKETS DEBT FUND INSTITUTIONAL SERVICE CLASS	'003021110	AKFSX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN EMERGING MARKETS FUND CLASS A	'003021250	GEGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN EMERGING MARKETS FUND INSTITUTIONAL CLASS	'003021714	ABEMX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN EMERGING MARKETS FUND INSTITUTIONAL SERVICE CLASS	'003021656	AEMSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN FOCUSED U.S. EQUITY FUND CLASS A	'003020377	MLSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN FOCUSED U.S. EQUITY FUND INSTITUTIONAL CLASS	'003020336	GGUIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN FOCUSED U.S. EQUITY FUND INSTITUTIONAL SERVICE CLASS	'003020328	AELSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN GLOBAL EQUITY FUND CLASS A	'003020310	GLLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN GLOBAL EQUITY FUND INSTITUTIONAL CLASS	'003020260	GWLIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN GLOBAL EQUITY FUND INSTITUTIONAL SERVICE CLASS	'003020252	GLLSX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN GLOBAL EQUITY IMPACT FUND CLASS A	'04315J845	JETAX	No/Low Load; FundVest Focus	Initial : 100.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN GLOBAL EQUITY IMPACT FUND INSTITUTIONAL CLASS	'04315J837	JETIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN GLOBAL HIGH INCOME FUND CLASS A	'04315J878	BJBHX	No/Low Load; FundVest Focus	Initial : 100.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN GLOBAL HIGHINCOME FUND CLASS I	'04315J860	JHYIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN GLOBAL INFRASTRUCTURE FUND INSTITUTIONAL CLASS	'003022415	AIFRX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN GLOBAL UNCONSTRAINED FIXED INCOME FD INSTL CL	'003021730	AGCIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN GLOBAL UNCONSTRAINED FIXED INCOME FD INSTL SERVICE CLASS	'003021722	CGFIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN GLOBAL UNCONSTRAINED FIXED INCOME FUND CLASS A	'003021755	CUGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INCOME BUILDER FUND CLASS A	'003022449	AAADX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INCOME BUILDER FUND INSTITUTIONAL CLASS	'003022456	AADDX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INT'L SMALL CAP FUND CLASS A	'003021821	WVCCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INT'L SMALL CAP FUND CLASS R	'003021813	WVPAV	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INT'L SMALL CAP FUND INSTITUTIONAL CLASS	'003021789	ABNIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INT'L SMALL CAP FUND INSTITUTIONAL SERVICE CLASS	'003021771	AGISX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INTERMEDIATE MUNICIPAL INCOME FUND CLASS A	'003020161	NTFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INTERMEDIATE MUNICIPAL INCOME FUND INSTITUTIONAL CLASS	'003022209	ABEIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INTERNATIONAL EQUITY FUND CLASS A	'003019445	GIGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INTERNATIONAL EQUITY FUND CLASS I	'003019395	GIGIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INTERNATIONAL EQUITY FUND CLASS R	'003019411	GIRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INTERNATIONAL EQUITY FUND INSTL SERVICE CLASS	'003019387	GIGSX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INTERNATIONAL REAL ESTATE EQUITY FUND CLASS A	'003022373	EGALX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INTERNATIONAL REAL ESTATE EQUITY FUND INSTITUTIONAL CLASS	'003022381	EGLRX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN JAPANESE EQUITIES FUND CLASS A	'003022837	AJEAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ABERDEEN FUNDS	ABERDEEN JAPANESE EQUITIES FUND INSTITUTIONAL CLASS	'003022795	AJEXX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
ABERDEEN FUNDS	ABERDEEN JAPANESE EQUITIES FUND INSTITUTIONAL SERVICE CLASS	003022787	AJESX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN INTERMEDIATE MUNICIPAL INCOME FUND INSTITUTIONAL SERVICE	003022308	ABESX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN REALTY INCOME & GROWTH FUND CLASS A	003022357	AIAGX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN REALTY INCOME & GROWTH FUND INSTITUTIONAL CLASS	003022365	AIQYX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN SELECT INTERNATIONAL EQUITY FUND CLASS A	04315J407	BJBIX	No/Low Load; FundVest Focus	Initial: 100.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN SELECT INTERNATIONAL EQUITY FUND CLASS I	04315J506	JIEXI	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN SHORT DURATION HIGH YIELD MUNICIPAL FUND CLASS A	003022332	AAHMX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN SHORT DURATION HIGH YIELD MUNICIPAL FUND INSTITUTIONAL CLASS	003022340	AHYMX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN TOTAL RETURN BOND FD CL A	04315J100	BJBGX	No/Low Load; FundVest Focus	Initial: 100.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN TOTAL RETURN BOND FD CL I	04315J209	JBGIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN U.S. MID CAP EQUITY FUND CLASS A	003022712	GUEAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN U.S. MID CAP EQUITY FUND INSTITUTIONAL CLASS	003022662	GUEIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN U.S. MID CAP EQUITY INSTITUTIONAL FUND SERVICE CLASS	003022670	GUESX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN U.S. MULTI-CAP EQUITY FUND CLASS A	003021425	GXXAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN U.S. MULTI-CAP EQUITY FUND INSTITUTIONAL CLASS	003021383	GGLIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN U.S. MULTI-CAP EQUITY FUND INSTITUTIONAL SERVICE CLASS	003021375	GXXIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN U.S. SMALL CAP EQUITY FUND CLASS A	003020716	GSXAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN U.S. SMALL CAP EQUITY FUND CLASS I	003020666	GSXCX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN U.S. SMALL CAP EQUITY FUND INSTITUTIONAL SERVICE CLASS	003020658	GSXIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN ULTRA SHORT MUNICIPAL INCOME FUND CLASS A	003022316	ATOAX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABERDEEN FUNDS	ABERDEEN ULTRA SHORT MUNICIPAL INCOME FUND INSTITUTIONAL CLASS	003022324	ATOIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABSL FUNDSSETTLE	INDIA FRONTLINE EQUITY FUND CLASS A (USD) ISIN IE00B18RGK74	G0R80V108	N/A	No/Low Load; Offshore	Initial: 0.0; Sub: 0.0	Non FundServFunds	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABSL FUNDSSETTLE	INDIA FRONTLINE EQUITY FUND CLASS D (USD) ISIN IE00B18RGN06	G0R80V132	N/A	No/Low Load; Offshore	Initial: 0.0; Sub: 0.0	Non FundServFunds	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABSL FUNDSSETTLE	INDIA QUALITY ADVANTAGE FUND CLASS A (USD) ISIN IE00B18RGP20	G0R80V140	N/A	No/Low Load; Offshore	Initial: 0.0; Sub: 0.0	Non FundServFunds	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABSL FUNDSSETTLE	INDIA QUALITY ADVANTAGE FUND CLASS D (USD) ISIN IE00B18RGS50	G0R80V165	N/A	No/Low Load; Offshore	Initial: 0.0; Sub: 0.0	Non FundServFunds	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABSL FUNDSSETTLE	INDIA QUALITY ADVANTAGE FUND CLASS D (USD) ISIN IE00B18RGS50	G0R80V173	N/A	No/Low Load; Offshore	Initial: 0.0; Sub: 0.0	Non FundServFunds	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABSOLUTE CAPITAL FUNDS	ABSOLUTE CAPITAL ASSET ALLOCATOR FUND CLASS A	66538G353	AAMAX	Load	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABSOLUTE CAPITAL FUNDS	ABSOLUTE CAPITAL ASSET ALLOCATOR FUND INVESTOR CLASS	66538G338	AAMCX	No/Low Load	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABSOLUTE CAPITAL FUNDS	ABSOLUTE CAPITAL DEFENDER FUND CLASS A	66538G320	ACMAX	Load	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ABSOLUTE CAPITAL FUNDS	ABSOLUTE CAPITAL DEFENDER FUND INVESTOR CLASS	66538G296	ACMDX	No/Low Load	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ADIRONDACK FUNDS	ADIRONDACK SMALL CAP FUND	00688P103	ADKSX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ADVISORS INNER CIRCLE FDSI	CARDINAL SMALL CAP VALUE FUND INSTITUTIONAL CLASS	00776Y273	CCMSX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ADVISORS INNER CIRCLE FDSI	CHIRON CAPITAL ALLOCATION FUND CLASS I	00771X583	CCAPX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ADVISORS INNER CIRCLE FDSI	CHIRON SMID OPPORTUNITIES FUND INSTITUTIONAL CLASS	00774Q403	CSMOX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ADVISORS INNER CIRCLE FDSI	PINEBRIDGE DYNAMIC ASSET ALLOCATION FUND INSTITUTIONAL CLASS	00771X575	PDAIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ADVISORS INNER CIRCLE FDSI	PINEBRIDGE DYNAMIC ASSET ALLOCATION FUND INVESTOR CLASS	00771X567	PDAVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AEGIS FUNDS	AEGIS VALUE FUND	00761L102	AVVAL	No/Low Load	Initial: 5000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AEGIS FUNDS	AEGIS VALUE FUND CLASS A	00764V305	AVFAX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AKRE FUNDS	AKRE FOCUS FUND INSTITUTIONAL CLASS	742935125	AKRIX	No/Low Load	Initial: 250000.0; Sub: 25000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AKRE FUNDS	AKRE FOCUS FUND RETAIL CLASS	742935117	AKREX	No/Low Load; FundVest Focus	Initial: 250.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AL FRANK FUNDS	AL FRANK FUND ADVISOR CLASS	66538A349	VALAX	No/Low Load	Initial: 100000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AL FRANK FUNDS	AL FRANK FUND INVESTOR CLASS	66538A356	VALUX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 12:00 AM	
ALLIANZ FUNDS	ALLIANZ GI REAL ALLIANZ GI REAL INSTITUTIONAL CLASS	01882F552	ARIEX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI BEST STYLES GLOBAL EQUITY FUND CLASS A	01882F875	ALLGX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI BEST STYLES GLOBAL EQUITY FUND CLASS P	01882G204	ALGPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI BEST STYLES GLOBAL EQUITY FUND INSTITUTIONAL CLASS	01882F867	ALLHX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI BEST STYLES INTERNATIONAL EQUITY FUND CLASS A	01882F776	AXABX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI BEST STYLES INTERNATIONAL EQUITY FUND INST CL	01882G824	ASTYX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI BEST STYLES U.S. EQUITY FUND CLASS A	01882F750	AABUX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI BEST STYLES U.S. EQUITY FUND CLASS P	01882G303	ALBPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI BEST STYLES U.S. EQUITY FUND INSTITUTIONAL CLASS	01882G501	ABTLX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI CONVERTIBLE FUND ADMINISTRATIVE CLASS	01900C631	ANNAX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI CONVERTIBLE FUND CLASS A	01900C680	ANZAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI CONVERTIBLE FUND CLASS P	01900C342	ANCMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI CONVERTIBLE FUND INSTITUTIONAL CLASS	01900C649	ANPNX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI CORE BOND FUND CLASS P	01882F420	AOBPX	No/Low Load	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI CORE BOND FUND INSTITUTIONAL CLASS	01882F412	AOBIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI CORE PLUS BOND FUND CLASS P	01882F388	ACKPX	No/Low Load	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI CORE PLUS BOND FUND INSTITUTIONAL CLASS	01882F370	ACKIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI EMERGING MARKETS CONSUMER FUND CLASS A	01882G881	AMMAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI EMERGING MARKETS CONSUMER FUND INSTITUTIONAL CLASS	01882G873	AERIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI EMERGING MARKETS OPPORTUNITIES FUND CLASS A	018920629	AOTAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI EMERGING MARKETS OPPORTUNITIES FUND CLASS P	018922401	AEMPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI EMERGING MARKETS OPPORTUNITIES FUND INSTITUTIONAL CLASS	018920637	AOTIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI EMERGING MARKETS SMALL-CAP FUND CLASS A	01882G865	ALMMX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI EMERGING MARKETS SMALL-CAP FUND INSTITUTIONAL CLASS	01882G857	ALAIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI EMERGING MARKETS SRI DEBT FUND CLASS A	01882F602	AGMAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI EMERGING MARKETS SRI DEBT FUND CLASS P	01882F800	AGMPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI EMERGING MARKETS SRI DEBT FUND INSTITUTIONAL CLASS	01882F883	AGMIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI FLOATING RATE NOTE FUND CLASS P	01882F560	AREPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI FOCUSED GROWTH FUND ADMINISTRATIVE CLASS	018918300	PGFAX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI FOCUSED GROWTH FUND CLASS A	018918318	PGWAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI FOCUSED GROWTH FUND CLASS P	018922781	AOGPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI FOCUSED GROWTH FUND INSTITUTIONAL CLASS	018918292	PGFIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL ALLOCATION FUND CLASS A	01900C771	PALAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

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a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
ALLIANZ FUNDS	ALLIANZGI GLOBAL ALLOCATION FUND CLASS P	01900C821	AGAPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL ALLOCATION FUND INSTITUTIONAL CLASS	01900C789	PALLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL DYNAMIC ALLOCATION FUND CLASS A	01900C706	ASGAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL DYNAMIC ALLOCATION FUND CLASS P	01900C870	AGSPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL DYNAMIC ALLOCATION FUND INSTITUTIONAL CL	01900C854	AGAIH	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL FUND INSTITUTIONAL CLASS	01882G808	ASTNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL HIGH YIELD FUND CLASS P	01882F578	AGHPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL HIGH YIELD FUND INSTITUTIONAL CLASS	01882F586	AGIHX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL NATURAL RESOURCES FUND CLASS A	018920710	ARMAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL NATURAL RESOURCES FUND CLASS P	018922732	APGPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL NATURAL RESOURCES FUND INSTITUTIONAL CLASS	018920108	RGLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL SMALL-CAP FUND CLASS A	018919522	RGSAV	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL SMALL-CAP FUND CLASS P	018922724	ARSPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL SMALL-CAP FUND INSTITUTIONAL CLASS	018919514	DGSCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL SUSTAINABILITY FUND CLASS A	01882G600	ASUAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL SUSTAINABILITY FUND CLASS P	01882G709	ASTPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL WATER FUND CLASS A	01900A106	AWTAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL WATER FUND CLASS P	01900A403	AWTPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GLOBAL WATER FUND INSTL CLASS	01900A718	AWTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GREEN BOND FUND CLASS A	01882F339	AGBFX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GREEN BOND FUND CLASS P	01882F321	AGBFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI GREEN BOND FUND INSTITUTIONAL CLASS	01882F313	ABGTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI HEALTH SCIENCES FUND CLASS A	018919423	RAGHX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI HEALTH SCIENCES FUND INSTITUTIONAL CLASS	018922484	HLHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI HIGH YIELD BOND FUND CLASS A	01900C615	AYBAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI HIGH YIELD BOND FUND CLASS P	01900C565	AYBPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI HIGH YIELD BOND FUND INSTITUTIONAL CLASS	01900C540	AYBIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI INCOME AND GROWTH FUND CL A	018920496	AZNAV	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI INCOME AND GROWTH FUND INSTL CLASS	018920512	AZNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI INCOME AND GROWTH FUND CLASS P	018922708	AIGPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI INTERNATIONAL SMALL CAP FUND CLASS A	01900C532	AOPAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI INTERNATIONAL SMALL-CAP FUND INSTITUTIONAL CLASS	01900C466	ALDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI INTERNATIONAL SMALL-CAP FUND CLASS P	01900C482	ALOPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI MICRO CAP FUND CLASS A	01880B637	GMCAV	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI MICRO CAP FUND CLASS P	01900C185	AAMPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI MICRO CAP FUND INSTITUTIONAL CLASS	01900C425	AMCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI MID-CAP FUND CLASS A	018919704	RMDAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI MID-CAP FUND CLASS P	018922583	ARMFX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI MID-CAP FUND INSTITUTIONAL CLASS	018919688	DRMCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI MULTI ASSET INCOME FUND CLASS A	01900A254	AGRAV	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI MULTI ASSET INCOME FUND CLASS P	01900A221	AGRPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI MULTI ASSET INCOME FUND CLASS R6	01900A197	AVRIV	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI MULTI ASSET INCOME FUND INSTITUTIONAL CLASS	01882F446	AVRNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ DIVIDEND VALUE FUND ADMINISTRATIVE CLASS	018918235	ANDAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ DIVIDEND VALUE FUND CLASS A	018918243	PNEAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ DIVIDEND VALUE FUND CLASS P	018922856	ADJIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ DIVIDEND VALUE FUND INSTITUTIONAL CLASS	018918227	NFJEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ EMERGING MARKETS VALUE FUND CLASS A	01880B348	AZMAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ EMERGING MARKETS VALUE FUND CLASS P	01880B314	AZMPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ EMERGING MARKETS VALUE FUND INSTITUTIONAL CLASS	01880B298	AZMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ INTERNATIONAL FUND CLASS A	018920702	AFJAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ INTERNATIONAL VALUE FUND CLASS P	018922849	AFVPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ INTERNATIONAL VALUE FUND INSTITUTIONAL CLASS	018920603	ANJIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ LARGE CAP VALUE FUND ADMINISTRATIVE CLASS	018918441	ALNFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ LARGE CAP VALUE FUND CLASS A	018918458	PNBAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ LARGE CAP VALUE FUND CLASS P	018922831	ALCPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ LARGE CAP VALUE FUND INSTITUTIONAL CLASS	018918433	ANVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ MID CAP VALUE FUND CLASS P	018922633	ANRPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ MID CAP VALUE FUND CLASS R	018918680	PRNRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ MID-CAP VALUE FUND ADMINISTRATIVE CLASS	018918631	PRAAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ MID-CAP VALUE FUND CLASS A	018918649	PQNAV	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ MID-CAP VALUE FUND INSTITUTIONAL CLASS	018918623	PRNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ MID-CAP VALUE FUND CLASS R6	018922336	ANPRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ SMALL-CAP VALUE FUND CLASS P	018922815	ASVPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ SMALL CAP VALUE FUND ADMINISTRATIVE CLASS	018918706	PVADX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ SMALL CAP VALUE FUND CLASS A	018918714	PCVAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ SMALL CAP VALUE FUND CLASS R	018918755	PNVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI NFJ SMALL CAP VALUE FUND INSTITUTIONAL CLASS	018918698	PSVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI PERFORMANCE FEE MANAGED FUTURES STRATEGY FD INST CL	01882F545	APMIV	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI PERFORMANCE FEE MANAGED FUTURES STRATEGY FUND CL P	01882F537	APMPX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI PERFORMANCE FEE STRUCTURED U.S. EQUITY FUND CLASS P	01882F461	APBPX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI PERFORMANCE FEE STRUCTURED U.S. EQUITY FUND INST CL	01882F479	APBIX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI PERFORMANCE FEE STRUCTURED U.S. FIXED INCOME FD CL P	01882F495	APKPX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI PERFORMANCE FEE STRUCTURED U.S. FIXED INCOME FD INST	01882F511	APKIX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI PREFERRED SECURITIES AND INCOME FUND CLASS P	01882F354	APUPX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
ALLIANZ FUNDS	ALLIANZGI PREFERRED SECURITIES AND INCOME FUND INSTITUTIONAL CLASS	01882F347	APEIX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2020 FUND CLASS A	01900A569	AGLAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2020 FUND CLASS P	01900A536	AGLPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2025 FD ADMINISTRATIVE CLASS	01880B827	GVDAX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2025 FD CLASS A	01880B868	GVSAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2025 FD CLASS P	01880B843	GVSPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2030 FUND CLASS A	01900A486	ABLAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2030 FUND CLASS P	01900A452	ABLPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2035 FD ADMINISTRATIVE CLASS	01880B769	GLVAL	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2035 FD CLASS A	01880B819	GVRAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2035 FD CLASS P	01880B785	GVPAV	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2040 FUND CLASS A	01900A411	AVSAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2040 FUND CLASS P	01900A379	AVSPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2045 FD ADMINISTRATIVE CLASS	01880B710	GBMAX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2045 FD CLASS A	01880B751	GBVAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2045 FD CLASS P	01880B736	GBVPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2050 FUND CLASS A	01900A338	ASNAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2050 FUND CLASS P	01900A296	ASNPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2055 FD ADMINISTRATIVE CLASS	01880B652	GLRAX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2055 FD CLASS P	01880B678	GLIPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI RETIREMENT 2055 FUND CLASS A	01880B694	GLIAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI SHORT DURATION HIGH INCOME FD CL A	01880B603	ASHAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI SHORT DURATION HIGH INCOME FUND CLASS P	01880B884	ASHPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI SHORT DURATION HIGH INCOME FUND INSTL CLASS	01880B876	ASHIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI SHORT DURATION HIGH INCOME FUND R6	01882G634	ASHSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI SHORT TERM BOND FUND CLASS A	01882G592	ASTHX	Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI SHORT TERM BOND FUND CLASS P	01882G584	ASTJX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI SHORT TERM BOND FUND INSTITUTIONAL CLASS	01882G576	ASTKX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI SMALL-CAP FUND CLASS A	018922575	AZBAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI SMALL-CAP FUND CLASS P	018922542	AZBPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI SMALL-CAP FUND INSTITUTIONAL CLASS	018922534	AZBIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI STRUCTURED RETURN FUND CLASS A	01880B454	AZIAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI STRUCTURED RETURN FUND CLASS P	01880B421	AZXPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI STRUCTURED RETURN FUND INSTITUTIONAL CLASS	01880B413	AZIXI	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI TECHNOLOGY FUND CLASS A	018919472	RAGTX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI TECHNOLOGY FUND CLASS P	018922674	ARTPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI TECHNOLOGY FUND INSTITUTIONAL CLASS	018919464	DRGTX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI U.S. EQUITY HEDGED FUND CLASS A	01880B397	AZUAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI U.S. EQUITY HEDGED FUND CLASS P	01880B363	AZUPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI U.S. EQUITY HEDGED FUND INSTITUTIONAL CLASS	01880B355	AZUIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI ULTRA MICRO CAP FUND CLASS A	01880B645	GUCAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI ULTRA MICRO CAP FUND CLASS P	01900C177	AAUPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALLIANZ FUNDS	ALLIANZGI ULTRA MICRO CAP FUND INSTITUTIONAL CLASS	01900C417	AUMIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPHACENTRIC FUNDS	ALPHACENTRIC INCOME OPPORTUNITIES FUND CLASS A	62827M169	IOFAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPHACENTRIC FUNDS	ALPHACENTRIC INCOME OPPORTUNITIES FUND CLASS I	62827M144	IOFIX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPHACENTRIC FUNDS	ALPHACENTRIC PREMIUM OPPORTUNITY FUND CLASS A	62827P766	HMXAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPHACENTRIC FUNDS	ALPHACENTRIC PREMIUM OPPORTUNITY FUND CLASS I	62827P741	HMXIX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPHACENTRIC FUNDS	ALPHACENTRIC ROBOTICS AND AUTOMATION FD CL A	62827P675	GNMAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPHACENTRIC FUNDS	ALPHACENTRIC ROBOTICS AND AUTOMATION FD CL I	62827P659	GNIXX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPHACENTRIC FUNDS	ALPHACENTRIC SYMMETRY STRATEGY FUND CLASS A	62827P386	SYMAY	Load; FundVest Institutional	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPHACENTRIC FUNDS	ALPHACENTRIC SYMMETRY STRATEGY FUND CLASS I	62827P360	SYMIX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS CORE COMM MGMT COMPLETE STRATEGY FUND CLASS A	31761R310	JCCSX	Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS KOTAK INDIA GROWTH FUND CLASS A	31761R245	INAAAX	Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS RED ROCKS LISTED PRIVATE EQUITY FUND CLASS A	31761R344	LPFAV	Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS SMITH SHORT DURATION BOND FUND CLASS A	31761R377	SMASX	Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS SMITH SHORT DURATION BOND FUND CLASS I	31761R351	SMDSX	No/Low Load	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS SMITH SHORT DURATION BOND FUND INVESTOR CLASS	31761R385	SMRSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS SMITH TOTAL RETURN BOND FUND CLASS A	31761R427	SMAMX	Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS SMITH TOTAL RETURN BOND FUND CLASS I	31761R393	SMTHX	No/Low Load	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS SMITH TOTAL RETURN BOND FUND INVESTOR CLASS	31761R435	SMTRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS/CORE COMM MGMT COMP COMM STRAT FUND INVESTOR CLASS	317609675	JCRAX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS/CORECOMMODITY MANAGEMENT COMPLETE COMMODITIES STRATEGY FUND CL I	317609667	JCRIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS/KOTAK INDIA GROWTH FUND CLASS I	317609436	INDIX	No/Low Load	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS/RED ROCKS LISTED PRIVATE EQ CL I	317609782	LPEIX	No/Low Load	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS/RED ROCKS LISTED PRIVATE EQUITY FUND INVESTOR CLASS	317609816	LPPEX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS/WMC RESEARCH VALUE FUND CLASS A	31761R336	AMWAX	Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	ALPS/WMC RESEARCH VALUE FUND INVESTOR CLASS	317609758	AMWYX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	AMERICAN INDEPENDENCE KANSAS TAX-EXEMPT BOND FUND CLASS A	022110A530	IKSTX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	AMERICAN INDEPENDENCE KANSAS TAX-EXEMPT BOND FUND INSTITUTIONAL CLASS	022110A522	SEKSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	CLARKSTON FOUNDERS FUND CLASS I	022110A647	CIMDX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	CLARKSTON FUND INSTITUTIONAL CLASS	022110A662	CILGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	CLARKSTON PARTNERS FUND INSTITUTIONAL CLASS	022110A688	CISMX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	CLOUGH CHINA FUND CLASS A	31761R328	CHCAX	Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	CLOUGH CHINA FUND INSTITUTIONAL CLASS	317609717	CHNIX	No/Low Load	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ALPS SERIES TRUST FUNDS	CLOUGH CHINA FUND INVESTOR CLASS	317609733	CHNAX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
ALPS SERIES TRUST FUNDS	DDJ OPPORTUNISTIC HIGH YIELD FD CL II	02110A712	DDJRX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 2500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	DDJ OPPORTUNISTIC HIGH YIELD FUND CLASS I	02110A720	DDJXC	No/Low Load	Initial : 1000000.0; Sub : 50000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	DDJ OPPORTUNISTIC HIGH YIELD FUND INSTITUTIONAL CLASS	02110A696	DDJIX	No/Low Load; FundVest Institutional	Initial : 5000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	GRANDEUR PEAK EMERGING MARKETS OPPORTUNITIES FUND INSTITUTIONAL CLASS	31761R401	GPEIX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
ALPS SERIES TRUST FUNDS	GRANDEUR PEAK EMERGING MARKETS OPPORTUNITIES FUND INVESTOR CLASS	31761R302	GPEOX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
ALPS SERIES TRUST FUNDS	GRANDEUR PEAK GLOBAL CONTRARIAN FUND INSTITUTIONAL CLASS	31761R195	GPCCX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	GRANDEUR PEAK GLOBAL MICRO CAP FUND CLASS I	31761R732	GPMCX	No/Low Load	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	GRANDEUR PEAK GLOBAL OPPORTUNITIES FUND INSTITUTIONAL CLASS	317609360	GPPIX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
ALPS SERIES TRUST FUNDS	GRANDEUR PEAK GLOBAL OPPORTUNITIES FUND INVESTOR CLASS	317609386	GPPOX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
ALPS SERIES TRUST FUNDS	GRANDEUR PEAK GLOBAL REACH FUND INSTITUTIONAL CLASS	31761R203	GPRIX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
ALPS SERIES TRUST FUNDS	GRANDEUR PEAK GLOBAL REACH FUND INVESTOR CLASS	31761R104	GPROX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
ALPS SERIES TRUST FUNDS	GRANDEUR PEAK GLOBAL STALWARTS FUND CLASS I	31761R773	GGSYX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	GRANDEUR PEAK GLOBAL STALWARTS FUND INVESTOR CLASS	31761R781	GGSOX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	GRANDEUR PEAK INTERNATIONAL STALWARTS FD CL I	31761R757	GISYX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	GRANDEUR PEAK INTERNATIONAL STALWARTS FUND INVESTOR CLASS	31761R765	GISOX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	KOTAK INDIA GROWTH FUND INVESTOR CLASS	317609451	INDAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERFRONT ASSET ALLOCATION AGGRESSIVE FUND INVESTOR CLASS	317609527	RLTAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERFRONT ASSET ALLOCATION AGGRESSIVE FUND INVESTOR CLASS II	317609477	RLTSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERFRONT ASSET ALLOCATION AGGRESSIVE FUND CLASS A	31761R294	RLAAX	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERFRONT ASSET ALLOCATION AGGRESSIVE FUND CLASS I	317609543	RLFIX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERFRONT ASSET ALLOCATION AGGRESSIVE FUND CLASS L	317609469	RLTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
ALPS SERIES TRUST FUNDS	RIVERFRONT ASSET ALLOCATION GROWTH & INCOME FUND CLASS A	31761R278	RAGIX	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERFRONT ASSET ALLOCATION GROWTH AND INCOME FUND CLASS I	317609550	RLIIX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERFRONT ASSET ALLOCATION GROWTH AND INCOME FUND INVESTOR CLASS	317609576	RLGAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERFRONT ASSET ALLOCATION MODERATE FUND CLASS A	31761R260	RMOAX	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERFRONT ASSET ALLOCATION MODERATE FUND CLASS I	317609519	RMIIX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERFRONT ASSET ALLOCATION MODERATE FUND INVESTOR CLASS	317609485	RMIAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERNORTH CORE OPPORTUNITY FUND CLASS I	76881N889	RNCIX	No/Low Load	Initial : 5000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERNORTH CORE OPPORTUNITY FUND CLASS R	76881N103	RNCOX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERNORTH DOUBLE LINE STRATEGIC INCOME FUND CL R	76881N301	RNDLX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERNORTH DOUBLE LINE STRATEGIC INCOME FUND CLASS I	76881N202	RNSIX	No/Low Load; FundVest Focus	Initial : 100000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERNORTH/OAKTREE HIGH INCOME FUND CLASS I	76881N806	RNHIX	No/Low Load; FundVest Focus	Initial : 100000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RIVERNORTH/OAKTREE HIGH INCOME FUND CLASS R	76881N707	RNOTX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RONDURE NEW WORLD FUND INSTITUTIONAL CLASS	31761R559	RNIWX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RONDURE NEW WORLD FUND INVESTOR CLASS	31761R567	RNIWX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RONDURE OVERSEAS FUND INSTITUTIONAL CLASS	31761R534	ROSIK	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	RONDURE OVERSEAS FUND INVESTOR CLASS	31761R542	ROSOX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	SEAFARER OVERSEAS GROWTH AND INCOME FUND INSTITUTIONAL CLASS	317609295	SIGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	SEAFARER OVERSEAS GROWTH AND INCOME FUND INVESTOR CLASS	317609311	SFIGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
ALPS SERIES TRUST FUNDS	SEAFARER OVERSEAS VALUE FUND CLASS I	31761R591	SIVLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	SEVEN CANYONS STRATEGIC INCOME FUND INVESTOR CLASS	02110A589	WASIX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	SEVEN CANYONS WORLD INNOVATORS FUND INSTITUTIONAL CLASS	02110A563	WIGTX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	SEVEN CANYONS WORLD INNOVATORS FUND INVESTOR CLASS	02110A571	WAGTX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	WESMARK BALANCED FUND	951025303	WMBLX	No/Low Load	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	WESMARK GOVERNMENT BOND FUND	951025402	WMBDX	No/Low Load	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	WESMARK GROWTH FUND	951025204	WMKGX	No/Low Load	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	WESMARK SMALL COMPANY GROWTH FUND	951025501	WMKXS	No/Low Load	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	WESMARK TACTICAL OPPORTUNITY FUND	951025600	WMKTX	No/Low Load	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALPS SERIES TRUST FUNDS	WESMARK WEST VIRGINIA MUNICIPAL BOND FUND	951025105	WMKMX	No/Low Load	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTAIR ADVISOR FUNDS	ADARA SMALLER COMPANIES FUND	74925K342	ASC5Z	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTAIR ADVISOR FUNDS	AQUARIUS INTERNATIONAL FUND	74933W502	ASB5Z	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTEGRIS MANAGED FUNDS	ALTEGRIS FUTURES EVOLUTION STRATEGY FUND CLASS A	66537Y629	EVOAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTEGRIS MANAGED FUNDS	ALTEGRIS FUTURES EVOLUTION STRATEGY FUND CLASS I	66537Y595	EVOIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTEGRIS MANAGED FUNDS	ALTEGRIS FUTURES EVOLUTION STRATEGY FUND CLASS N	66537Y587	EVOXN	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTEGRIS MANAGED FUNDS	ALTEGRIS GSA TREND STRATEGY FUND CLASS A	66538J100	TRNAX	Load	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTEGRIS MANAGED FUNDS	ALTEGRIS GSA TREND STRATEGY FUND CLASS I	66538J209	TRNIX	No/Low Load	Initial : 1000000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTEGRIS MANAGED FUNDS	ALTEGRIS GSA TREND STRATEGY FUND CLASS N	66538J308	TRNNX	No/Low Load	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTEGRIS MANAGED FUNDS	ALTEGRIS MANAGED FUTURES STRATEGY FUND CLASS A	66537V351	MFTAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTEGRIS MANAGED FUNDS	ALTEGRIS MANAGED FUTURES STRATEGY FUND CLASS I	66537V336	MFTIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTEGRIS MANAGED FUNDS	ALTEGRIS MANAGED FUTURES STRATEGY FUND CLASS O	66537X258	MFTOX	No/Low Load	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTEGRIS MANAGED FUNDS	ALTEGRIS/AACA OPPORTUNISTIC REAL ESTATE FUND O	66538B719	RAAAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTEGRIS MANAGED FUNDS	ALTEGRIS/AACA OPPORTUNISTIC REAL ESTATE FUND I	66538B865	RAAIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ALTEGRIS MANAGED FUNDS	ALTEGRIS/AACA OPPORTUNISTIC REAL ESTATE FUND N	66538B727	RAANX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST DEFENSIVE GROWTH FUND CLASS A	02365Y100	DGQAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST DEFENSIVE GROWTH FUND CLASS I	02365Y308	DGQIX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST DEFENSIVE GROWTH FUND CLASS U	02365Y209	DGQUX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST INCOME FUND CLASS A	02365Y407	APFAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST INCOME FUND CLASS I	02365Y605	APFIX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST INCOME FUND CLASS U	02365Y506	APFUX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST LARGE CAP SHARE BUYBACK FUND CLASS A	02365Y811	SBQAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST LARGE CAP SHARE BUYBACK FUND CLASS I	02365Y787	SBQIX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST LARGE CAP SHARE BUYBACK FUND CLASS U	02365Y795	SBQUX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST SEASONAL ROTATION FUND CLASS A	02365Y852	STQAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST SEASONAL ROTATION FUND CLASS I	02365Y837	STQIX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST SEASONAL ROTATION FUND CLASS U	02365Y845	STQUX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AMERICAFIRST FUNDS	AMERICAFIRST TACTICAL ALPHA FUND CLASS A	02365Y704	ABRFX	Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST TACTICAL ALPHA FUND CLASS I	02365Y803	ABRWX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAFIRST FUNDS	AMERICAFIRST TACTICAL ALPHA FUND CLASS U	02365Y886	ABRUX	Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ACADIAN EMERGING MANAGED VOLATILITY FUND INVESTOR CLASS	024525818	ACDPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ACADIAN EMERGING MARKETS MANAGED VOLATILITY FUND CL Y	024525834	ACDXY	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ACADIAN EMERGING MARKETS MANAGED VOLATILITY FUND CLASS A	024525859	ACDAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ACADIAN EMERGING MARKETS MANAGED VOLATILITY FUND INST	024525826	ACDIX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON AHL MANAGED FUTURES STRATEGY FUND CLASS A	024525644	AHLAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON AHL MANAGED FUTURES STRATEGY FUND CLASS Y	024525677	AHLXY	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON AHL MANAGED FUTURES STRATEGY FUND INSTITUTIONAL CLASS	024525669	AHLIX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON AHL MANAGED FUTURES STRATEGY FUND INVESTOR CLASS	024525651	AHLPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON AHL TARGETRISK FUND CLASS A	024526212	AHTAX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON AHL TARGETRISK FUND CLASS Y	024526337	AHTYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON AHL TARGETRISK FUND INSTITUTIONAL CLASS	024526329	AHTIX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON AHL TARGETRISK FUND INVESTOR CLASS	024526311	AHTPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ALPHA QUANT CORE FUND CLASS Y	024526402	AQCXY	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ALPHA QUANT CORE FUND INSTITUTIONAL CLASS	024526501	AQCIX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON ALPHA QUANT CORE FUND INVESTOR CLASS	024526600	AQCPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ALPHA QUANT DIVIDEND FUND CLASS Y	024526709	AQDXY	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ALPHA QUANT DIVIDEND FUND INSTITUTIONAL CLASS	024526808	AQDIX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON ALPHA QUANT DIVIDEND FUND INVESTOR CLASS	024526881	AQDPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ALPHA QUANT QUALITY FUND CLASS Y	024526873	AQQXY	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ALPHA QUANT QUALITY FUND INSTITUTIONAL CLASS	024526865	AQQIX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON ALPHA QUANT QUALITY FUND INVESTOR CLASS	024526857	AQQPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ALPHA QUANT VALUE FUND CLASS Y	024526840	AQVXY	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ALPHA QUANT VALUE FUND INSTITUTIONAL CLASS	024526832	AQVVX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON ALPHA QUANT VALUE FUND INVESTOR CLASS	024526824	AQVPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON APOLLO TOTAL RETURN FUND CLASS Y	02452M100	ATRYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 12:00 AM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ARK DISRUPTIVE INNOVATION FUND CLASS Y	024526105	ADNYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ARK DISRUPTIVE INNOVATION FUND INST. CLASS	024526303	ADNIX	No/Low Load	Initial: 50000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON ARK DISRUPTIVE INNOVATION FUND INVESTOR CLASS	024526204	ADNPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ARK TRANSFORMATIONAL INNOVATION FUND CLASS A	024526295	ADNAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BAHL & GAYNOR SMALL CAP GROWTH FUND CLASS A	024525636	GBSAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BAHL & GAYNOR SMALL CAP GROWTH FUND CLASS Y	024525610	GBSYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BAHL & GAYNOR SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	024525594	GBSIX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON BAHL & GAYNOR SMALL CAP GROWTH FUND INVESTOR CLASS	024525586	GBSPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BALANCED FUND CLASS A	024524753	ABFAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BALANCED FUND (INSTITUTIONAL CLASS)	02368A109	AADBX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON BALANCED FUND ADVISOR CLASS	02368A364	ABLSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BALANCED FUND CLASS Y	024524100	ACBYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BALANCED FUND INVESTOR CLASS	02368A828	AABPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BRIDGEWAY LARGE CAP GROWTH FD INST CL	024525370	BRLGX	No/Low Load	Initial: 50000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON BRIDGEWAY LARGE CAP GROWTH FD INVESTOR CL	024525362	BLVYX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BRIDGEWAY LARGE CAP GROWTH FUND CLASS A	024525412	BLVAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BRIDGEWAY LARGE CAP GROWTH FUND CLASS Y	024525388	BLVYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BRIDGEWAY LARGE CAP VALUE FUND CLASS A	024524159	BWLAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BRIDGEWAY LARGE CAP VALUE FUND CLASS Y	024524134	BWLXY	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BRIDGEWAY LARGE CAP VALUE FUND INSTL CL	024524126	BRLVX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON BRIDGEWAY LARGE CAP VALUE FUND INVESTOR CLASS	024524118	BWLIX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON CONTINUOUS CAPITAL EMERGING MARKETS FUND CLASS Y	024526360	CCEYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON CONTINUOUS CAPITAL EMERGING MARKETS FUND INSTL CLASS	024526352	CCEIX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON CONTINUOUS CAPITAL EMERGING MKTS FUND INVESTOR CLASS	024526345	CCEPX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON CRESENT SHORT DURATION HIGH INCOME FUND CLASS A	024525578	ACHAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON CRESENT SHORT DURATION HIGH INCOME FUND CLASS I	024525545	ACHIX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON CRESENT SHORT DURATION HIGH INCOME FUND CLASS Y	024525552	ACHYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON CRESENT SHORT DURATION HIGH INCOME FUND INVESTOR CLASS	024525537	ACHPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON GARCIA HAMILTON QUALITY BOND FUND INST CLASS	024525255	GHQIX	No/Low Load	Initial: 50000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON GARCIA HAMILTON QUALITY BOND FUND INVESTOR CLASS	024525248	GHQPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON GARCIA HAMILTON QUALITY BOND FUND Y CLASS	024525263	GHQYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON GLG TOTAL RETURN FUND CLASS A	024525214	GLGAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON GLG TOTAL RETURN FUND CLASS Y	024525180	GLGYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON GLG TOTAL RETURN FUND INSTITUTIONAL CLASS	024525230	GLGIX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON GLG TOTAL RETURN FUND INVESTOR CLASS	024525222	GLGPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON GLOBAL EVOLUTION FRONTIER MARKETS INCOME FUND CLASS A	024525743	AGUAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON GLOBAL EVOLUTION FRONTIER MARKETS INCOME FUND CLASS Y	024525727	AGEYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON GLOBAL EVOLUTION FRONTIER MARKETS INCOME FUND INST CL	024525719	AGEIX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON GLOBAL EVOLUTION FRONTIER MARKETS INCOME FUND INVESTOR	024525693	AGEPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON INTERNATIONAL EQUITY FUND (INSTITUTIONAL CLASS)	02368A406	AIEXX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON INTERNATIONAL EQUITY FUND ADVISOR CLASS	02368A422	AIISX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON INTERNATIONAL EQUITY FUND CLASS A	024524720	AIEXX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON INTERNATIONAL EQUITY FUND CLASS Y	02368A190	ABEYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON INTERNATIONAL EQUITY FUND INVESTOR CLASS	02368A794	AIIPX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON IONIC STRATEGIC ARBITRAGE FD CL Y	024525495	IONYX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON IONIC STRATEGIC ARBITRAGE FUND CLASS A	024525529	IONAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON IONIC STRATEGIC ARBITRAGE FUND INSTITUTIONAL CLASS	024525487	IONIX	No/Low Load	Initial: 50000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AMERICAN BEACON FUNDS	AMERICAN BEACON IONIC STRATEGIC ARBITRAGE FUND INVESTOR CLASS	024525479	IIONPX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON LARGE CAP VALUE FUND ADVISOR CLASS	02368A356	AVASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON LARGE CAP VALUE FUND CLASS A	024524746	ALVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON LARGE CAP VALUE FUND CLASS Y	02368A174	ABLYX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON LARGE CAP VALUE FUND INVESTOR CLASS	02368A810	AAGPX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON LARGE-CAP VALUE FUND (INSTITUTIONAL CLASS)	02368A208	AADEX	No/Low Load	Initial : 50000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON LONDON COMPANY INCOME EQUITY FUND CLASS A	024527103	ABCAV	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON LONDON COMPANY INCOME EQUITY FUND CLASS Y	024527301	ABCYX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON LONDON COMPANY INCOME EQUITY FUND INSTITUTIONAL CLASS	024527400	ABCIX	No/Low Load	Initial : 50000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON LONDON COMPANY INCOME EQUITY FUND INVESTOR CLASS	024527509	ABCVX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON MID CAP VALUE FUND ADVISOR CLASS	02368A273	AMCSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON MID CAP VALUE FUND INSTITUTIONAL CL	02368A315	AACIX	No/Low Load	Initial : 50000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON MID CAP VALUE FUND INVESTOR CLASS	02368A399	AMPAX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON MID-CAP VALUE FUND CLASS A	024524852	ABMAY	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON MID-CAP VALUE FUND CLASS Y	024524308	ACMYX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SHAPIRO EQUITY OPPORTUNITIES FUND CLASS Y	024526493	SHXYX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SHAPIRO EQUITY OPPORTUNITIES FUND INST CLASS	024526527	SHXIX	No/Low Load	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON SHAPIRO EQUITY OPPORTUNITIES FUND INVESTOR CLASS	024526519	SHXPX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SHAPIRO SMID CAP EQUITY FUND CLASS Y	024526485	SHDYX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SHAPIRO SMID CAP EQUITY FUND INST CLASS	024526477	SHDIX	No/Low Load	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SHAPIRO SMID CAP EQUITY FUND INVESTOR CLASS	024526469	SHDPX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SIM HIGH YIELD OPP FUND CLASS A	024524324	SHOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SIM HIGH YIELD OPP FUND CLASS Y	024524290	SHOYX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SIM HIGH YIELD OPP FUND INSTITUTIONAL CLASS	024524282	SHOIX	No/Low Load	Initial : 50000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON SIM HIGH YIELD OPP FUND INVESTOR CLASS	024524274	SHYPX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SMALL CAP VALUE FUND CLASS A	024524845	ABSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SMALL CAP VALUE FUND CLASS Y	02368A182	ABSXY	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SMALL-CAP VALUE FUND INST. CLASS	02368A638	AVFIX	No/Low Load	Initial : 50000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON SMALL-CAP VALUE FUND INVESTOR CLASS	02368A620	AVPAX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SOUND POINT ENHANCED INCOME FUND CLASS Y	024536104	SPEYX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 12:00 AM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SOUND POINT FLOATING RATE INCOME FD INST CL	024525313	SPFLX	No/Low Load	Initial : 50000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON SOUND POINT FLOATING RATE INCOME FUND CLASS A	024525347	SOUAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SOUND POINT FLOATING RATE INCOME FUND CLASS Y	024525321	SPFYX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SOUND POINT FLOATING RATE INCOME FUND INVESTOR CLASS	024525297	SPFPX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SOUND POINT FLOATING RATE INCOME FUND SP CLASS	024525354	SPFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SSI ALTERNATIVE INCOME FUND CLASS I	024526220	PSICX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SSI ALTERNATIVE INCOME FUND INSTITUTIONAL CLASS	024526246	SSIUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON SSI ALTERNATIVE INCOME FUND INVESTOR CLASS	024526238	PSICX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON STEPHENS MID-CAP GROWTH FUND CLASS A	024524183	SMFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON STEPHENS MID-CAP GROWTH FUND CLASS Y	024524167	SMFYX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON STEPHENS MID-CAP GROWTH FUND INSTL CL	024524217	SMFIM	No/Low Load	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON STEPHENS MID-CAP GROWTH FUND INVESTOR CLASS	024524191	STMGX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON STEPHENS SMALL CAP GROWTH FUND CLASS A	02368A166	SPWAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON STEPHENS SMALL CAP GROWTH FUND CLASS Y	02368A125	SPWYX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON STEPHENS SMALL CAP GROWTH FUND INSTL CL	02368A141	STSIX	No/Low Load	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON STEPHENS SMALL CAP GROWTH FUND INVESTOR CLASS	02368A133	STSGX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON TOCQUEVILLE INTERNATIONAL VALUE FUND INVESTOR CLASS	024526378	TIVFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON TWENTY FOUR STRATEGIC INCOME FUND CLASS A	024526428	TFSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON TWENTYFOUR STRATEGIC INCOME FUND CLASS Y	024526667	TFGYX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON TWENTYFOUR STRATEGIC INCOME FUND INST CLASS	024526691	TFGIX	No/Low Load	Initial : 50000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON TWENTYFOUR STRATEGIC INCOME FUND INVESTOR CLASS	024526683	TFGPX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ZEBRA SMALL CAP EQUITY FUND CLASS A	024524662	AZSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ZEBRA SMALL CAP EQUITY FUND CLASS Y	024524654	AZSYX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	AMERICAN BEACON ZEBRA SMALL CAP EQUITY FUND INST CL	024524613	AZSIX	No/Low Load	Initial : 50000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMERICAN BEACON FUNDS	AMERICAN BEACON ZEBRA SMALL CAP EQUITY FUND INVESTOR CLASS	024524647	AZSPX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	TOCQUEVILLE INTERNATIONAL VALUE FUND CLASS Y	024526394	TOVYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN BEACON FUNDS	TOCQUEVILLE INTERNATIONAL VALUE FUND INSTITUTIONAL CLASS	024526386	TOVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMCAP FUND CLASS A	023375504	CAFAV	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMCAP FUND CLASS F1	023375884	CAFFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN BALANCED FUND CLASS A	024071508	CLBAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN BALANCED FUND CLASS F1	024071888	CLBFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN COLLEGE 2036 FUND CLASS A	02629M298	CCFAV	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN CORPORATE BOND FUND CLASS A	02629H604	COBAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN CORPORATE BOND FUND CLASS F1	02629H877	COBFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN DEVELOPING WORLD GROWTH AND INCOME FUND CLASS A	02630F605	CDWAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN DEVELOPING WORLD GROWTH AND INCOME FUND CLASS F-1	02630F878	CDWFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN EMERGING MARKETS BOND FUND CLASS A	02631F604	CBNAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN EMERGING MARKETS BOND FUND CLASS F1	02631F877	CBNFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS COLLEGE 2021 FUND CLASS A	02629M819	CTOAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS COLLEGE 2021 FUND CLASS F-1	02629M769	CTOFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS COLLEGE 2024 FUND CLASS A	02629M868	CFTAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS COLLEGE 2024 FUND CLASS F-1	02629M827	CTFFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS COLLEGE 2027 FUND CLASS A	02629M603	CSTAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS COLLEGE 2027 FUND CLASS F-1	02629M876	CTSFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS COLLEGE 2030 FUND CLASS A	02629M108	CTHAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AMERICAN FUNDS	529 AMERICAN FUNDS COLLEGE 2030 FUND CLASS F-1	02629M504	CTHFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS COLLEGE 2033 FUND CLASS A	02629M587	CTLAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS COLLEGE 2033 FUND CLASS F-1	02629M546	CTLFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS COLLEGE ENROLLMENT FUND CLASS A	02629M645	CENAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS COLLEGE ENROLLMENT FUND CLASS F-1	02629M595	CENFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS A	02630Y380	CIPAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS F1	02630Y349	CIPFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS GLOBAL BALANCED FUND CLASS A	02629W601	CBFAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS A	02630D600	CNLAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS F-1	02630D873	CNLFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS A	02630Y216	CBAAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS F-1	02630Y166	CBAFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS STRATEGIC BOND FUND CLASS A	02631E607	CANAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS STRATEGIC BOND FUND CLASS F-1	02631E870	CANFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS U.S. GOVERNMENT MONEY MARKET FUND CLASS A	02630U602	AAFXX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN FUNDS U.S. GOVERNMENT MONEY MARKET FUND CLASS F1	02630U875	FARXX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN GLOBAL BALANCED FUND CLASS F-1	02629W874	CBFFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN GLOBAL GROWTH PORTFOLIO FUND CLASS A	02630R559	CPGAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN GLOBAL GROWTH PORTFOLIO FUND CLASS F-1	02630R518	CGGFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN GROWTH AND INCOME PORTFOLIO FUND CLASS A	02630R708	CGNAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN GROWTH AND INCOME PORTFOLIO FUND CLASS F-1	02630R864	CGNFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN GROWTH PORTFOLIO FUND CLASS F-1	02630R682	CGPFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN GROWTH PORTFOLIO FUND CLASS A	02630R732	CGPAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN HIGH-INCOME TRUST FUND CLASS F1	026547885	CITFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN HIGH-INCOME TRUST FUND CLASS A	026547505	CITAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN MORTGAGE FUND CLASS A	02630V600	CMFAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN MORTGAGE FUND CLASS F1	02630V873	CMFFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN MUTUAL FUND CLASS A	027681501	CMLAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN MUTUAL FUND CLASS F1	027681881	CMLFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN PRESERVATION PORT FUND CLASS A	02630Y745	CPPIX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 AMERICAN PRESERVATION PORTFOLIO FUND CLASS F-1	02630Y695	CPPFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 CAPITAL INCOME BUILDER FUND CLASS A	140193509	CIRAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 CAPITAL INCOME BUILDER FUND CLASS F1	140193889	CIRFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 CAPITAL WORLD BOND FUND CLASS A	140541509	CCWAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 CAPITAL WORLD BOND FUND CLASS F1	140541889	CCWFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 CAPITAL WORLD GROWTH AND INCOME FUND CLASS A	140543505	CWIAAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 CAPITAL WORLD GROWTH AND INCOME FUND CLASS F1	140543885	CWIFFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 COLLEGE 2036 FUND CLASS F-1	02629M256	CTAFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 EUROPACIFIC GROWTH FUND CLASS A	298706508	CEUAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 EUROPACIFIC GROWTH FUND CLASS F1	298706888	CEUFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 FUNDAMENTAL INVESTORS FUND CLASS A	360802508	CFNAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 FUNDAMENTAL INVESTORS FUND CLASS F1	360802888	CFNFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 INTERMEDIATE BOND FUND OF AMERICA CLASS A	458809506	CBOAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 INTERMEDIATE BOND FUND OF AMERICA FUND CL F1	458809886	CBOFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 INTERNATIONAL GROWTH AND INCOME FUND CLASS A	45956T600	CGIAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 INTERNATIONAL GROWTH AND INCOME FUND CLASS F1	45956T873	CGIFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 INVESTMENT COMPANY OF AMERICA FUND CLASS F1	461308884	CICFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 NEW PERSPECTIVE FUND CLASS A	648018505	CNPAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 NEW PERSPECTIVE FUND CLASS F1	648018885	CNPFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 NEW WORLD FUND CLASS A	649280500	CNWAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 NEW WORLD FUND CLASS F1	649280880	CNWFAX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 SHORT-TERM BOND FUND OF AMERICA CLASS A	82524A839	CAAFX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 SHORT-TERM BOND FUND OF AMERICA CLASS F1	82524A805	CFAMX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 SMALLCAP WORLD FUND CLASS A	831681507	CSMAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 SMALLCAP WORLD FUND CLASS F1	831681887	CSPEX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 THE BOND FUND OF AMERICA CLASS A	097873509	CFAAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 THE BOND FUND OF AMERICA FUND CLASS F1	097873889	CFAFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 THE GROWTH FUND OF AMERICA CLASS A	399874502	CGFAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 THE GROWTH FUND OF AMERICA CLASS F1	399874882	CGFFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 THE INCOME FUND OF AMERICA CLASS A	453320509	CIMAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 THE INCOME FUND OF AMERICA CLASS F1	453320889	CIMFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 THE INVESTMENT COMPANY OF AMERICA FUND CLASS A	461308504	CICAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 THE NEW ECONOMY FUND CLASS A	643822505	CNGAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 THE NEW ECONOMY FUND CLASS F1	643822885	CNGFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 U.S. GOVERNMENT SECURITIES FUND CLASS A	026300509	CGTAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 U.S. GOVERNMENT SECURITIES FUND CLASS F1	026300889	CGTFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 WASHINGTON MUTUAL INVESTORS FUND CLASS A	939330502	CWMAX	Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	529 WASHINGTON MUTUAL INVESTORS FUND CLASS F1	939330882	CWMFX	No/Low Load	Initial : 50.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AF MODERATE GROWTH AND INCOME FUND CLASS R5	02630Y117	RBAFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMCAP FUND CLASS A	023375108	AMCPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMCAP FUND CLASS F-1	023375405	AMPFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMCAP FUND CLASS F-2	023375827	AMCFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMCAP FUND CLASS F3	023375777	FMAXC	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMCAP FUND CLASS R1	023375876	RAFAFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMCAP FUND CLASS R2	023375868	RAFAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AMERICAN FUNDS	AMCAP FUND CLASS R3	023375850	RAFCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMCAP FUND CLASS R4	023375843	RAFEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMCAP FUND CLASS R5	023375835	RAFFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMCAP FUNDS CLASS R6	023375819	RAFGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2010 TARGET DATE RETIREMENT FUND CLASS F-1	02631C304	FAATX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2010 TARGET DATE RETIREMENT FUND CLASS F-2	02631C403	FBATX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2010 TARGET DATE RETIREMENT FUND CLASS R2-E	02631C536	RBEAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2015 TARGET DATE RETIREMENT FUND CLASS F-1	02631C700	FAKTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2015 TARGET DATE RETIREMENT FUND CLASS F-2	02631C809	FBFTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2015 TARGET DATE RETIREMENT FUND CLASS R2-E	02631C528	RBEJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2020 TARGET DATE RETIREMENT FUND CLASS F-1	02631C866	FAOTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2020 TARGET DATE RETIREMENT FUND CLASS F-2	02631C858	FBCTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2020 TARGET DATE RETIREMENT FUND CLASS R2-E	02631C510	RBEHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2025 TARGET DATE RETIREMENT FUND CLASS F-1	02631C825	FAPTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2025 TARGET DATE RETIREMENT FUND CLASS F-2	02631C817	FBDTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2025 TARGET DATE RETIREMENT FUND CLASS R2-E	02631C494	RBEDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2030 TARGET DATE RETIREMENT FUND CLASS F-1	02631C775	FAETX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2030 TARGET DATE RETIREMENT FUND CLASS F-2	02631C767	FBETX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2030 TARGET DATE RETIREMENT FUND CLASS R2-E	02631C486	RBEEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2035 TARGET DATE RETIREMENT FUND CLASS F-1	02631C734	FAQTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2035 TARGET DATE RETIREMENT FUND CLASS F-2	02631C726	FBFTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2035 TARGET DATE RETIREMENT FUND CLASS R2-E	02631C478	RBEFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2040 TARGET DATE RETIREMENT FUND CLASS F-1	02631C684	FAUTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2040 TARGET DATE RETIREMENT FUND CLASS F-2	02631C676	FBGTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2040 TARGET DATE RETIREMENT FUND CLASS R2-E	02631C460	RBEKX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2045 TARGET DATE RETIREMENT FUND CLASS F-1	02631C643	FATTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2045 TARGET DATE RETIREMENT FUND CLASS F-2	02631C635	FBHTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2045 TARGET DATE RETIREMENT FUND CLASS R2-E	02631C452	RBHHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2050 TARGET DATE RETIREMENT FUND CLASS F-1	02631C593	FAITX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2050 TARGET DATE RETIREMENT FUND CLASS F-2	02631C585	FBITX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2050 TARGET DATE RETIREMENT FUND CLASS R2-E	02630T191	RBHEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2055 TARGET DATE RETIREMENT FUND CLASS F-1	02631C551	FAJTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2055 TARGET DATE RETIREMENT FUND CLASS F-2	02631C544	FBITX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN 2055 TARGET DATE RETIREMENT FUND CLASS R2-E	02630T183	RBEMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN AMCAP FUND CLASS R2-E	023375793	RAEBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN BALANCED FUND CLASS A	024071102	ABALX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN BALANCED FUND CLASS F-1	024071409	BALFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN BALANCED FUND CLASS F-2	024071821	AMBFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN BALANCED FUND CLASS F3	024071771	AFMBX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN BALANCED FUND CLASS R-5	024071839	RLBFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN BALANCED FUND CLASS R1	024071870	RLBAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN BALANCED FUND CLASS R2	024071862	RLBBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN BALANCED FUND CLASS R2-E	024071797	RAMHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN BALANCED FUND CLASS R3	024071854	RLBCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN BALANCED FUND CLASS R4	024071847	RLBEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN BALANCED FUND CLASS R6	024071813	RLBGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CAPITAL INCOME BUILDER FUND CLASS R2-E	140193814	RCSEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CAPITAL WORLD BOND FUND CLASS R2-E	140541798	RCEBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CAPITAL WORLD GROWTH AND INCOME FUND CLASS R2-E	140543794	RWBEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CONSERVATIVE GROWTH AND INCOME FUND CLASS R5E	02630G207	RGOFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CORPORATE BOND FUND CLASS A	02629H109	BFCAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CORPORATE BOND FUND CLASS F1	02629H406	BFCFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CORPORATE BOND FUND CLASS F2	02629H505	BFCGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CORPORATE BOND FUND CLASS R1	02629H869	RCBAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CORPORATE BOND FUND CLASS R2	02629H851	RCBBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CORPORATE BOND FUND CLASS R2E	02629H794	RCBGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CORPORATE BOND FUND CLASS R3	02629H844	RCBCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CORPORATE BOND FUND CLASS R4	02629H836	RCBDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CORPORATE BOND FUND CLASS R5	02629H828	RCBEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CORPORATE BOND FUND CLASS R5E	02629H786	RCBHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN CORPORATE BOND FUND CLASS R6	02629H810	RCBFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN DEVELOPING WORLD GROWTH AND INCOME FUND CL F-2	02630F506	DWVGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN DEVELOPING WORLD GROWTH AND INCOME FUND CL R-1	02630F860	RDWAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN DEVELOPING WORLD GROWTH AND INCOME FUND CL R-2	02630F852	RDWBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN DEVELOPING WORLD GROWTH AND INCOME FUND CL R-3	02630F845	RDWCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN DEVELOPING WORLD GROWTH AND INCOME FUND CL R-4	02630F837	RDWEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN DEVELOPING WORLD GROWTH AND INCOME FUND CL R-5	02630F829	RDWFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN DEVELOPING WORLD GROWTH AND INCOME FUND CL R-6	02630F811	RDWGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN DEVELOPING WORLD GROWTH AND INCOME FUND CLASS A	02630F100	DWGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN DEVELOPING WORLD GROWTH AND INCOME FUND CLASS F-1	02630F407	DWGFY	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN DEVELOPING WORLD GROWTH AND INCOME FUND CLASS R2-E	02630F795	RDEGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN EMERGING MARKETS BOND FUND CLASS A	02631F109	EBNAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN EMERGING MARKETS BOND FUND CLASS F1	02631F406	EBNEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN EMERGING MARKETS BOND FUND CLASS F2	02631F505	EBNFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN EMERGING MARKETS BOND FUND CLASS R1	02631F869	REGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AMERICAN FUNDS	AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FD CL R1	02630T431	RAITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FD CL R2	02630T423	RBITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FD CL R3	02630T415	RCITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FD CL R4	02630T399	RDITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FD CL R5	02630T381	REITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FD CL R6	02630T373	RFTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2050 TARGET DATE RETIREMENT FUND CLASS F3	02631V880	DITFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FD CL A	02630T274	AAMTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FD CL R1	02630T266	RAMTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FD CL R2	02630T258	RBMTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FD CL R3	02630T241	RCMTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FD CL R4	02630T233	RDITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FD CL R5	02630T225	REKTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FD CL R6	02630T217	RFKTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2055 TARGET DATE RETIREMENT FUND CLASS F3	02631V872	FCITX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2060 TARGET DATE FUND CLASS R2-E	02631C361	RBENX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2060 TARGET DATE FUND CLASS R6	02631C320	RFUTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2060 TARGET DATE RETIREMENT FD CL A	02631C445	AAANTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2060 TARGET DATE RETIREMENT FD CL F1	02631C411	FAWTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2060 TARGET DATE RETIREMENT FD CL F2	02631C395	FBKTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2060 TARGET DATE RETIREMENT FD CL R1	02631C387	RANTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2060 TARGET DATE RETIREMENT FD CL R2	02631C379	RBNTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2060 TARGET DATE RETIREMENT FD CL R3	02631C353	RCNTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2060 TARGET DATE RETIREMENT FD CL R4	02631C346	RDKTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2060 TARGET DATE RETIREMENT FD CL R5	02631C338	REMTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS 2060 TARGET DATE RETIREMENT FUND CLASS F3	02631V864	FCCTX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS A	02630Y448	INPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS F-1	02630Y414	INPFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS F-2	02630Y398	INPEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS F-3	02630Q205	INPDX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS R-1	02630Y331	RNCAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS R-2	02630Y323	RINBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS R-2E	02630R377	RNBEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS R-3	02630Y315	RNCCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS R-4	02630Y299	RINEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS R-5	02630Y281	RINFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS CONSERVATIVE GROWTH AND INCOME FUND CLASS R-6	02630Y273	RINGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS CORPORATE BOND FUND CLASS F3	02629W778	CFBFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS DEVELOPING WORLD GROWTH AND INCOME FUND CLASS F3	02630F779	FDWGX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS EMERGING MARKETS BOND FUND CLASS F3	02631F778	EBNGX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS EUROPAIC GROWTH FUND CLASS R5	298706797	RRERX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GLOBAL BALANCED FUND CLASS A	02629W106	GBLAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GLOBAL BALANCED FUND CLASS F-1	02629W403	GBLEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GLOBAL BALANCED FUND CLASS F-2	02629W502	GBLFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GLOBAL BALANCED FUND CLASS F3	02629W775	GFBFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GLOBAL BALANCED FUND CLASS R1	02629W866	RGBLX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GLOBAL BALANCED FUND CLASS R2	02629W858	RGBBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GLOBAL BALANCED FUND CLASS R3	02629W841	RGBCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GLOBAL BALANCED FUND CLASS R4	02629W833	RGBEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GLOBAL BALANCED FUND CLASS R5	02629W825	RGBFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GLOBAL BALANCED FUND CLASS R6	02629W817	RGBGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GLOBAL GROWTH PORTFOLIO CLASS F3	02630R344	PGFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GLOBAL GROWTH PORTFOLIO FUND CLASS R5	02630G603	RGTFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GROWTH & INCOME PORTFOLIO FUND CLASS R5	02630G405	RGQFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GROWTH AND INCOME PORTFOLIO CLASS F3	02630R351	GAHX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GROWTH PORTFOLIO CLASS F3	02630R369	GWPD	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS GROWTH PORTFOLIO FUND CLASS R5	02630G504	RGFSX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS HIGH INCOME TR FUND CLASS R5	026547786	RITHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS A	02630D105	BFIAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS F-1	02630D402	BFIEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS F-2	02630D501	BFIGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS F3	02630D774	FILBX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R-1	02630D865	RILAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R-2	02630D857	RILBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R-2E	02630D790	RILGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R-3	02630D840	RILCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R-4	02630D832	RILD	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R-5	02630D824	RILEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INFLATION LINKED BOND FUND CLASS R-6	02630D816	RILFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INTERMEDIATE BOND FUND OF AMERICA FUND CLASS R5	458809795	RBOHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS INVESTMENT CO. AMERICA FUND CLASS R5	461308785	RICHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS A	02630Y265	BLPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS F-1	02630Y232	BLPFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS F-2	02630Y224	BLPEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS F-3	02630Q106	BLPDX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AMERICAN FUNDS	AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS R-1	02630Y158	RBAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS R-2	02630Y141	RBABX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS R-2E	02630R435	RBBOX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS R-3	02630Y133	RBACX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS R-4	02630Y125	RBACX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS R-6	02630R104	RBAGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MODERATE GROWTH AND INCOME FUND CLASS R5E	02630G306	RGPFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MORTGAGE FUND CLASS A	02630V105	MFAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MORTGAGE FUND CLASS F-1	02630V402	MFAEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MORTGAGE FUND CLASS F-2	02630V501	MFAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MORTGAGE FUND CLASS F3	02630V774	AFMFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MORTGAGE FUND CLASS R1	02630V865	RMAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MORTGAGE FUND CLASS R2	02630V857	RMABX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MORTGAGE FUND CLASS R3	02630V840	RMACX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MORTGAGE FUND CLASS R4	02630V832	RMAEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MORTGAGE FUND CLASS R5	02630V824	RMAFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS MORTGAGE FUND CLASS R6	02630V816	RMAGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS NEW ECONOMY FUND CLASS R5	643822786	RNGHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS NEW WORLD FUND CLASS R5	649280781	RNWHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS PRESERVATION PORTFOLIO CLASS F3	02630Q403	PPFFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT CONSERVATIVE FD CL A	02631L106	NAARX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT CONSERVATIVE FUND CLASS F-1	02631L403	FARWX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT CONSERVATIVE FUND CLASS F-2	02631L502	FDRWX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT CONSERVATIVE FUND CLASS R-1	02631L601	RARPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT CONSERVATIVE FUND CLASS R-2	02631L700	RDRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT CONSERVATIVE FUND CLASS R-2E	02631L809	RGRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT CONSERVATIVE FUND CLASS R-3	02631L882	RIRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT CONSERVATIVE FUND CLASS R-4	02631L874	RMRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT CONSERVATIVE FUND CLASS R-5	02631L866	RQRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT CONSERVATIVE FUND CLASS R-6	02631L858	RTRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT ENHANCED FD CL A	02631L718	NDARX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT ENHANCED FUND CLASS F-1	02631L676	FCFWX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT ENHANCED FUND CLASS F-2	02631L668	FGFWX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT ENHANCED FUND CLASS R-1	02631L650	RCRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT ENHANCED FUND CLASS R-2	02631L643	RFRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT ENHANCED FUND CLASS R-2E	02631L635	RIRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT ENHANCED FUND CLASS R-3	02631L627	RLRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT ENHANCED FUND CLASS R-4	02631L619	RPRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT ENHANCED FUND CLASS R-5	02631L593	RXRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT ENHANCED FUND CLASS R-6	02631L585	RVRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT MODERATE FD CL A	02631L841	NBARX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT MODERATE FUND CLASS F-1	02631L817	FBFWX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT MODERATE FUND CLASS F-2	02631L791	FHFWX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT MODERATE FUND CLASS R-1	02631L783	RBRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT MODERATE FUND CLASS R-2	02631L775	RERPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT MODERATE FUND CLASS R-2E	02631L767	RHRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT MODERATE FUND CLASS R-3	02631L759	RKRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT MODERATE FUND CLASS R-4	02631L742	RNRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT MODERATE FUND CLASS R-5	02631L734	RRRPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORT MODERATE FUND CLASS R-6	02631L726	RURPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO CONSERVATIVE CL F3	02631L544	FICWX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO ENHANCED CLASS F3	02631L528	FIEWX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS RETIREMENT INCOME PORTFOLIO MODERATE CLASS F3	02631L536	FIMWX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS SHORT-TERM TAX-EXEMPT BOND FUND CLASS F3	02630W707	SFTFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS SMALL CAP WORLD FUND CLASS R5	831681788	RLSDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS STRATEGIC BOND FUND CLASS A	02631E102	ANBAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS STRATEGIC BOND FUND CLASS F-1	02631E409	ANBEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS STRATEGIC BOND FUND CLASS F-2	02631E508	ANBFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS STRATEGIC BOND FUND CLASS F3	02631E771	ANBGX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS STRATEGIC BOND FUND CLASS R-1	02631E862	RANAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS STRATEGIC BOND FUND CLASS R-2	02631E854	RANBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS STRATEGIC BOND FUND CLASS R-2E	02631E847	RANHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS STRATEGIC BOND FUND CLASS R-3	02631E839	RANCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS STRATEGIC BOND FUND CLASS R-4	02631E821	RANEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS STRATEGIC BOND FUND CLASS R-5	02631E797	RANFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS STRATEGIC BOND FUND CLASS R-5E	02631E813	RANJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS STRATEGIC BOND FUND CLASS R-6	02631E789	RANGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS TAX-ADVANTAGED GROWTH AND INCOME FUND CLASS A	02630Y620	TAIAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS TAX-ADVANTAGED GROWTH AND INCOME FUND CLASS F-1	02630Y588	TAIFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS TAX-ADVANTAGED GROWTH AND INCOME FUND CLASS F-2	02630Y570	TXIFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS TAX-ADVANTAGED GROWTH AND INCOME FUND CLASS F-3	02630Q304	TYIFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS TAX-EXEMPT FUND OF NEW YORK CLASS A	02630X101	NYAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS TAX-EXEMPT FUND OF NEW YORK CLASS F3	02630X606	TFNYX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS TAX-EXEMPT FUND OF NEW YORK F-2	02630X507	NYAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS TAX-EXEMPT FUND OF NEW YORK F1	02630X408	NYAEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AMERICAN FUNDS	AMERICAN FUNDS TAX-EXEMPT PRESERVATION PORTFOLIO CLASS F3	02630Q502	TYEFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS U.S. GOVERNMENT MONEY MARKET FUND CLASS A	02630U107	AFAXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS U.S. GOVERNMENT MONEY MARKET FUND CLASS F1	02630U404	AFFXX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS U.S. GOVERNMENT MONEY MARKET FUND CLASS F2	02630U503	AFGXH	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS U.S. GOVERNMENT MONEY MARKET FUND CLASS F3	02630U776	USGXH	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS U.S. GOVERNMENT MONEY MARKET FUND CLASS R1	02630U867	RAAXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS U.S. GOVERNMENT MONEY MARKET FUND CLASS R2	02630U859	RABXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS U.S. GOVERNMENT MONEY MARKET FUND CLASS R2E	02630U792	RBEXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS U.S. GOVERNMENT MONEY MARKET FUND CLASS R3	02630U842	RACXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN FUNDS U.S. GOVERNMENT MONEY MARKET FUND CLASS R6	02630U818	RAFXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GLOBAL BALANCED FUND CLASS R2-E	02629W791	RGGHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GLOBAL GROWTH PORTFOLIO FUND CLASS A	02630R617	PGGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GLOBAL GROWTH PORTFOLIO FUND CLASS F-1	02630R575	PGGFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GLOBAL GROWTH PORTFOLIO FUND CLASS F-2	02630R567	PGWFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GLOBAL GROWTH PORTFOLIO FUND CLASS R-1	02630R492	RGGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GLOBAL GROWTH PORTFOLIO FUND CLASS R-2	02630R484	RGGBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GLOBAL GROWTH PORTFOLIO FUND CLASS R-3	02630R476	RGLCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GLOBAL GROWTH PORTFOLIO FUND CLASS R-4	02630R468	RGGEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GLOBAL GROWTH PORTFOLIO FUND CLASS R-5	02630R450	RGGFY	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GLOBAL GROWTH PORTFOLIO FUND CLASS R-6	02630R443	RGGGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GLOBAL GROWTH PORTFOLIO FUND CLASS R2-E	02630R427	REBXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH AND INCOME PORTFOLIO FUND CLASS A	02630R203	GAIOX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH AND INCOME PORTFOLIO FUND CLASS F-1	02630R500	GAIFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH AND INCOME PORTFOLIO FUND CLASS F2	02630R609	GAIEY	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH AND INCOME PORTFOLIO FUND CLASS R-1	02630R856	RGNAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH AND INCOME PORTFOLIO FUND CLASS R-2	02630R849	RGNBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH AND INCOME PORTFOLIO FUND CLASS R-3	02630R831	RAICX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH AND INCOME PORTFOLIO FUND CLASS R-4	02630R823	RGNEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH AND INCOME PORTFOLIO FUND CLASS R-5	02630R815	RGNFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH AND INCOME PORTFOLIO FUND CLASS R-6	02630R799	RGGNX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH AND INCOME PORTFOLIO FUND CLASS R2-E	02630R419	RBEGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH PORTFOLIO CLASS R1	02630R674	RGWAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH PORTFOLIO FUND CLASS A	02630R781	GWPAK	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH PORTFOLIO FUND CLASS F-1	02630R757	GWPEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH PORTFOLIO FUND CLASS F-2	02630R740	GWPEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH PORTFOLIO FUND CLASS R-2	02630R666	RGWXB	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH PORTFOLIO FUND CLASS R-3	02630R658	RGPCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH PORTFOLIO FUND CLASS R-4	02630R641	RGWEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH PORTFOLIO FUND CLASS R-5	02630R633	RGWFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH PORTFOLIO FUND CLASS R-6	02630R625	RGWGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN GROWTH PORTFOLIO FUND CLASS R2-E	02630R393	RBGEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH INCOME MUNICIPAL BOND FUND CLASS F-2	026545608	AHMFY	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH INCOME MUNICIPAL BOND FUND CLASS F-1	026545400	ABHFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH INCOME TRUST CLASS A	026547109	AHITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH INCOME TRUST CLASS F-1	026547406	AHTFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH INCOME TRUST CLASS F-2	026547828	AHIFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH INCOME TRUST CLASS R1	026547877	RITAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH INCOME TRUST CLASS R2	026547869	RITBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH INCOME TRUST CLASS R3	026547851	RITCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH INCOME TRUST CLASS R4	026547844	RITEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH INCOME TRUST CLASS R5	026547836	RITFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH-INCOME MUNICIPAL BOND FUND CLASS A	026545103	AMHIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH-INCOME MUNICIPAL BOND FUND CLASS F3	026545806	HIMFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH-INCOME TRUST CLASS F3	026547778	HIGFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH-INCOME TRUST CLASS R6	026547810	RITGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN HIGH-INCOME TRUST FUND CLASS R2-E	026547794	RTEHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN INTERNATIONAL GROWTH AND INCOME FUND CLASS R2-E	459561790	RIIEH	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN MORTGAGE FUND CLASS R2-E	02630V790	RMBEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN MUTUAL FUND CLASS A	027681105	AMRMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN MUTUAL FUND CLASS F-1	027681402	AMFFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN MUTUAL FUND CLASS F-2	027681824	AMRFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN MUTUAL FUND CLASS F3	027681774	AMFXX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN MUTUAL FUND CLASS R1	027681873	RMFAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN MUTUAL FUND CLASS R2	027681865	RMFBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN MUTUAL FUND CLASS R2-E	027681790	RMEBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN MUTUAL FUND CLASS R3	027681857	RMFCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN MUTUAL FUND CLASS R4	027681840	RMFFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN MUTUAL FUND CLASS R5	027681832	RMFFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN MUTUAL FUND CLASS R6	027681816	RMFGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN NEW PERSPECTIVE FUND CLASS R2-E	648018794	RPEBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN NEW WORLD FUND CLASS R2-E	649280799	RNEBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN PRESERVATION PORTFOLIO FUND CL A	02630Y794	PPVAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN PRESERVATION PORTFOLIO FUND CLASS F-1	02630Y760	PPVFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN PRESERVATION PORTFOLIO FUND CLASS F-2	02630Y752	PPPEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN PRESERVATION PORTFOLIO FUND CLASS R-1	02630Y687	RPPVX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AMERICAN FUNDS	AMERICAN PRESERVATION PORTFOLIO FUND CLASS R-2	02630Y679	RPPBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN PRESERVATION PORTFOLIO FUND CLASS R-3	02630Y661	RPPCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN PRESERVATION PORTFOLIO FUND CLASS R-4	02630Y653	RPPDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN PRESERVATION PORTFOLIO FUND CLASS R-5	02630Y646	RPPFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN PRESERVATION PORTFOLIO FUND CLASS R-6	02630Y638	RPPGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN PRESERVATION PORTFOLIO FUND CLASS R2-E	02630R385	RPBEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN SHORT-TERM TAX-EXEMPT BOND FUND CLASS A	02630W103	ASTEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN SHORT-TERM TAX-EXEMPT BOND FUND CLASS F-1	02630W509	FSTTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN SHORT-TERM TAX-EXEMPT BOND FUND CLASS F-2	02630W608	ASTFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN SMALLCAP WORLD FUND CLASS R2-E	831681796	RSEBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN TAX-EXEMPT PRESERVATION FUND CLASS A	02630Y109	TEPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN TAX-EXEMPT PRESERVATION FUND CLASS F-1	02630Y406	TEPEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN TAX-EXEMPT PRESERVATION FUND CLASS F-2	02630Y505	TPEFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	AMERICAN U.S. GOVERNMENT SECURITIES FUND CLASS R2-E	026300798	RGEVX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL INCOME BUILDER CLASS F3	140193780	CFIHX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL INCOME BUILDER FUND CLASS A	140193103	CAIBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL INCOME BUILDER FUND CLASS F-1	140193400	CIBFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL INCOME BUILDER FUND CLASS F-2	140194101	CAIFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL INCOME BUILDER FUND CLASS R1	140193871	RIRAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL INCOME BUILDER FUND CLASS R2	140193863	RIRBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL INCOME BUILDER FUND CLASS R3	140193855	RIRCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL INCOME BUILDER FUND CLASS R4	140193848	RIRDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL INCOME BUILDER FUND CLASS R5	140193830	RIRFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL INCOME BUILDER FUND CLASS R6	140193822	RIRGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD BOND FUND CLASS A	140541103	CWBFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD BOND FUND CLASS F-1	140541400	WBFFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD BOND FUND CLASS F-2	140541822	BFWFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD BOND FUND CLASS F3	140541111	WFBFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD BOND FUND CLASS R1	140541871	RCWAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD BOND FUND CLASS R2	140541863	RCWBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD BOND FUND CLASS R3	140541855	RCWCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD BOND FUND CLASS R4	140541848	RCWEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD BOND FUND CLASS R5	140541830	RCWFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD BOND FUND CLASS R6	140541814	RCWGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD GROWTH & INCOME FUND CLASS A	140543109	CWVGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD GROWTH & INCOME FUND CLASS F-1	140543406	CWGFY	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD GROWTH & INCOME FUND CLASS F-2	140543828	WGIFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD GROWTH & INCOME FUND CLASS R1	140543877	RWIAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD GROWTH & INCOME FUND CLASS R2	140543869	RWIBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD GROWTH & INCOME FUND CLASS R3	140543851	RWICX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD GROWTH & INCOME FUND CLASS R4	140543844	RWIDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD GROWTH & INCOME FUND CLASS R5	140543836	RWIFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD GROWTH & INCOME FUND CLASS R6	140543810	RWIGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	CAPITAL WORLD GROWTH & INCOME FUND CLASS F3	140543117	FWGIX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	EUROPACIFIC GROWTH FUND CLASS A	298706102	AEPGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	EUROPACIFIC GROWTH FUND CLASS F-1	298706409	AEGFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	EUROPACIFIC GROWTH FUND CLASS F-2	29875E100	AEPFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	EUROPACIFIC GROWTH FUND CLASS F3	298706110	FEUPX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	EUROPACIFIC GROWTH FUND CLASS R1	298706870	RERAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	EUROPACIFIC GROWTH FUND CLASS R2	298706862	RERBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	EUROPACIFIC GROWTH FUND CLASS R3	298706854	RERCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	EUROPACIFIC GROWTH FUND CLASS R4	298706847	RERDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	EUROPACIFIC GROWTH FUND CLASS R5	298706839	RERFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	EUROPACIFIC GROWTH FUND CLASS R6	298706821	RERGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	FUNDAMENTAL INVESTORS CLASS A	360802102	ANCFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	FUNDAMENTAL INVESTORS CLASS F-1	360802409	AFIFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	FUNDAMENTAL INVESTORS CLASS F-2	360802821	FINFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	FUNDAMENTAL INVESTORS CLASS F3	360802771	FUNFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	FUNDAMENTAL INVESTORS CLASS R1	360802870	RFNAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	FUNDAMENTAL INVESTORS CLASS R2	360802862	RFNBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	FUNDAMENTAL INVESTORS CLASS R3	360802854	RFN CX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	FUNDAMENTAL INVESTORS CLASS R4	360802847	RFNFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	FUNDAMENTAL INVESTORS CLASS R5	360802839	RFNFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	FUNDAMENTAL INVESTORS CLASS R6	360802813	RFNGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERMEDIATE BOND FUND OF AMERICA CLASS A	458809100	AIBAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERMEDIATE BOND FUND OF AMERICA CLASS F-1	458809407	IBFFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERMEDIATE BOND FUND OF AMERICA CLASS F-2	458809829	IBAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERMEDIATE BOND FUND OF AMERICA CLASS F3	458809787	IFBFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERMEDIATE BOND FUND OF AMERICA CLASS R1	458809878	RBOAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERMEDIATE BOND FUND OF AMERICA CLASS R2	458809860	RBOBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERMEDIATE BOND FUND OF AMERICA CLASS R2-E	458809118	REBBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERMEDIATE BOND FUND OF AMERICA CLASS R3	458809852	RBOCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERMEDIATE BOND FUND OF AMERICA CLASS R4	458809845	RBOEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERMEDIATE BOND FUND OF AMERICA CLASS R5	458809837	RBOFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERMEDIATE BOND FUND OF AMERICA CLASS R6	458809811	RBOGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AMERICAN FUNDS	INTERNATIONAL GROWTH AND INCOME FUND CLASS A	45956T105	IGAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERNATIONAL GROWTH AND INCOME FUND CLASS F-1	45956T402	IGIFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERNATIONAL GROWTH AND INCOME FUND CLASS F-2	45956T501	IGFFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERNATIONAL GROWTH AND INCOME FUND CLASS F3	45956T774	IGAIX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERNATIONAL GROWTH AND INCOME FUND CLASS R1	45956T865	RIGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERNATIONAL GROWTH AND INCOME FUND CLASS R2	45956T857	RIGBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERNATIONAL GROWTH AND INCOME FUND CLASS R4	45956T832	RIGEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERNATIONAL GROWTH AND INCOME FUND CLASS R5	45956T824	RIGFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERNATIONAL GROWTH AND INCOME FUND CLASS R6	45956T816	RIGGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	INTERNATIONAL GROWTH AND INCOME FUND CLASS F3	45956T840	RGICX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	LIMITED TERM TAX EXEMPT BOND FUND OF AMERICA CLASS A	532726106	LTEBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	LIMITED TERM TAX EXEMPT BOND FUND OF AMERICA CLASS F-1	532726403	LTXFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	LIMITED TERM TAX- EXEMPT BOND FUND OF AMERICA CLASS F-2	532726601	LTEFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	LIMITED TERM TAX-EXEMPT BOND FUND OF AMERICA CLASS F3	532726809	FLTEX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW PERSPECTIVE FUND CLASS R5	648018836	RNPFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW PERSPECTIVE FUND CLASS A	648018109	ANWPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW PERSPECTIVE FUND CLASS F-1	648018406	NPFFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW PERSPECTIVE FUND CLASS F-2	648018828	ANWFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW PERSPECTIVE FUND CLASS F3	648018778	FNPFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW PERSPECTIVE FUND CLASS R1	648018877	RNPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW PERSPECTIVE FUND CLASS R2	648018869	RNPBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW PERSPECTIVE FUND CLASS R3	648018851	RNPCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW PERSPECTIVE FUND CLASS R4	648018844	RNPFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW PERSPECTIVE FUND CLASS R6	648018810	RNPGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW WORLD FUND CLASS A	649280104	NEWFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW WORLD FUND CLASS F-1	649280401	NWFFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW WORLD FUND CLASS F-2	649280823	NFFFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW WORLD FUND CLASS F3	649280773	FNWFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW WORLD FUND CLASS R1	649280872	RNWAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW WORLD FUND CLASS R2	649280864	RNWBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW WORLD FUND CLASS R3	649280856	RNWCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW WORLD FUND CLASS R4	649280849	RNWX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW WORLD FUND CLASS R5	649280831	RNWF	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	NEW WORLD FUND CLASS R6	649280815	RNWGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SHORT-TERM BOND FUND OF AMERICA CLASS A	82524A102	ASBAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SHORT-TERM BOND FUND OF AMERICA CLASS F-1	82524A409	ASBFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SHORT-TERM BOND FUND OF AMERICA CLASS F-2	82524A821	SBFFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SHORT-TERM BOND FUND OF AMERICA CLASS F3	82524A771	FSBTX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SHORT-TERM BOND FUND OF AMERICA CLASS R1	82524A888	RAMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SHORT-TERM BOND FUND OF AMERICA CLASS R2	82524A870	RAMBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SHORT-TERM BOND FUND OF AMERICA CLASS R2-E	82524A797	RAEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SHORT-TERM BOND FUND OF AMERICA CLASS R3	82524A862	RAMCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SHORT-TERM BOND FUND OF AMERICA CLASS R4	82524A854	RAMEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SHORT-TERM BOND FUND OF AMERICA CLASS R5	82524A847	RAMFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SHORT-TERM BOND FUND OF AMERICA CLASS R6	82524A813	RMMGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SMALL-CAP WORLD FUND CLASS A	831681101	SMCWX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SMALL-CAP WORLD FUND CLASS F-1	831681408	SCWFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SMALL-CAP WORLD FUND CLASS F-2	831681820	SMCFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SMALL-CAP WORLD FUND CLASS R1	831681879	RSLAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SMALL-CAP WORLD FUND CLASS R2	831681861	RSLBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SMALL-CAP WORLD FUND CLASS R3	831681853	RSLCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SMALL-CAP WORLD FUND CLASS R4	831681846	RSLEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SMALL-CAP WORLD FUND CLASS R5	831681838	RSLFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SMALL-CAP WORLD FUND CLASS R6	831681812	RLLGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	SMALLCAP WORLD FUND CLASS F3	831681770	SCWFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE BOND FUND OF AMERICA CLASS A	097873103	ABNDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE BOND FUND OF AMERICA CLASS F-1	097873400	BFAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE BOND FUND OF AMERICA CLASS F-2	097873822	ABNFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE BOND FUND OF AMERICA CLASS F3	097873772	BFFAX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE BOND FUND OF AMERICA CLASS R1	097873871	RBFAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE BOND FUND OF AMERICA CLASS R2	097873863	RBFBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE BOND FUND OF AMERICA CLASS R2-E	097873798	RBEEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE BOND FUND OF AMERICA CLASS R3	097873855	RBFXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE BOND FUND OF AMERICA CLASS R4	097873848	RBFEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE BOND FUND OF AMERICA CLASS R5	097873830	RBFXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE BOND FUND OF AMERICA CLASS R6	097873814	RBFXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE GROWTH FUND OF AMERICA CLASS A	399874106	AGTHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE GROWTH FUND OF AMERICA CLASS F-1	399874403	GFAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE GROWTH FUND OF AMERICA CLASS F-2	399874825	GFFFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE GROWTH FUND OF AMERICA CLASS F3	399874775	GAFFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE GROWTH FUND OF AMERICA CLASS R1	399874874	RGAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE GROWTH FUND OF AMERICA CLASS R2	399874866	RGABX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE GROWTH FUND OF AMERICA CLASS R2-E	399874791	RGEEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE GROWTH FUND OF AMERICA CLASS R3	399874858	RGACX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE GROWTH FUND OF AMERICA CLASS R4	399874841	RGAEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AMERICAN FUNDS	THE GROWTH FUND OF AMERICA CLASS R5	399874833	RGAFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE GROWTH FUND OF AMERICA CLASS R6	399874817	RGAGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INCOME FUND OF AMERICA CLASS A	453320103	AMECX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INCOME FUND OF AMERICA CLASS F-1	453320400	IFAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INCOME FUND OF AMERICA CLASS F-2	453320822	AMEFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INCOME FUND OF AMERICA CLASS F3	453320772	FIFAX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INCOME FUND OF AMERICA CLASS R1	453320871	RIDAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INCOME FUND OF AMERICA CLASS R2	453320863	RIDBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INCOME FUND OF AMERICA CLASS R2-E	453320798	RIEBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INCOME FUND OF AMERICA CLASS R3	453320855	RIDCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INCOME FUND OF AMERICA CLASS R4	453320848	RIDEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INCOME FUND OF AMERICA CLASS R5	453320830	RIDFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INCOME FUND OF AMERICA CLASS R6	453320814	RIDGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INVESTMENT COMPANY OF AMERICA CLASS A	461308108	AINSX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INVESTMENT COMPANY OF AMERICA CLASS F-1	461308405	AICFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INVESTMENT COMPANY OF AMERICA CLASS F-2	461308827	ICAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INVESTMENT COMPANY OF AMERICA CLASS F3	461308777	FFICX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INVESTMENT COMPANY OF AMERICA CLASS R1	461308876	RICAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INVESTMENT COMPANY OF AMERICA CLASS R2	461308868	RICBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INVESTMENT COMPANY OF AMERICA CLASS R3	461308850	RICCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INVESTMENT COMPANY OF AMERICA CLASS R4	461308843	RICEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INVESTMENT COMPANY OF AMERICA CLASS R5	461308835	RICFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INVESTMENT COMPANY OF AMERICA CLASS R6	461308819	RICGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE INVESTMENT COMPANY OF AMERICA FUND CLASS R2-E	461308793	RIEBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE NEW ECONOMY FUND CLASS A	643822109	ANEFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE NEW ECONOMY FUND CLASS F-1	643822406	ANFFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE NEW ECONOMY FUND CLASS F-2	643822828	NEFFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE NEW ECONOMY FUND CLASS F3	643822778	FNEFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE NEW ECONOMY FUND CLASS R1	643822877	RNGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE NEW ECONOMY FUND CLASS R2	643822869	RNGBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE NEW ECONOMY FUND CLASS R2-E	643822794	RNNEFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE NEW ECONOMY FUND CLASS R3	643822851	RNGCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE NEW ECONOMY FUND CLASS R4	643822844	RNGEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE NEW ECONOMY FUND CLASS R5	643822836	RNGFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE NEW ECONOMY FUND CLASS R6	643822810	RNGGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE TAX-EXEMPT BOND FUND OF AMERICA CLASS A	876902107	AFTFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE TAX-EXEMPT BOND FUND OF AMERICA CLASS F-1	876902404	AFTFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE TAX-EXEMPT BOND FUND OF AMERICA CLASS F-2	876902602	TEAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE TAX-EXEMPT BOND FUND OF AMERICA CLASS F3	876902800	TFEBX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE TAX-EXEMPT FUND OF CALIFORNIA CLASS F-2	026308604	TEFEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE TAX-EXEMPT FUND OF CALIFORNIA CLASS A	026308109	TAFTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE TAX-EXEMPT FUND OF CALIFORNIA CLASS F-1	026308406	TECFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	THE TAX-EXEMPT FUND OF CALIFORNIA CLASS F3	026308703	EXCAX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	U.S. GOVERNMENT SECURITIES FUND CLASS A	026300103	AMUSX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	U.S. GOVERNMENT SECURITIES FUND CLASS F-1	026300400	UGSFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	U.S. GOVERNMENT SECURITIES FUND CLASS F-2	026300822	GVTFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	U.S. GOVERNMENT SECURITIES FUND CLASS F3	026300772	USGFX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	U.S. GOVERNMENT SECURITIES FUND CLASS R1	026300871	RGVAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	U.S. GOVERNMENT SECURITIES FUND CLASS R2	026300863	RGVBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	U.S. GOVERNMENT SECURITIES FUND CLASS R3	026300855	RGVCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	U.S. GOVERNMENT SECURITIES FUND CLASS R4	026300848	RGVEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	U.S. GOVERNMENT SECURITIES FUND CLASS R5	026300830	RGVFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	U.S. GOVERNMENT SECURITIES FUND CLASS R6	026300814	RGVGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	WASHINGTON MUTUAL INVESTORS FUND CLASS A	939330106	AWSHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	WASHINGTON MUTUAL INVESTORS FUND CLASS F-1	939330403	WSHFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	WASHINGTON MUTUAL INVESTORS FUND CLASS F-2	939330825	WMFFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	WASHINGTON MUTUAL INVESTORS FUND CLASS F3	939330775	FWMIX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	WASHINGTON MUTUAL INVESTORS FUND CLASS R1	939330874	RWMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	WASHINGTON MUTUAL INVESTORS FUND CLASS R2	939330866	RWMBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	WASHINGTON MUTUAL INVESTORS FUND CLASS R2-E	939330791	RWEBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	WASHINGTON MUTUAL INVESTORS FUND CLASS R3	939330858	RWMCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	WASHINGTON MUTUAL INVESTORS FUND CLASS R4	939330841	RWMEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	WASHINGTON MUTUAL INVESTORS FUND CLASS R5	939330833	RWMFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN FUNDS	WASHINGTON MUTUAL INVESTORS FUND CLASS R6	939330817	RWMGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN GROWTH FUNDS	AMERICAN GROWTH FUND CLASS A	026393207	AMRAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN GROWTH FUNDS	AMERICAN GROWTH FUND CLASS D	026393108	AMRGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMERICAN GROWTH FUNDS	AMERICAN GROWTH FUND SERIES II CLASS E	026393504	AMREX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN GROWTH FUNDS	AMERICAN GROWTH FUND SERIES II CLASS F	026393603	AMRHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMERICAN TRUST FUNDS	AMERICAN TRUST ALIQUANT FUND	007989106	ATAFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 12:00 AM	
AMG FUNDS	AMG CHICAGO EQUITY PARTNERS BALANCE FUND CLASS I	00170M402	MBESX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG CHICAGO EQUITY PARTNERS BALANCED FUND CLASS N	00170M303	MBEAX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG CHICAGO EQUITY PARTNERS BALANCED FUND CLASS Z	00170M501	MBEYX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMG FUNDS	AMG FQ GLOBAL RISK BALANCED FUND CLASS I	00170I888	MMASX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG FQ GLOBAL RISK-BALANCED FUND CLASS N	00170I805	MMAVX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG FQ GLOBAL RISK-BALANCED FUND CLASS Z	00170I821	MMAFX	No/Low Load	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or "Class A" funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AMG FUNDS	AMG FQ LONG-SHORT EQUITY FUND CLASS I	'001701797	MEQFX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG FQ LONG-SHORT EQUITY FUND CLASS N	'001701862	FQUAX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG FQ TAX-MANAGED U.S. EQUITY FUND CLASS I	'001701813	MFQTX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG FQ TAX-MANAGED U.S. EQUITY FUND CLASS N	'001701870	MFQAX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG FRONTIER SMALL CAP GROWTH FUND CLASS I	'001701771	MSSCX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG FRONTIER SMALL CAP GROWTH FUND CLASS N	'001701789	MSSVX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K CORE BOND ESG FUND CLASS I	'001701730	MBDFX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K CORE BOND ESG FUND CLASS N	'001701722	MBGVX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K ENHANCED CORE BOND ESG FUND CLASS I	'001701709	MFD5X	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K ENHANCED CORE BOND ESG FUND CLASS N	'001701700	MFDAX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K MUNICIPAL BOND FUND CLASS I	'00170K505	GWMIW	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K MUNICIPAL BOND FUND CLASS N	'00170K307	GWMTX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K MUNICIPAL ENHANCED YIELD FUND CLASS I	'00170K802	GWMEX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K MUNICIPAL ENHANCED YIELD FUND CLASS N	'00170K604	GWMINX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K SMALL CAP CORE FUND CLASS I	'00170K869	GWVIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K SMALL CAP CORE FUND CLASS N	'00170K885	GWETX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K SMALL MID CAP FUND CLASS N	'00170K364	GWGVX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K SMALL/MID CAP FUND CLASS I	'00170K349	GWGIX	No/Low Load	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K TRILOGY EMERGING MARKETS EQUITY FUND CLASS I	'00170K679	TLESX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K TRILOGY EMERGING MARKETS EQUITY FUND CLASS N	'00170K687	TLEVX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K TRILOGY EMERGING WEALTH EQUITY FUND CLASS I	'00170K380	TYWSX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K TRILOGY EMERGING WEALTH EQUITY FUND CLASS N	'00170K398	TYVWX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG GW&K U.S. SMALL CAP GROWTH FUND CLASS I	'00171A837	ATISX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMG FUNDS	AMG GW&K U.S. SMALL CAP GROWTH FUND CLASS N	'00171A845	ATASX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AMG FUNDS	AMG MANAGERS AMUNDI INTERMEDIATE GOVERNMENT FUND CL N	'00170M873	MGIDV	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS AMUNDI INTERMEDIATE GOVERNMENT FUND CLASS I	'00170M824	MADIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS AMUNDI SHORT DURATION GOVERNMENT FUND CLASS I	'00170M840	MANIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS AMUNDI SHORT DURATION GOVERNMENT FUND CLASS N	'00170M865	MGSDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS BRANDYWINE ADVISORS MIDCAP GROWTH FUND CLASS N	'001701102	BWAFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS BRANDYWINE BLUE FUND CLASS I	'001701201	BLUEX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS BRANDYWINE FUND CLASS I	'001701300	BRWIX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS CADENCE EMERGING COMPANIES FUND CL I	'00170L503	MCEIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS CADENCE EMERGING COMPANIES FUND CL N	'00170L404	MCEAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS CADENCE MID CAP FUND CLASS I	'00170L701	MCMYX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS CADENCE MID CAP FUND CLASS N	'00170L602	MCMAX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS CADENCE MID CAP FUND CLASS Z	'00170L800	MCMFX	No/Low Load	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS CENTERSQUARE REAL ESTATE FUND CLASS I	'001701698	MRASX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS CENTERSQUARE REAL ESTATE FUND CLASS N	'001701748	MRESX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS DOUBLELINE CORE PLUS BOND FUND CLASS I	'00171A761	ADLIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS DOUBLELINE CORE PLUS BOND FUND CLASS N	'00171A779	ADBLX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS EMERGING OPPORTUNITIES FUND CLASS I	'001701409	MIMFX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS EMERGING OPPORTUNITIES FUND CLASS N	'001701755	MMCFX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS ESSEX SMALL/MICRO CAP GROWTH FUND CLASS N	'00170K109	MBR5X	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS FAIRPOINTE ESG EQUITY FUND CLASS I	'00171A746	AFFEX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS FAIRPOINTE ESG EQUITY FUND CLASS N	'00171A753	AFFTX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS FAIRPOINTE MID CAP FUND CLASS I	'00171A720	ABMIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS FAIRPOINTE MID CAP FUND CLASS N	'00171A738	CHTIX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS GLOBAL INCOME OPPORTUNITY FUND CLASS N	'00170L826	MGG8X	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS LMCG SMALL CAP GROWTH FUND CLASS N	'00171A647	ACWDX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS LMCG SMALL CAP GROWTH FUND CLASS I	'00171A639	ACWIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS LOOMIS SAYLES BOND FUND CLASS I	'00170L834	MGBIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS LOOMIS SAYLES BOND FUND CLASS N	'00170L842	MGFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS MONTAG & CALDWELL GROWTH FUND CLASS I	'00171A589	MCGIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS MONTAG & CALDWELL GROWTH FUND CLASS N	'00171A597	MCGFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS PICTET INTERNATIONAL FUND CLASS I	'00171A530	APCTX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS PICTET INTERNATIONAL FUND CLASS N	'00171A548	APINX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS PICTET INTERNATIONAL FUND CLASS Z	'00171C403	APCZX	No/Low Load	Initial : 50000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS SILVERCREST SMALL CAP FUND CLASS I	'00171A514	ACR7X	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS SILVERCREST SMALL CAP FUND CLASS N	'00171A522	ASCTX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS SKYLINE SPECIAL EQUITIES FUND CL I	'00170K224	SKSIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS SKYLINE SPECIAL EQUITIES FUND CL N	'00170K208	SKSEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS SPECIAL EQUITY FUND CLASS I	'00170L859	MSEIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG MANAGERS SPECIAL EQUITY FUND CLASS N	'00170L867	MSEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RENAISSANCE LARGE CAP GROWTH FUND CLASS I	'00170K836	MRL5X	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RENAISSANCE LARGE CAP GROWTH FUND CLASS N	'00170K844	MRLTX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RENAISSANCE LARGE CAP GROWTH FUND CLASS Z	'00170K828	MRLIX	No/Low Load	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RIVER ROAD DIVIDEND ALL CAP VALUE FUND CLASS I	'00171A209	ARIDX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RIVER ROAD DIVIDEND ALL CAP VALUE FUND CLASS N	'00171A100	ARDEX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RIVER ROAD DIVIDEND ALL CAP VALUE FUND II CLASS I	'00171A407	ADIVX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RIVER ROAD DIVIDEND ALL CAP VALUE FUND II CLASS N	'00171A308	ADVTX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RIVER ROAD FOCUSED ABSOLUTE VALUE FUND CLASS I	'00171A605	AFAVX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RIVER ROAD FOCUSED ABSOLUTE VALUE FUND CLASS N	'00171A506	ARRFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RIVER ROAD LONG SHORT FUND CLASS I	'00171A803	AL5IX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RIVER ROAD LONG-SHORT FUND CLASS N	'00171A704	ARLSX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RIVER ROAD SMALL CAP VALUE FUND CLASS I	'00171A852	ARSIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AMG FUNDS	AMG RIVER ROAD SMALL CAP VALUE FUND CLASS N	'00171A860	ARSVX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RIVER ROAD SMALL-MID CAP VALUE FUND CLASS I	'00171A878	ARIMX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG RIVER ROAD SMALL-MID CAP VALUE FUND CLASS N	'00171A886	ARSMX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG SOUTHERNSUN SMALL CAP FUND CLASS I	'00170K547	SSSIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG SOUTHERNSUN SMALL CAP FUND CLASS N	'00170K554	SSSFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG SOUTHERNSUN U.S. EQUITY FUND CLASS I	'00170K513	SSEIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG SOUTHERNSUN U.S. EQUITY FUND CLASS N	'00170K539	SSEFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG TIMESSQUARE EMERGING MARKETS SMALL CAP FUND CLASS I	'00170K273	TQEIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG TIMESSQUARE EMERGING MARKETS SMALL CAP FUND CLASS N	'00170K190	TQENX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG TIMESSQUARE INTERNATIONAL SMALL CAP FUND CLASS I	'00170K182	TQITX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG TIMESSQUARE INTERNATIONAL SMALL CAP FUND CLASS N	'00170K711	TCMPX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG TIMESSQUARE MID CAP GROWTH FUND CLASS I	'00170K174	TQMIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG TIMESSQUARE MID CAP GROWTH FUND CLASS N	'00170K752	TMDPX	No/Low Load	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG TIMESSQUARE SMALL CAP GROWTH FUND CLASS I	'00170K166	TSQIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG TIMESSQUARE SMALL CAP GROWTH FUND CLASS N	'00170K737	TSCPX	No/Low Load	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG YACKTMAN FOCUSED FUND CLASS I	'00170K562	YAFX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG YACKTMAN FOCUSED FUND CLASS N	'00170K570	YAFFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG YACKTMAN FOCUSED FUND SECURITIES ONLY CLASS I	'00170K240	YF5IX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG YACKTMAN FOCUSED FUND SECURITIES ONLY CLASS N	'00170K257	YF5NX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG YACKTMAN FUND CLASS I	'00170K588	YACKX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMG FUNDS	AMG YACKTMAN SPECIAL OPPORTUNITIES FUND CLASS I	'00170K489	YASSX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMIDEX FUNDS	AMIDEX 35 FUND	'03152E109	AMDEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AMIDEX FUNDS	AMIDEX 35 FUND CLASS A	'03152E208	AMDAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ANGEL OAK FUNDS	ANGEL OAK FLEXIBLE INCOME FUND CLASS A	'03463K109	ANFLX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ANGEL OAK FUNDS	ANGEL OAK FLEXIBLE INCOME FUND CLASS I	'03463K208	ANFIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ANGEL OAK FUNDS	ANGEL OAK HIGH YIELD OPPORTUNITIES FUND CLASS A	'03463K703	ANHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ANGEL OAK FUNDS	ANGEL OAK HIGH YIELD OPPORTUNITIES FUND CLASS I	'03463K885	ANHIX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ANGEL OAK FUNDS	ANGEL OAK MULTI STRATEGY INCOME FUND CLASS A	'03463K307	ANGLX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ANGEL OAK FUNDS	ANGEL OAK MULTI STRATEGY INCOME FUND CLASS I	'03463K406	ANGIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ANGEL OAK FUNDS	ANGEL OAK ULTRA SHORT INCOME FUND INSTITUTIONAL CLASS	'03463K828	AQUIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ANGEL OAK FUNDS	ANGEL OAK ULTRASHORT INCOME FUND CLASS A	'03463K844	AOUAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN CAPITAL FUND CLASS L	'028837854	AFDDX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN CAPITAL INCOME FUND CLASS A	'028837409	APIGX	Load	Initial : 0.0; Sub : 0.0	APIFund	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN CAPITAL INCOME FUND INSTITUTIONAL CLASS	'028837862	AFAAX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN GROWTH FUND CLASS A	'028837870	AFGGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN GROWTH FUND CLASS L	'028837102	APTIX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN GROWTH INSTITUTIONAL CLASS	'028837813	APGRX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN MASTER ALLOCATION FUND CLASS A	'00186Q108	APIFX	Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN MASTER ALLOCATION FUND CLASS I	'028837755	APMAX	No/Low Load	Initial : 1000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN MASTER ALLOCATION FUND CLASS L	'00186Q207	APLIX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN MULTIASSET INCOME FUND CLASS A	'028837888	APIUX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN MULTIASSET INCOME FUND CLASS L	'028837847	AFFIX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN MULTIASSET INCOME FUND INSTITUTIONAL CLASS	'028837763	APIIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN SHORT TERM BOND FUND CLASS A	'028837805	APIMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN SHORT TERM BOND FUND CLASS L	'028837839	AFMMX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN SHORT TERM BOND FUND INSTITUTIONAL CLASS	'028837789	APIBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN SMALL CAP FUND CLASS L	'028837722	YOVLX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN SMALL-CAP FUND CLASS A	'028837748	YOVAX	Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
API FUNDS	YORKTOWN SMALL-CAP FUND INSTITUTIONAL CLASS	'028837714	YOVIK	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR ALTERNATIVE RISK PREMIA FUND CLASS I	'00203H180	QRPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR ALTERNATIVE RISK PREMIA FUND CLASS N	'00203H172	QRPNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR ALTERNATIVE RISK PREMIA FUND CLASS R6	'00203H164	QRPRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR CORE PLUS BOND FUND CLASS I	'00191K450	CQPIK	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR CORE PLUS BOND FUND CLASS N	'00191K443	CQPNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR DIVERSIFIED ARBITRAGE FUND CLASS I	'00203H602	ADAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR DIVERSIFIED ARBITRAGE FUND CLASS N	'00203H107	ADANX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR DIVERSIFIED ARBITRAGE FUND CLASS R6	'00191K104	QDARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR EMERGING DEFENSIVE EQUITY STYLE FUND CLASS I	'00203H685	AZEXI	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR EMERGING DEFENSIVE EQUITY STYLE FUND CLASS N	'00203H735	AZENX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR EMERGING DEFENSIVE STYLE FUND CLASS R6	'00191K203	AZERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR EMERGING MULTI STYLE FUND CLASS I	'00203H354	QEELX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR EMERGING MULTI STYLE FUND CLASS N	'00203H347	QEENX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR EMERGING MULTI STYLE FUND CLASS R6	'00203H271	QECRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR EMERGING RELAXED CONSTRAINT EQUITY FUND CLASS I	'00191K484	QERIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR EMERGING RELAXED CONSTRAINT EQUITY FUND CLASS N	'00191K476	QERNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR EQUITY MARKET NEUTRAL FUND CLASS I	'00191K799	QMNIK	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR EQUITY MARKET NEUTRAL FUND CLASS N	'00191K781	QMNNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR EQUITY MARKET NEUTRAL FUND CLASS R6	'00191K765	QMNRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AQR FUNDS	AQR GLOBAL EQUITY FUND CLASS I	'00203H875	AQGIK	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR GLOBAL EQUITY FUND CLASS N	'00203H206	AQGNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR GLOBAL EQUITY FUND CLASS R6	'00203H396	AQGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR GLOBAL MACRO FUND CLASS I	'00203H370	QGMIK	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR GLOBAL MACRO FUND CLASS N	'00203H362	QGMNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL DEFENSIVE STYLE FUND CLASS I	'00203H693	ANDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL DEFENSIVE STYLE FUND CLASS N	'00203H743	ANDNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AQR FUNDS	AQR INTERNATIONAL DEFENSIVE STYLE FUND CLASS R6	'00191K401	ANDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL EQUITY FUND CLASS I	'00203H867	AQIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL EQUITY FUND CLASS N	'00203H404	AQINX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL EQUITY FUND CLASS R6	'00203H388	AQIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL MOMENTUM STYLE FUND CLASS I	'00203H883	AIMOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL MOMENTUM STYLE FUND CLASS N	'00203H578	AIONX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL MOMENTUM STYLE FUND CLASS R6	'00203H248	QIORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL MULTI STYLE FUND CLASS I	'00203H537	QICLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL MULTI STYLE FUND CLASS N	'00203H529	QICNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL MULTI STYLE FUND CLASS R6	'00203H289	QICRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL RELAXED CONSTRAINT EQUITY FUND CLASS I	'00191K526	QIRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR INTERNATIONAL RELAXED CONSTRAINT EQUITY FUND CLASS N	'00191K518	QIRNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LARGE CAP DEFENSIVE STYLE FUND CLASS I	'00203H719	AUEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LARGE CAP DEFENSIVE STYLE FUND CLASS N	'00203H750	AUENX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LARGE CAP DEFENSIVE STYLE FUND CLASS R6	'00191K831	QUERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LARGE CAP MOMENTUM STYLE FUND CLASS I	'00203H701	AMOMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LARGE CAP MOMENTUM STYLE FUND CLASS R6	'00203H263	QMORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LARGE CAP MULTI STYLE FUND CLASS I	'00203H511	QCELX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LARGE CAP MULTI STYLE FUND CLASS N	'00203H495	QCENX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LARGE CAP MULTI STYLE FUND CLASS R6	'00203H313	QCERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LARGE CAP RELAXED CONSTRAINT EQUITY FUND CLASS I	'00191K583	QLRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LARGE CAP RELAXED CONSTRAINT EQUITY FUND CLASS N	'00191K575	QLRNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LONG-SHORT EQUITY FUND CLASS I	'00203H446	QLEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LONG-SHORT EQUITY FUND CLASS N	'00203H438	QLENX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR LONG-SHORT EQUITY FUND CLASS R6	'00191K500	QLERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
AQR FUNDS	AQR MANAGED FUTURES STRATEGY FUND CLASS I	'00203H859	AQMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR MANAGED FUTURES STRATEGY FUND CLASS N	'00203H842	AQMNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR MANAGED FUTURES STRATEGY FUND CLASS R6	'00191K609	AQMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR MANAGED FUTURES STRATEGY HV FUND CLASS I	'00203H461	QMHIH	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR MANAGED FUTURES STRATEGY HV FUND CLASS N	'00203H453	QMHNH	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR MANAGED FUTURES STRATEGY HV FUND CLASS R6	'00191K708	QMHRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR MOMENTUM LARGE CAP MOMENTUM STYLE FUND CLASS N	'00203H594	AMONX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR MULTI ASSET FUND CLASS I	'00203H826	AQRIH	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR MULTI ASSET FUND CLASS N	'00203H834	AQRNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR MULTI STRATEGY ALTERNATIVE FUND CLASS I	'00203H792	ASAIH	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR MULTI STRATEGY ALTERNATIVE FUND CLASS N	'00203H818	ASANX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR MULTI-STRATEGY ALTERNATIVE FUND CLASS R6	'00191K807	QSARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR RISK PARITY I HV FUND CLASS I	'00203H628	QRHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR RISK PARITY I HV FUND CLASS N	'00203H610	QRHNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR RISK PARITY II MV FUND CLASS I	'00203H644	QRMIH	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR RISK PARITY II MV FUND CLASS N	'00203H636	QRMNH	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR RISK-BALANCED COMMODITIES STRATEGY FUND CLASS I	'00203H677	ARCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR RISK-BALANCED COMMODITIES STRATEGY FUND CLASS N	'00203H727	ARCNH	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR SMALL CAP MOMENTUM STYLE FUND CLASS I	'00203H800	ASMOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR SMALL CAP MOMENTUM STYLE FUND CLASS N	'00203H586	ASMNH	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR SMALL CAP MOMENTUM STYLE FUND CLASS R6	'00203H255	QSMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR SMALL CAP MULTI-STYLE FUND CLASS I	'00203H487	QSMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR SMALL CAP MULTI-STYLE FUND CLASS N	'00203H479	QSMNH	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR SMALL CAP MULTI-STYLE FUND CLASS R6	'00203H297	QSERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR SMALL CAP RELAXED CONSTRAINT EQUITY FUND CLASS I	'00191K559	QSRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR SMALL CAP RELAXED CONSTRAINT EQUITY FUND CLASS N	'00191K542	QSRNH	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR STYLE PREMIA ALTERNATIVE FUND CLASS I	'00203H420	QSPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR STYLE PREMIA ALTERNATIVE FUND CLASS N	'00203H412	QSPNH	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR STYLE PREMIA ALTERNATIVE FUND CLASS R6	'00191K849	QSPRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR STYLE PREMIA ALTERNATIVE LEVERAGED FUND CLASS N	'00191K815	QSLNH	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR STYLE PREMIA ALTERNATIVE LV FUND CLASS I	'00191K823	QSLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM EMERGING MULTI-STYLE FUND CLASS I	'00191K658	QTELX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM EMERGING MULTI-STYLE FUND CLASS N	'00191K641	QTENH	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM EMERGING MULTI-STYLE FUND CLASS R6	'00191K633	QTERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM INTERNATIONAL MOMENTUM FD CL N	'00203H545	ATNXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM INTERNATIONAL MOMENTUM STYLE FUND CLASS I	'00203H768	ATIMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM INTERNATIONAL MOMENTUM STYLE FUND CLASS R6	'00203H198	QTRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM INTERNATIONAL MULTI-STYLE FUND CLASS I	'00191K682	QIMLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM INTERNATIONAL MULTI-STYLE FUND CLASS N	'00191K674	QIMNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM INTERNATIONAL MULTI-STYLE FUND CLASS R6	'00191K666	QIMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM LARGE CAP MOMENTUM STYLE FUND CLASS I	'00203H784	ATMOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM LARGE CAP MOMENTUM STYLE FUND CLASS N	'00203H560	ATMNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM LARGE CAP MOMENTUM STYLE FUND CLASS R6	'00203H222	QTRMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM LARGE CAP MULTI-STYLE FUND CLASS I	'00191K757	QTLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM LARGE CAP MULTI-STYLE FUND CLASS N	'00191K740	QTLNH	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM LARGE CAP MULTI-STYLE FUND CLASS R6	'00191K732	QTLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM SMALL CAP MOMENTUM STYLE FUND CLASS I	'00203H776	ATSMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM SMALL CAP MOMENTUM STYLE FUND CLASS N	'00203H552	ATSNH	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM SMALL CAP MOMENTUM STYLE FUND CLASS R6	'00203H214	QTSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM SMALL CAP MULTI-STYLE FUND CLASS I	'00191K724	QSSLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
AQR FUNDS	AQR TM SMALL CAP MULTI-STYLE FUND CLASS N	00191K716	QSSNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR TM SMALL CAP MULTI-STYLE FUND CLASS R6	00191K690	QSSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR VOLATILITY RISK PREMIUM FUND CLASS I	00191K385	QVPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQR FUNDS	AQR VOLATILITY RISK PREMIUM FUND CLASS N	00191K377	QVPMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA CHURCHILL TAX-FREE FUND OF KENTUCKY CLASS A	03842A707	CHTFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA CHURCHILL TAX-FREE FUND OF KENTUCKY CLASS I	03842A889	CHKIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA CHURCHILL TAX-FREE FUND OF KENTUCKY CLASS Y	03842A871	CHKYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA NARRAGANSETT TAX-FREE INCOME FUND CLASS A	03842A863	NITFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA NARRAGANSETT TAX-FREE INCOME FUND CLASS I	03842A848	NITIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA NARRAGANSETT TAX-FREE INCOME FUND CLASS Y	03842A830	NITYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA TAX-FREE FUND FOR UTAH CLASS A	03842A822	UTAHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA TAX-FREE FUND FOR UTAH CLASS Y	03842A798	UTAYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA TAX-FREE FUND OF COLORADO CLASS A	03842A400	COTFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA TAX-FREE FUND OF COLORADO CLASS Y	03842A608	COTYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA TAX-FREE TRUST OF ARIZONA FUND CLASS A	03842A103	AZTFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA TAX-FREE TRUST OF ARIZONA FUND CLASS Y	03842A301	AZTYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA TAX-FREE TRUST OF OREGON FUND CLASS A	03842N105	ORTFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA TAX-FREE TRUST OF OREGON FUND CLASS Y	03842N303	ORTYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA THREE PEAKS HIGH INCOME FUND CLASS A	03841H109	ATPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA THREE PEAKS HIGH INCOME FUND CLASS I	03841H406	ATIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA THREE PEAKS HIGH INCOME FUND CLASS Y	03841H307	ATPYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA THREE PEAKS OPPORTUNITY GROWTH FUND CLASS A	03839M102	ATGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA THREE PEAKS OPPORTUNITY GROWTH FUND CLASS I	03839M409	ATRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	AQUILA THREE PEAKS OPPORTUNITY GROWTH FUND CLASS Y	03839M300	ATGYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	HAWAIIAN TAX FREE TRUST CLASS A	420016107	HULAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
AQUILA FUNDS	HAWAIIAN TAX FREE TRUST FUND CLASS Y	420016305	HULYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARIEL FUNDS	ARIEL APPRECIATION FUND INSTITUTIONAL CLASS	040337834	CAIAX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARIEL FUNDS	ARIEL APPRECIATION FUND INVESTOR CLASS	040337206	CAAPX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARIEL FUNDS	ARIEL FOCUS FUND INSTITUTIONAL CLASS	040337826	AFQYX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARIEL FUNDS	ARIEL FOCUS FUND INVESTOR CLASS	040335F107	ARFFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARIEL FUNDS	ARIEL FUND INSTITUTIONAL CLASS	040337842	ARAIAX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARIEL FUNDS	ARIEL FUND INVESTOR CLASS	040337107	ARGFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARIEL FUNDS	ARIEL GLOBAL EQUITY FUND INSTITUTIONAL CLASS	040337859	AGLYX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARIEL FUNDS	ARIEL GLOBAL EQUITY FUND INVESTOR CLASS	040337867	AGLOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARIEL FUNDS	ARIEL INTERNATIONAL EQUITY FUND INSTITUTIONAL CLASS	040337875	AINIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARIEL FUNDS	ARIEL INTERNATIONAL EQUITY FUND INVESTOR CLASS	040337883	AINTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARISTOTLE FUNDS	ARISTOTLE CORE EQUITY FUND CLASS I	46141Q360	ARSLX	No/Low Load	Initial : 100000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARISTOTLE FUNDS	ARISTOTLE INTERNATIONAL EQUITY FUND CLASS I	46141P297	ARSFX	No/Low Load	Initial : 25000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARISTOTLE FUNDS	ARISTOTLE SMALL CAP EQUITY FUND CLASS I	46141Q626	ARSBX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARISTOTLE FUNDS	ARISTOTLE STRATEGIC CREDIT FUND	46141Q824	ARSSX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARISTOTLE FUNDS	ARISTOTLE VALUE EQUITY FUND CLASS I	46141Q634	ARSOX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARISTOTLE FUNDS	ARISTOTLE/SAUL OPPORTUNITIES FUND CLASS I	461418287	ARSOX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN DEVELOPING WORLD FUND ADVISOR CLASS	04314H618	APDYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN DEVELOPING WORLD FUND INSTITUTIONAL CLASS	04314H592	APHYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN DEVELOPING WORLD FUND INVESTOR CLASS	04314H626	ARTYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN GLOBAL DISCOVERY FUND INVESTOR SHARE CLASS	04314H535	APDFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN GLOBAL EQUITY FUND INSTITUTIONAL CLASS	04314H584	APHHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN GLOBAL EQUITY FUND INVESTOR SHARES	04314H816	ARTHX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN GLOBAL OPPORTUNITIES FUND ADVISOR SHARES	04314H691	APDRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN GLOBAL OPPORTUNITIES FUND INSTITUTIONAL CLASS	04314H782	APHRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN GLOBAL OPPORTUNITIES FUND INVESTOR CLASS	04314H824	ARTRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN GLOBAL VALUE FUND ADVISOR SHARES	04314H683	APDGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN GLOBAL VALUE FUND INSTITUTIONAL CLASS	04314H741	APHGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN GLOBAL VALUE FUND INVESTOR CLASS	04314H840	ARTGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN HIGH INCOME FUND ADVISOR SHARES	04314H717	APDFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN HIGH INCOME FUND INSTITUTIONAL CLASS	04314H568	APHFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN HIGH INCOME FUND INVESTOR CLASS	04314H725	ARTFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN INTERNATIONAL FUND ADVISOR CLASS	04314H675	APDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN INTERNATIONAL FUND INSTITUTIONAL CLASS	04314H402	APHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN INTERNATIONAL FUND INVESTOR CLASS	04314H204	ARTIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN INTERNATIONAL SMALL MID FUND ADVISOR CLASS	04314H485	APDJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN INTERNATIONAL SMALL MID FUND INSTITUTIONAL CLASS	04314H576	APHJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN INTERNATIONAL SMALL MID FUND INVESTOR CLASS	04314H808	ARTJX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN INTERNATIONAL VALUE FUND ADVISOR SHARES	04314H667	APDKX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
ARTISAN FUNDS	ARTISAN INTERNATIONAL VALUE FUND INSTITUTIONAL CLASS	04314H857	APHKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
ARTISAN FUNDS	ARTISAN INTERNATIONAL VALUE FUND INVESTOR CLASS	04314H881	ARTKX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
ARTISAN FUNDS	ARTISAN MID CAP FUND ADVISOR SHARES	04314H659	APDMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN MID CAP FUND INSTITUTIONAL CLASS	04314H600	APHMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN MID CAP VALUE FUND ADVISOR SHARES	04314H642	APDQX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN MID CAP VALUE FUND INSTITUTIONAL CLASS	04314H774	APHQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN MID-CAP FUND INVESTOR CLASS	04314H303	ARTMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN MID-CAP VALUE FUND INVESTOR CLASS	04314H709	ARTQX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN PARTNERS THEMATIC FUND ADVISOR CLASS	04314H519	APDTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ARTISAN FUNDS	ARTISAN SMALL CAP FUND ADVISOR CLASS	04314H550	APDSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
ARTISAN FUNDS	ARTISAN SMALL CAP FUND INSTITUTIONAL SHARES	04314H758	APHSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors

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a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
ARTISAN FUNDS	ARTISAN SMALL-CAP FUND INVESTOR CLASS	04314H105	ARTSX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
ARTISAN FUNDS	ARTISAN SUSTAINABLE EMERGING MARKETS FUND INSTITUTIONAL CLASS	04314H865	APHFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ARTISAN FUNDS	ARTISAN SUSTAINABLE EMERGING MARKETS FUND INVESTOR CLASS	04314H832	ARTZX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ARTISAN FUNDS	ARTISAN THEMATIC INVESTOR CLASS	04314H543	ARTTX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ARTISAN FUNDS	ARTISAN VALUE FUND ADVISOR SHARES	04314H634	APDLX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ARTISAN FUNDS	ARTISAN VALUE FUND INSTITUTIONAL CLASS	04314H790	APHLX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ARTISAN FUNDS	ARTISAN VALUE FUND INVESTOR CLASS	04314H873	ARTLX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASCENDANT FUNDS	ASCENDANT DEEP VALUE BOND FUND CLASS A	66537Y710	AEQAX	Load	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASCENDANT FUNDS	ASCENDANT DEEP VALUE BOND FUND CLASS I	66537Y686	AEQIX	No/Low Load	Initial: 1000000.0; Sub: 25000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASCENDANT FUNDS	ASCENDANT TACTICAL YIELD FUND CLASS A	66538B370	ATYAX	Load	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASCENDANT FUNDS	ASCENDANT TACTICAL YIELD FUND CLASS I	66538B354	ATYIX	No/Low Load	Initial: 1000000.0; Sub: 25000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASCENDANT FUNDS	PATRIOT FUND CLASS A	66537Y462	TRFAX	Load	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASCENDANT FUNDS	PATRIOT FUND CLASS I	66537Y454	TRFTX	No/Low Load	Initial: 1000000.0; Sub: 25000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKET SHORT DURATION FUND CLASS A	044820728	ESFAX	Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS CORPORATE DEBT FUND CLASS A	044820603	ECADX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS CORPORATE DEBT FUND CLASS I	044820504	EMCIX	No/Low Load	Initial: 1000000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS EQUITY FUND CLASS A	044820777	EMEAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS EQUITY FUND CLASS I	044820819	EMFIX	No/Low Load	Initial: 1000000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS FRONTIER EQUITY FUND CLASS A	044820751	EFEXX	Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS FRONTIER EQUITY FUND INSTITUTIONAL CLASS	044820736	EFEXI	No/Low Load	Initial: 1000000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS FUND INSTITUTIONAL CLASS	044820595	EMQIX	No/Low Load	Initial: 1000000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS LOCAL CURRENCY BOND FUND CLASS A	044820876	ELBAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS LOCAL CURRENCY BOND FUND CLASS I	044820207	ELBIX	No/Low Load	Initial: 1000000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS SHORT DURATION FUND INSTITUTIONAL CLASS	044820694	ESFIX	No/Low Load	Initial: 1000000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS SMALL CAP FUND CLASS A	044820793	ESSAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS SMALL CAP FUND CLASS I	044820116	ESCXI	No/Low Load	Initial: 1000000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS TOTAL RETURN FUND CLASS A	044820835	EMKAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASHMORE FUNDS	ASHMORE EMERGING MARKETS TOTAL RETURN FUND CLASS I	044820405	EMKIX	No/Low Load	Initial: 1000000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASTOR FUNDS	ASTOR DYNAMIC ALLOCATION FUND CLASS A	66537X514	ASTLX	Load	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASTOR FUNDS	ASTOR DYNAMIC ALLOCATION FUND CLASS I	66537V732	ASTIX	No/Low Load; FundVest Institutional	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASTOR FUNDS	ASTOR MACRO ALTERNATIVE FUND CLASS I	66538B552	GBLMX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASTOR FUNDS	ASTOR SECTOR ALLOCATION FUND CLASS A	66537Y835	ASPGX	Load	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ASTOR FUNDS	ASTOR SECTOR ALLOCATION FUND CLASS I	66537Y793	STARX	No/Low Load; FundVest Institutional	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AVE MARIA FUNDS	AVE MARIA BOND FUND	808530505	AVEFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AVE MARIA FUNDS	AVE MARIA GROWTH FUND	808530307	AVEGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AVE MARIA FUNDS	AVE MARIA RISING DIVIDEND FUND	808530604	AVEDX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AVE MARIA FUNDS	AVE MARIA VALUE FUND	808530208	AVEMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AVE MARIA FUNDS	AVE MARIA WORLD EQUITY FUNDS	808530802	AVEWX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AVE MARIA FUNDS	SCHWARTZ VALUE FUND	808530109	RCMFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AZZAD FUNDS	AZZAD ETHICAL MID CAP FUND	055060206	ADJEX	No/Low Load	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
AZZAD FUNDS	AZZAD WISE CAPITAL FUND	055060305	WISEX	No/Low Load	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD AGGREGATE BOND FUND INST CLASS	057071854	BAGIX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD AGGREGATE BOND FUND INVESTOR CLASS	057071862	BAGSX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD CHAUTAUQUA GLOBAL GROWTH FUND INSTITUTIONAL CLASS	057071581	CCGIX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD CHAUTAUQUA GLOBAL GROWTH FUND INVESTOR CLASS	057071573	CCGSX	No/Low Load; FundVest Focus	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD CHAUTAUQUA INTERNATIONAL GROWTH FUND INSTITUTIONAL CLASS	057071557	CCWIX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD CHAUTAUQUA INTERNATIONAL GROWTH FUND INVESTOR CLASS	057071565	CCWSX	No/Low Load; FundVest Focus	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD CORE INTERMEDIATE MUNICIPAL BOND FUND INSTITUTIONAL CLASS	057071656	BMNIX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD CORE INTERMEDIATE MUNICIPAL BOND FUND INVESTOR CLASS	057071649	BMNSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD CORE PLUS BOND FUND INST CLASS	057071870	BCOIX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD CORE PLUS BOND FUND INVESTOR CLASS	057071888	BCOSX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD INTERMEDIATE BOND FUND INST CLASS	057071805	BIMIX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD INTERMEDIATE BOND FUND INVESTOR CLASS	057071706	BIMSX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD INTERMEDIATE MUNICIPAL BOND FUND INSTITUTIONAL CLASS	057071607	BMBIX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD INTERMEDIATE MUNICIPAL BOND FUND INVESTOR CLASS	057071508	BMBSX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD MID CAP FUND INSTITUTIONAL CLASS	057071813	BMDIX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD MID CAP FUND INVESTOR CLASS	057071821	BMDSX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD SHORT TERM BOND FUND INST CLASS	057071409	BSBIX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD SHORT-TERM BOND FUND INVESTOR CLASS	057071730	BSBSX	No/Low Load; FundVest Focus	Initial: 1000.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD SHORT-TERM MUNICIPAL BOND FUND INSTITUTIONAL CLASS	057071631	BTMIX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD SHORT-TERM MUNICIPAL BOND FUND INVESTOR CLASS	057071623	BTMSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD SMALL CAP VALUE INSTITUTIONAL FUND	057071748	BSVIX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD SMALL/MID CAP GROWTH FUND INSTITUTIONAL CLASS	057071540	BSGIX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD SMALL/MID CAP GROWTH FUND INVESTOR CLASS	057071532	BSGSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD SMALL/MID CAP VALUE FUND INSTITUTIONAL CLASS	057071599	BMVIX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD SMALL/MID CAP VALUE FUND INVESTOR CLASS	057071615	BMV SX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD SMALLCAP VALUE FUND INVESTOR CLASS	057071755	BSVSX	No/Low Load; FundVest Focus	Initial: 1000.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD ULTRA SHORT BOND FUND INSTITUTIONAL CLASS	057071722	BUBIX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BAIRD FUNDS	BAIRD ULTRA SHORT BOND FUND INVESTOR CLASS	057071714	BUBSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON ASSET FUND INSTITUTIONAL CLASS	068278605	BARIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON ASSET FUND RETAIL CLASS	068278100	BARAX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON DISCOVERY FUND INSTITUTIONAL CLASS	068278852	BDFIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON DISCOVERY FUND RETAIL CLASS	068278860	BDFFX	No/Low Load	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON DURABLE ADVANTAGE FUND INSTITUTIONAL CLASS	068278761	BDAIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON DURABLE ADVANTAGE FUND RETAIL CLASS	068278779	BDAFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
BARON FUNDS	BARON EMERGING MARKETS FUND INSTITUTIONAL CLASS	06828M876	BEIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON EMERGING MARKETS FUND RETAIL CLASS	06828M884	BEFX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON FIFTH AVENUE GROWTH FUND INSTITUTIONAL CLASS	068278878	BFTIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON FIFTH AVENUE GROWTH FUND RETAIL CLASS	068278506	BFTHX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON FOCUSED GROWTH FUND CLASS R6	06828M785	BFGUX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON FOCUSED GROWTH FUND RETAIL CLASS	06828M207	BFGFX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON FOCUSED GROWTH INSTITUTIONAL CLASS	06828M504	BFGIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON GLOBAL ADVANTAGE FUND INSTITUTIONAL CLASS	06828M835	BGAIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON GLOBAL ADVANTAGE FUND RETAIL CLASS	06828M843	BGAFX	No/Low Load	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON GROWTH FUND INSTITUTIONAL CLASS	068278704	BGRIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON GROWTH FUND RETAIL CLASS	068278209	BGRFX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON HEALTH CARE INSTITUTIONAL FUND CLASS	06828M660	BHCHX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON HEALTH CARE RETAIL FUND CLASS	06828M678	BHCFX	No/Low Load	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON I OPPORTUNITY FUND RETAIL CLASS	068278407	BIOPX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON INTERNATIONAL FUND INSTITUTIONAL CLASS	06828M603	BINIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON INTERNATIONAL FUND RETAIL CLASS	06828M306	BIGFX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON OPPORTUNITY FUND CLASS R6	068278795	BIOUX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON OPPORTUNITY FUND INSTITUTIONAL CLASS	068278886	BIOIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON PARTNERS FUND INSTITUTIONAL CLASS	06828M405	BPTIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON PARTNERS FUND RETAIL CLASS	06828M108	BPTRX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON REAL ESTATE FUND INSTITUTIONAL CLASS	06828M801	BREIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON REAL ESTATE FUND RETAIL CLASS	06828M702	BREFX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON REAL ESTATE INCOME FUND INSTITUTIONAL CLASS	06828M736	BRIIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON REAL ESTATE INCOME FUND RETAIL CLASS	06828M744	BRIFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON SMALL-CAP FUND INSTITUTIONAL CLASS	068278803	BSFIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON SMALL-CAP FUND RETAIL CLASS	068278308	BSCFX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON WEALTHBUILDER FUND INSTITUTIONAL CLASS	06828M694	BWBIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BARON FUNDS	BARON WEALTHBUILDER FUND RETAIL SHARES	06828M710	BWBFX	No/Low Load	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BBH FUNDS	BBH GLOBAL CORE SELECT FUND CLASS N	05528C782	BBGNX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BBH FUNDS	BBH GLOBAL CORE SELECT FUND RETAIL CLASS	05528C774	BBGRX	No/Low Load	Initial: 5000.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BBH FUNDS	BBH INCOME FUND CLASS I	05528C766	BBNIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BBH FUNDS	BBH INTERMEDIATE MUNI BOND CLASS I	05528C824	BBIIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BBH FUNDS	BBH INTERMEDIATE MUNI BOND CLASS N	05528C816	BBINX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BBH FUNDS	BBH LIMITED DURATION FUND CLASS I	05528X851	BBBIX	No/Low Load	Initial: 5000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BBH FUNDS	BBH LIMITED DURATION FUND CLASS N	05528X802	BBBMX	No/Low Load; FundVest Institutional	Initial: 5000.0; Sub: 1000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BBH FUNDS	BBH SELECT SERIES LARGE CAP FUND CLASS I	05528C741	BBLLX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BBH FUNDS	BBH SELECT SERIES LARGE CAP FUND RETAIL CLASS	05528C733	BBLLR	No/Low Load; FundVest Focus	Initial: 5000.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BECKER FUNDS	BECKER VALUE EQUITY FUND INSTITUTIONAL CLASS	74316J490	BVEIX	No/Low Load	Initial: 25000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BECKER FUNDS	BECKER VALUE EQUITY FUND RETAIL CLASS	74316J516	BVEFX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BEECH HILL FUNDS	BEECH HILL TOTAL RETURN FUND CLASS A	66537X407	BHTAX	Load	Initial: 500.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BIONDO FUNDS	BIONDO FOCUS FUND INVESTOR CLASS	66537V633	BFOXX	No/Low Load	Initial: 1000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 20/80 TARGET ALLOCATION FUND CLASS A	091937177	BACPX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 20/80 TARGET ALLOCATION FUND CLASS K	09257E753	BKCPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 20/80 TARGET ALLOCATION FUND INST CLASS	09256H765	BICPX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 40/60 TARGET ALLOCATION FUND CLASS A	091937151	BAMPX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 40/60 TARGET ALLOCATION FUND CLASS K	09257E746	BKMPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 40/60 TARGET ALLOCATION FUND INST CLASS	09256H740	BIMPX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 60/40 TARGET ALLOCATION FUND CLASS A	091937136	BAGPX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 60/40 TARGET ALLOCATION FUND CLASS K	09257E738	BKGPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 60/40 TARGET ALLOCATION FUND CLASS R	09256H732	BRGPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 60/40 TARGET ALLOCATION FUND INST CLASS	09256H724	BIGPX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 80/20 TARGET ALLOCATION FUND CLASS A	09256H799	BAAPX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 80/20 TARGET ALLOCATION FUND CLASS K	09257E720	BKAPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 80/20 TARGET ALLOCATION FUND CLASS R	09256H716	BRAPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK 80/20 TARGET ALLOCATION FUND INST CLASS	09256H690	BIAPX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE EMERGING MARKETS FUND CLASS A	091936724	BLSAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE EMERGING MARKETS FUND INSTITUTIONAL CLASS	091936690	BLSIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE GLOBAL FUND CLASS A	09252A103	MDGXX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE GLOBAL FUND CLASS R	09252A400	MGRSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE GLOBAL FUND INSTITUTIONAL CLASS	09252A509	MAGCX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE INTERNATIONAL FUND CLASS A	091937243	BROAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE INTERNATIONAL FUND INSTITUTIONAL CLASS	091937268	BROIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE LARGE CAP CORE FUND CLASS A	092501106	MDLRX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE LARGE CAP CORE FUND CLASS R	092501403	MRLRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE LARGE CAP CORE FUND INSTITUTIONAL CLASS	092501502	MALRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE LARGE CAP CORE FUND SERVICE CLASS	092501726	MSLRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE LARGE CAP GROWTH FUND CLASS A	091928788	BMCAK	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE LARGE CAP GROWTH FUND INSTITUTIONAL CLASS	091928812	CMVIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE LARGE CAP GROWTH FUND SERVICE CLASS	091928796	CMVSK	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE LARGE CAP VALUE FUND CLASS A	092501858	MDLVX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE LARGE CAP VALUE FUND CLASS R	092501825	MRLVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE LARGE CAP VALUE FUND SERVICE CLASS	092501791	MSLVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE LARGE CAP VALUE INSTITUTIONAL CLASS	092501817	MALVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE SMALL CAP CORE FUND CLASS A	091936476	BDSAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE SMALL CAP CORE FUND CLASS K	09258N802	BDSKX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
BLACKROCK FUNDS	BLACKROCK ADVANTAGE SMALL CAP CORE FUND INSTITUTIONAL CLASS	'091936450	BDGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE SMALL CAP GROWTH FUND CLASS A	'091928309	CSGEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	'091928101	PSGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE SMALL CAP GROWTH FUND SERVICE CLASS	'091928200	PCGEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE SMALL GROWTH FUND CLASS R	'09258N364	BSGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE U.S. TOTAL MARKET FUND INC CLASS A	'09252L109	MDSPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE U.S. TOTAL MARKET FUND INC CLASS R	'09252L406	MRSFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ADVANTAGE U.S. TOTAL MARKET FUND INC INSTITUTIONAL CL	'09252L505	MASPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ALL-CAP ENERGY & RESOURCES FUND SERVICE CLASS	'091937292	BACSX	No/Low Load	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ALL-CAP ENERGY & RESOURCES INSTITUTIONAL CLASS	'091937284	BACIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ALL-CAP ENERGY & RESOURCES PORTFOLIO CLASS A	'091937334	BACAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK BALANCED CAPITAL FUND INC FD INST CLASS	'09251C506	MACPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK BALANCED CAPITAL FUND INC. CLASS A	'09251C100	MDCPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK BASIC VALUE FUND CLASS K	'09251G606	MBVXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK BASIC VALUE FUND INC CLASS A	'09251G101	MOBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK BASIC VALUE FUND INC INST CLASS	'09251G507	MABAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CA MUNICIPAL OPPORTUNITIES FUND INSTITUTIONAL CLASS	'09252Y606	MACMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CALIFORNIA MUNI OPPORTUNITIES FUND INVESTOR A SHARES	'09252Y101	MECMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CALIFORNIA MUNI OPPORTUNITIES FUND INVESTOR C SHARES	'09252Y408	MFCMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CALIFORNIA MUNICIPAL OPPORTUNITIES FUND CLASS K	'09253A664	MKCMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CAPITAL APPRECIATION FUND CLASS A	'09251R107	MDFGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CAPITAL APPRECIATION FUND CLASS K	'09251R602	BFBGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CAPITAL APPRECIATION FUND INSTITUTIONAL CLASS	'09251R503	MAFGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CHINA A OPPORTUNITIES FUND INSTITUTIONAL CLASS	'09258N224	CHILX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK COMMODITY STRATEGIES FUND CLASS A	'091936682	BCSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK COMMODITY STRATEGIES FUND INSTITUTIONAL CLASS	'091936666	BICSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CORE BOND PORTFOLIO FUND CLASS A	'09260B101	BCBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CORE BOND PORTFOLIO FUND CLASS K	'09260B507	CCBBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CORE BOND PORTFOLIO FUND CLASS R	'09260B408	BCBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CORE BOND PORTFOLIO FUND INSTITUTIONAL CLASS	'09260B309	BFMGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CORE BOND PORTFOLIO FUND SERVICE CLASS	'09260B606	CMCBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK COREALPHA BOND FUND CLASS A	'09260T102	BCRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK COREALPHA BOND FUND CLASS K	'09260T409	BCRXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK COREALPHA BOND FUND INSTITUTIONAL CLASS	'09260T300	BCRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CREDIT STRATEGIES FUND INSTITUTIONAL CLASS	'09259W108	CREDX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CREDIT STRATEGIES INCOME FUND CLASS A	'09260B705	BMSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CREDIT STRATEGIES INCOME FUND CLASS K	'09260B879	BMSKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK CREDIT STRATEGIES INCOME FUND INSTITUTIONAL CLASS	'09260B887	BMSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK DYNAMIC HIGH INCOME FUND CLASS A	'09257E829	BDHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK DYNAMIC HIGH INCOME FUND CLASS K	'09257E779	BDHXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK DYNAMIC HIGH INCOME FUND INSTITUTIONAL CLASS	'09257E795	BDHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EMERGING MARKET EQUITY STRATS FUND INSTITUTIONAL CLASS	'09258N836	BEFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EMERGING MARKETS BOND FUND INSTITUTIONAL CLASS	'09260B861	BEHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EMERGING MARKETS EQUITY STRATEGIES FUND INVESTOR A	'09258N851	BEFAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EMERGING MARKETS FLEXIBLE DYNAMIC BD PORT FUND CLASS A	'09260B846	BAEDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EMERGING MARKETS FLEXIBLE DYNAMIC BD PORT FUND INSTL CL	'09260B820	BEDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EMERGING MARKETS FUND; INC. CLASS A	'09251J105	MDDCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EMERGING MARKETS FUND; INC. INSTITUTIONAL CLASS	'09251J402	MADCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ENERGY & RESOURCES PORTFOLIO CLASS A	'091937524	SSGRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ENERGY & RESOURCES PORTFOLIO INSTITUTIONAL CLASS	'091937532	SGLSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EQUITY DIVIDEND FUND CL A	'09251M108	MDVXX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EQUITY DIVIDEND FUND CLASS K	'09251M801	MKDXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EQUITY DIVIDEND FUND CLASS R	'09251M405	MRDXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EQUITY DIVIDEND FUND INST CLASS	'09251M504	MADVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EQUITY DIVIDEND FUND SERVICE CLASS	'09251M603	MSDXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EUROFUND FUND CLASS A	'09251N106	MDEFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EUROFUND INSTITUTIONAL CLASS	'09251N502	MAEFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EVENT DRIVEN EQUITY FUND CLASS A	'09250J759	BALPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK EVENT DRIVEN EQUITY FUND INSTITUTIONAL CLASS	'09250J734	BILPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK FLOATING RATE INCOME PORTFOLIO FUND CLASS A	'09260B770	BFRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK FLOATING RATE INCOME PORTFOLIO FUND CLASS K	'09260B739	BFRKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK FLOATING RATE INCOME PORTFOLIO FUND INSTITUTIONAL CLASS	'09260B747	BFRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK FOCUS GROWTH FUND CLASS A	'09251P101	MDFOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK FOCUS GROWTH FUND INST CLASS	'09251P408	MAFOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK FUNDAMENTAL GROWTH FUND CLASS R	'09251R404	MRFGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GA DISCIPLINED VOLATILITY EQUITY FUND INSTL CLASS	'561656877	BIDVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GA DYNAMIC EQUITY FUND INSTITUTIONAL CLASS	'561656885	BIEXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GLOBAL ALLOCATION FD INC INST CLASS	'09251T509	MALOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GLOBAL ALLOCATION FUND CLASS K	'09258N778	MKLOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GLOBAL ALLOCATION FUND CLASS R	'09251T400	MRLGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GLOBAL ALLOCATION FUND INC CLASS A	'09251T103	MDLOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GLOBAL DIVIDEND FUND CLASS K	'09257E712	BKBDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GLOBAL DIVIDEND PORTFOLIO FUND CLASS A	'09256H385	BABDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GLOBAL DIVIDEND PORTFOLIO FUND INSTITUTIONAL CLASS	'09256H328	BIBDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GLOBAL LONG/SHORT CREDIT FUND CLASS A	'09260C406	BGCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
BLACKROCK FUNDS	BLACKROCK GLOBAL LONG/SHORT CREDIT FUND CLASS K	09260C703	BDMKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GLOBAL LONG/SHORT EQUITY FUND CLASS A	091936542	BDMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GLOBAL LONG/SHORT EQUITY FUND CLASS I	091936526	BDMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GLOBAL LONG/SHORT EQUITY FUND CLASS K	09258N703	BGCKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GLOBAL ONG/SHORT CREDIT FUND INSTITUTIONAL CLASS	09260C604	BGCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GNMA PORTFOLIO FUND CLASS A	09260B721	BGPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GNMA PORTFOLIO FUND CLASS K	09260B689	BGPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GNMA PORTFOLIO FUND INSTITUTIONAL CLASS	09260B697	BGNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK GNMA PORTFOLIO FUND SERVICE CLASS	09260B671	BGPSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HEALTH SCIENCES OPPORTUNITIES FUND CLASS A	091937573	SHSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HEALTH SCIENCES OPPORTUNITIES FUND CLASS K	09258N752	SHSKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HEALTH SCIENCES OPPORTUNITIES FUND CLASS R	091936815	BHSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HEALTH SCIENCES OPPORTUNITIES FUND INSTITUTIONAL CLASS	091937540	SHSSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HEALTH SCIENCES OPPORTUNITIES FUND SERVICE CLASS	091937359	SHISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HIGH EQUITY INCOME FUND CLASS A	091929810	BMEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HIGH EQUITY INCOME FUND SERVICE CLASS	091929778	BMC5X	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HIGH INCOME FUND INSTITUTIONAL CLASS	091929760	BMCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HIGH YIELD BOND PORTFOLIO FUND CLASS A	09260B663	BHYAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HIGH YIELD BOND PORTFOLIO FUND CLASS K	09260B614	BRHYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HIGH YIELD BOND PORTFOLIO FUND CLASS R	09260B622	BHYRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HIGH YIELD BOND PORTFOLIO FUND INSTITUTIONAL CLASS	09260B630	BHYIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HIGH YIELD BOND PORTFOLIO FUND SERVICE CLASS	09260B598	BHYSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HIGH YIELD MUNICIPAL FUND CLASS A	09253C785	MDYHX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK HIGH YIELD MUNICIPAL FUND INST CLASS	09253C769	MAYHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK IMPACT BOND FUND CLASS A	09260C802	BIAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK IMPACT BOND FUND CLASS K	09260C869	BIAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK IMPACT BOND FUND INSTITUTIONAL CLASS	09260C877	BIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK IMPACT U.S. EQUITY FUND CLASS K	09258N406	BIRKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK IMPACT U.S. EQUITY FUND INSTITUTIONAL CLASS	091936120	BIRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK IMPACT U.S. EQUITY FUND INVESTOR CLASS A	091936146	BIRAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK INFLATION PROTECTED BOND PORTFOLIO FUND CLASS A	09260B572	BPRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK INFLATION PROTECTED BOND PORTFOLIO FUND CLASS K	09260B549	BPLBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK INFLATION PROTECTED BOND PORTFOLIO FUND INSTITUTIONAL CLASS	09260B556	BPRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK INFLATION PROTECTED BOND PORTFOLIO FUND SERVICE CLASS	09260B531	BPRSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK INTERNATIONAL DIVIDEND FUND CLASS A	091929307	BREAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK INTERNATIONAL DIVIDEND FUND INSTITUTIONAL CLASS	091929109	BISIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK INTERNATIONAL DIVIDEND FUND SERVICE CLASS	091929208	BRESX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK INTERNATIONAL FUND CLASS A	09248G107	MDILX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK INTERNATIONAL FUND CLASS R	09253M684	BIFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK INTERNATIONAL FUND INSTITUTIONAL CLASS	09248G404	MAILX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES DEVELOPED REAL ESTATE IDX FUND CLASS K	091936187	BKRDY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES DEVELOPED REAL ESTATE INDEX FUND CLASS A	091936211	BARDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES DEVELOPED REAL ESTATE INDEX FUND INSTITUTIONAL CLASS	091936195	BIRDY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES EDGE MSCI MIN VOL EAFE INDEX FUND CLASS K	09258N596	BKEVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES EDGE MSCI MIN VOL EAFE INDEX FUND INSTITUTIONAL CLASS	09258N588	BIEVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES EDGE MSCI MIN VOL U.S.A. INDEX FUND INSTITUTIONAL CLASS	09258N638	BIMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES EDGE MSCI MIN VOL USA INDEX FUND CLASS K	09258N646	BKMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES EDGE MSCI MULTI FACTOR INTL INDEX FUND CLASS K	09258N687	BKIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES EDGE MSCI MULTI FACTOR INTL INDEX FUND CLASS K	09258N737	BKMFY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES EDGE MSCI MULTIFACTOR INTL INDEX FUND INST CL	09258N679	BIIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES EDGE MSCI MULTIFACTOR U.S.A. INDEX FUND INST CL	09258N729	BIMFY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES MSCI EAFE INTERNATIONAL INDEX FUND CLASS A	09253F309	MDIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES MSCI EAFE INTERNATIONAL INDEX FUND CLASS K	09253F879	BTMKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES MSCI EAFE INTERNATIONAL INDEX FUND INST CL	09253F408	MALIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES MSCI TOTAL INTL INDEX FD INSTL CL	066923616	BDOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES MSCI TOTAL INTL INDEX FUND CLASS K	066923590	BDOKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES MSCI TOTAL INTERNATIONAL INDEX FUND CLASS A	066923624	BDOAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES MUNICIPAL BOND INDEX FUND CLASS A	09258N356	BIDAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES MUNICIPAL BOND INDEX FUND INSTITUTIONAL CLASS	09258N349	BIDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES RUSSEL SMALL/MID CAP INDEX FUND CLASS K	091936229	BSMKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES RUSSELL 1000 LARGE CAP INDEX FD CL K	066923301	BRGKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES RUSSELL 1000 LARGE CAP INDEX FD INSTL CL	066923202	BRGNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES RUSSELL 1000 LARGE CAP INDEX FUND CLASS A	066923103	BRGAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES RUSSELL 2000 SMALL CAP INDEX FUND CLASS A	09253F705	MDSKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES RUSSELL 2000 SMALL CAP INDEX FUND CLASS K	09253F887	BD8KX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES RUSSELL 2000 SMALL CAP INDEX FUND INSTITUTIONAL CLASS	09253F804	MASKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES RUSSELL MID-CAP INDEX FUND CLASS A	09258N307	BRMAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES RUSSELL MID-CAP INDEX FUND CLASS K	091936286	BRMKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES RUSSELL MID-CAP INDEX FUND INSTITUTIONAL CLASS	091936294	BRMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES RUSSELL SMALL/MID CAP INDEX FUND CLASS A	091936245	BSMAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES RUSSELL SMALL/MID CAP INDEX FUND INSTITUTIONAL CLASS	091936237	BSMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES S&P 500 INDEX FUND CLASS A	066923566	BSPAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES S&P 500 INDEX FUND CLASS K	066922204	WFSPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES S&P 500 INDEX FUND INSTITUTIONAL CLASS	066923558	BSPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES S&P 500 INDEX FUND SERVICE CLASS	066923533	BSPSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
BLACKROCK FUNDS	BLACKROCK ISHARES SHORT TERM TIPS BOND IDX FUND CLASS K	092528N869	BKIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES SHORT-TERM TIPS BOND INDEX FUND CLASS A	092528N877	BAIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES SHORT-TERM TIPS BOND INDEX FUND INSTITUTIONAL CLASS	092528N885	BIIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES TOTAL U.S. STOCK MARKET INDEX FUND CLASS A	091936179	BASMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES TOTAL U.S. STOCK MARKET INDEX FUND CLASS K	091936153	BKTSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES TOTAL U.S. STOCK MARKET INDEX FUND INSTITUTIONAL CLASS	091936161	BITSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES U.S. AGGREGATE BOND INDEX FD INSTL CL	066923509	BMOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES U.S. AGGREGATE BOND INDEX FUND CLASS A	066923400	BMOAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK ISHARES U.S. AGGREGATE BOND INDEX FUND CLASS K	066922105	WFBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LARGE CAP FOCUS GROWTH FUND CLASS A	092520J601	MDLHX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LARGE CAP FOCUS GROWTH FUND INSTITUTIONAL CLASS	092520J874	MALHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LARGE CAP FOCUS GROWTH FUND SERVICE CLASS	092520J866	MSLHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LATIN AMERICA FUND CLASS A	092520X105	MDLTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LATIN AMERICA FUND INST CLASS	092520X402	MALTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH ACTIVE 2045 FUND CLASS A	09256H443	BAPIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2020 FD CL A	066922865	LPRCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2020 FD CL K	066922584	LPSCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2020 FD INSTITUTIONAL CLASS	066922873	STLCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2025 FD CL A	066922352	LPBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2025 FD CL K	066922337	LPBKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2030 FD CL A	066922280	LPRDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2030 FD CL K	066922576	LPSDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2030 FD INSTITUTIONAL CLASS	066922857	STLDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2035 FD CL A	066922295	LPIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2035 FD CL K	066922279	LPIKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2040 FD CL A	066922824	LPREX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2040 FD CL K	066922568	LPSFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2040 FD INSTITUTIONAL CLASS	066922832	STLEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2045 FD CL A	066922246	LPHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2045 FD CL K	066922220	LPHKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2050 FD CL A	06739T549	LPRFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2050 FD CL K	06739T531	LPSGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2055 FD CL A	066922188	LPVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2055 FD CL K	066922162	LPVKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2060 FUND CLASS A	066923426	LPDAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2060 FUND CLASS R	066923384	LPDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC 2060 FUND INSTITUTIONAL CLASS	066923392	LPDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC RETIREMENT FD CL A	066922709	LPRAH	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH DYNAMIC RETIREMENT FD CLASS K	066922618	LPSAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2020 FUND CL A	066923889	LIQAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2020 FUND CLASS K	066923863	LIMKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2020 FUND INSTITUTIONAL CLASS	066923871	LIQIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2025 FUND CL A	066923855	LILAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2025 FUND CLASS K	066923830	LILBKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2025 FUND INSTITUTIONAL CLASS	066923848	LILBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2030 FUND CL A	066923822	LINAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2030 FUND CLASS K	066923798	LIMKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2030 FUND INSTITUTIONAL CLASS	066923814	LINIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2035 FUND CL A	066923780	LIJAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2035 FUND CLASS K	066923764	LIJKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2035 FUND INSTITUTIONAL CLASS	066923772	LIJIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2040 FUND CL A	066923756	LIKAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2040 FUND CLASS K	066923731	LIKKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2040 FUND INSTITUTIONAL CLASS	066923749	LIKIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2045 FUND CL A	066923723	LIHAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2045 FUND CLASS K	066923699	LIHKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2045 FUND INSTITUTIONAL CLASS	066923715	LHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2050 FUND CL A	066923681	LIPAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2050 FUND CLASS K	066923665	LIPKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2050 FUND INSTITUTIONAL CLASS	066923673	LIPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2055 FUND CL A	066923657	LIVAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2055 FUND CLASS K	066923632	LIVKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2055 FUND INSTITUTIONAL CLASS	066923640	LIVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2060 FUND CLASS A	066923475	LIZAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX 2060 FUND INSTITUTIONAL CLASS	066923459	LIZIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX RETIREMENT FD INSTITUTIONAL CLASS	066923707	LIRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX RETIREMENT FUND CLASS A	066923608	LIRAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH INDEX RETIREMENT FUND CLASS K	066923806	LIRKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2020 FUND CLASS A	09256H617	BAPCX	Load; FundVest Institutional	Initial : 100.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2020 FUND CLASS K	09256H625	BIPCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2020 FUND INSTITUTIONAL CLASS	09257E407	BLBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2025 FUND CLASS A	09256H575	BAPDX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2025 FUND CLASS K	09256H583	BIPDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2025 FUND INSTITUTIONAL CLASS	09257E506	BLCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2030 FUND CLASS A	09256H542	BAPEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2030 FUND CLASS K	09256H559	BIPEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2030 FUND INSTITUTIONAL CLASS	09257E605	BLEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2035 FD INSTITUTIONAL CL	09257E704	BLGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2035 FUND CLASS A	09256H518	BAPGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2035 FUND CLASS K	09256H526	BIPGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2040 FD INSTITUTIONAL CL	09257E803	BLHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2040 FUND CLASS A	09256H476	BAPHX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2040 FUND CLASS K	09256H484	BIPHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2045 FUND INSTITUTIONAL CLASS	09257E886	BLIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2050 FUND CLASS A	09256H419	BAPKX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2050 FUND CLASS K	09256H427	BIPKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2050 FUND INSTITUTIONAL CLASS	09257E878	BLKIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2055 FD INSTITUTIONAL CL	09257E852	BLIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2055 FUND CLASS K	09257E845	BIPLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2060 FD INSTITUTIONAL CL	09257E613	BIEGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2060 FD INVESTOR CL A	09257E621	BAPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2060 FUND CLASS K	09257E589	BKJIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA 2060 FUND CLASS R	09257E597	BAPRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA RETIREMENT FUND CLASS A	09256H641	BAPBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA RETIREMENT FUND CLASS K	09256H658	BIPBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIFEPATH SMART BETA RETIREMENT FUND INSTITUTIONAL CLASS	09257E308	BLAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIQUID ENVIRONMENTALLY AWARE FUND INSTITUTIONAL CLASS	09258N182	LEFXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LIQUID ENVIRONMENTALLY AWARE INVESTOR FUND CLASS A	09258N190	LEAXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LONG-HORIZON EQUITY FUND CLASS A	09251W106	MDEGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LONG-HORIZON EQUITY FUND INSTITUTIONAL CLASS	09251W403	MAEGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LOW DURATION BOND PORTFOLIO FUND CLASS A	09260B523	BLDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LOW DURATION BOND PORTFOLIO FUND CLASS K	09260B440	CLDBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LOW DURATION BOND PORTFOLIO FUND CLASS R	09260B457	BLDPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LOW DURATION BOND PORTFOLIO FUND INSTITUTIONAL CLASS	09260B465	BFMSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK LOW DURATION BOND PORTFOLIO FUND SERVICE CLASS	09260B432	CMGBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MANAGED INCOME FUND CLASS K	091937193	BLDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MANAGED INCOME FUND INSTITUTIONAL CLASS	091937185	BLDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MANAGED INCOME FUND INVESTOR CLASS A	091937219	BLADX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MID CAP DIVIDEND FUND CLASS A	09255V104	MDRFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MID CAP DIVIDEND FUND CLASS R	09255V401	MRRFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MID CAP DIVIDEND FUND INSTITUTIONAL CLASS	09255V500	MARFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MID CAP GROWTH EQUITY INSTITUTIONAL FUND	091928861	CMGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MID CAP GROWTH FUND CLASS A	091928846	BMGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MID-CAP GROWTH EQUITY PORTFOLIO CLASS K	09258N604	BMGKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MID-CAP GROWTH EQUITY PORTFOLIO CLASS R SHARES	09256H864	BMRRR	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MIDCAP GROWTH EQUITY FUND SERVICE CLASS	091928853	CMGSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MONEY MARKET CLASS A	091927301	PINXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MONEY MARKET FUND INST CLASS	091927103	PNIXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MONEY MARKET PORTFOLIO SERVICE SHARES	091927202	PNPXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MULTI-ASSET INCOME PORTFOLIO FUND CLASS K	09257E662	BKMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MULTI-ASSET INCOME PORTFOLIO FD CL A	09256H351	BAICX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK MULTI-ASSET INCOME PORTFOLIO FD INST CL	09256H336	BIICX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK NATIONAL MUNI FD INSTL CLASS	09253C876	MANLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK NATIONAL MUNI FUN CL A	09253C603	MDNLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK NATIONAL MUNICIPAL FUND CLASS K	09253C744	BNMLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK NATURAL RESOURCES TRUST FUND CLASS A	09252H108	MDGRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK NATURAL RESOURCES TRUST FUND INST CLASS	09252H405	MAGRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK NEW JERSEY MUNI BOND FD CL A	09253A706	MENJX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK NEW JERSEY MUNI BOND FD INSTL CLASS	09253A847	MANJX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK NEW JERSEY MUNI BOND FD SVS CL	09253A839	MSNJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK NEW YORK MUNI OPPORTUNITIES FUND INSTITUTIONAL CLASS	09253A763	MANXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK NEW YORK MUNI OPPORTUNITIES FUND INVESTOR CLASS A	09253A821	MENKX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK PENN MUNI BOND FD CL A	09253A755	MEPYX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK PENN MUNI BOND FD INSTL CL	09253A680	MAPYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK PENN MUNI BOND FUND SERVICE CLASS	09253A672	MSPYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK REAL ESTATE SECURITIES FUND CLASS A	091936617	BAREX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK REAL ESTATE SECURITIES FUND CLASS I	091936583	BIREX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK SHORT OBLIGATIONS FUND CLASS A	09258N240	BASOX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK SHORT OBLIGATIONS FUND CLASS I	091936419	BISOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK SHORT TERM MUNI FD CL A	09253C868	MELMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK SHORT TERM MUNI FD INSTL CL	09253C819	MALMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK SHORT TERM MUNICIPAL FUND CLASS K	09253C793	MPLMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK STRATEGIC GLOBAL BOND FUND CLASS K	09252X608	MKWIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK STRATEGIC GLOBAL BOND FUND INC CLASS A	09252X103	MDWIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK STRATEGIC GLOBAL BOND FUND INC INSTITUTIONAL CLASS	09252X509	MAWIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORT FUND INSTL CLASS	09260B382	BSIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORTFOLIO FUND CLASS A	09260B416	BASIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORTFOLIO FUND CLASS K	09260B374	BSIKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK STRATEGIC MUNICIPAL OPPORTUNITIES FUND INSTITUTIONAL CLASS	09253E609	MAMTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK STRATEGIC MUNICIPAL OPPORTUNITIES FUND INVESTOR A CLASS	09253E104	MEMTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
BLACKROCK FUNDS	BLACKROCK SUMMIT CASH RESERVES FUND INSTL CLASS	09259C201	MSIXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK SYSTEMATIC MULTI STRATEGY FUND CLASS A	09260C109	BAMBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK SYSTEMATIC MULTI STRATEGY FUND INSTITUTIONAL CLASS	09260C307	BIMBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TACTICAL OPPORTUNITIES FD INSTITUTIONAL CLASS	091927848	PBAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TACTICAL OPPORTUNITIES FUND CLASS A	091927822	PCBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TACTICAL OPPORTUNITIES FUND CLASS K	09258N570	PBAKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TACTICAL OPPORTUNITIES FUND SERVICE CLASS	091927830	PCBSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TECHNOLOGY OPPORTUNITIES FUND CLASS A	091929570	BGSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TECHNOLOGY OPPORTUNITIES FUND INSTITUTIONAL CLASS	091929612	BGSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TECHNOLOGY OPPORTUNITIES FUND SERVICE CLASS	091929620	BSTSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TOTAL EMERGING MARKETS FUND CLASS A	091936443	BEEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TOTAL EMERGING MARKETS FUND INSTITUTIONAL CLASS	091936427	BEEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TOTAL FACTOR FUND CL A	091936518	BSTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TOTAL FACTOR FUND CLASS K	09258N380	BSTKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TOTAL FACTOR FUND INSTITUTIONAL CLASS	091936484	BSTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TOTAL RETURN FUND CLASS A	09252M107	MDHQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TOTAL RETURN FUND CLASS INSTITUTIONAL	09252M883	MAHQX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TOTAL RETURN FUND CLASS K	09252M743	MPHQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TOTAL RETURN FUND CLASS R	09252M800	MRCBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK TOTAL RETURN FUND SERVICE CLASS	09252M768	MSHQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK U.S. GOVERNMENT BOND PORTFOLIO FUND CLASS A	09260B358	CIGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK U.S. GOVERNMENT BOND PORTFOLIO FUND CLASS R	09260B291	BGBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK U.S. GOVERNMENT BOND PORTFOLIO FUND INSTITUTIONAL CLASS	09260B325	PNIGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK U.S. GOVERNMENT BOND PORTFOLIO FUND SERVICE CLASS	09260B283	PIGSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK U.S. MORTGAGE PORTFOLIO FUND CLASS A	56166L105	BMPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCK U.S. MORTGAGE PORTFOLIO FUND INSTITUTIONAL CLASS	56166L303	MSUMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCKASIAN DRAGON FUND CLASS A	09252J104	MDPCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCKASIAN DRAGON FUND CLASS R	09252J401	MRPCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKROCK FUNDS	BLACKROCKASIAN DRAGON FUND INSTITUTIONAL CLASS	09252J500	MAPCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKSTONE FUNDS	BLACKSTONE ALTERNATIVE MULTI-STRATEGY FUND CLASS D	09257V300	BXMDX	No/Low Load	Initial : 25000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BLACKSTONE FUNDS	BLACKSTONE ALTERNATIVE MULTI-STRATEGY INSTITUTIONAL CLASS	09257V201	BXMIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 20000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO AGGRESSIVE ALLOCATION FUND CLASS I	09658L281	BDSHX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO AGGRESSIVE ALLOCATION FUND CLASS R-3	09658L273	BDSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO AGGRESSIVE ALLOCATION FUND CLASS Y	09658L257	BDSYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO ALTERNATIVE STRATEGIES FUND CLASS A	09658W683	BMATX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO ALTERNATIVE STRATEGIES FUND CLASS I	09658W675	BMAXS	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO BALANCED ALLOCATION FUND CLASS I	09658L240	BGRHX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO BALANCED ALLOCATION FUND CLASS R-3	09658L232	BGRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO BALANCED ALLOCATION FUND CLASS Y	09658L216	BGRYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO CONSERVATIVE ALLOCATION FUND CLASS I	09658L331	BDVIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO CONSERVATIVE ALLOCATION FUND CLASS R-3	09658L323	BDVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO CONSERVATIVE ALLOCATION FUND CLASS Y	09658L299	BDVYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO DISCIPLINED INTERNATIONAL EQUITY FUND CLASS A	09658W667	BDAQX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO DISCIPLINED INTERNATIONAL EQUITY FUND CLASS I	09658W659	BDIQX	No/Low Load	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO DIVIDEND INCOME FUND CLASS A	09658W204	BADIX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO DIVIDEND INCOME FUND CLASS I	09658L604	MDIVX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO GLOBAL LONG SHORT EQUITY FUND CLASS A	09658W626	BGAQX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO GLOBAL LONG SHORT EQUITY FUND CLASS I	09658W618	BGIQX	No/Low Load	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO GLOBAL LOW VOLATILITY EQUITY FUND CLASS A	09658W873	BAEQX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO GLOBAL LOW VOLATILITY EQUITY FUND CLASS I	09658V768	BGLBX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO GOVERNMENT MONEY MARKET FUND PREMIER CLASS	09658L794	MGNXX	No/Low Load	Initial : 2000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO GROWTH ALLOCATION FUND CLASS I	09658L422	BABHX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO GROWTH ALLOCATION FUND CLASS R-3	09658L414	BABRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO GROWTH ALLOCATION FUND CLASS Y	09658L380	BABYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO HIGH YIELD BOND FUND CLASS A	09658W717	BMHAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO HIGH YIELD BOND FUND CLASS I	09658L406	MHBNX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO INTERMEDIATE TAX FREE FUND CLASS	09658W766	BITAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO INTERMEDIATE TAX-FREE FUND CLASS I	09658L778	MITX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO INTERMEDIATE TAX-FREE FUND CLASS Y	09658L760	MITFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO LARGE CAP GROWTH FUND CLASS A	09658W402	BALGX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO LARGE CAP VALUE FUND CLASS A	09658W303	BALVX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO LARGE-CAP GROWTH FUND CLASS I	09658L752	MLICX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO LARGE-CAP GROWTH FUND CLASS Y	09658L745	MASTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO LARGE-CAP VALUE FUND CLASS I	09658L844	MLVIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO LGM EMERGING MARKETS EQUITY FUND CLASS I	09658L489	MIEMX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO LLOYD GEORGE EMERGING MARKETS EQUITY FUND CLASS A	09658W824	BAEMX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO LOW VOLATILITY EQUITY FUND CLASS A	09658W105	BLVAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO LOW VOLATILITY EQUITY FUND CLASS I	09658L208	MLVEX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO MID CAP GROWTH FUND CLASS A	09658W600	BGMAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO MID CAP VALUE FUND CLASS A	09658W501	BAMCX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO MID-CAP GROWTH FUND CLASS I	09658L737	MRMIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO MID-CAP VALUE FUND CLASS I	09658L711	MRVIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO MODERATE ALLOCATION FUND CLASS I	09658L190	BMBHX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO MODERATE ALLOCATION FUND CLASS R-3	09658L182	BMBQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO MODERATE ALLOCATION FUND CLASS Y	09658L166	BMBYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
BMO FUNDS	BMO PRIME MONEY MARKET FUND PREMIER CLASS	09658L687	MAIXX	No/Low Load	Initial : 2000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO PYRFORD INTERNATIONAL FUND CLASS A	09658W840	BPIAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO PYRFORD INTERNATIONAL STOCK FUND CLASS I	09658L513	MISNX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO SHORT TAX FREE FUND CLASS A	09658W782	BASFEX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO SHORT TAX-FREE FUND CLASS I	09658L646	MTFIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO SHORT TERM INCOME FUND CLASS A	09658W774	BTAAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO SHORT-TERM INCOME FUND CLASS I	09658L570	MSIFX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO SMALL CAP CORE FUND CLASS I	09658V537	BSCNX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO SMALL CAP VALUE FUND CLASS A	09658W709	BACVX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO SMALL-CAP CORE FUND CLASS A	09658W808	BCCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO SMALL-CAP GROWTH FUND CLASS A	09658V339	BSLAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO SMALL-CAP GROWTH FUND CLASS I	09658L620	MSGIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO SMALL-CAP VALUE FUND CLASS I	09658L596	MRSNX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO STRATEGIC INCOME FUND CLASS A	09658W758	BMTAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO STRATEGIC INCOME FUND CLASS I	09658L828	MGIIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO STRATEGIC INCOME FUND CLASS Y	09658L810	MRGIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO TCH CORE PLUS BOND FUND CLASS A	09658W725	BATCX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO TCH CORE PLUS BOND FUND CLASS I	09658L885	MCBIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO TCH CORE PLUS BOND FUND CLASS Y	09658L877	MCYBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO TCH CORPORATE INCOME FUND CLASS A	09658W733	BATIX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO TCH CORPORATE INCOME FUND CLASS I	09658L869	MCIIIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO TCH CORPORATE INCOME FUND CLASS Y	09658L851	MCIYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO ULTRA SHORT TAX FREE FUND CLASS A	09658W790	BAUSX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BMO FUNDS	BMO ULTRA SHORT TAX-FREE FUND CLASS I	09658L539	MUISX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON ACTIVE MIDCAP FUND CLASS A	05587K105	DNLDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON ACTIVE MIDCAP FUND CLASS I	05587K501	DNLRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON ALTERNATIVE DIVERSIFIER STRATEGIES FUND CLASS A	05588L862	DRNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON ALTERNATIVE DIVERSIFIER STRATEGIES FUND CLASS I	05588L847	DRNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON AMT-FREE MUNICIPAL BOND FUND CLASS A	05588R505	DMUAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON AMT-FREE MUNICIPAL BOND FUND CLASS I	05588R604	DMBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON AMT-FREE MUNICIPAL BOND FUND CLASS Z	05588R208	DRMBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON APPRECIATION FUND CLASS I	05589Q308	DGIGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON APPRECIATION FUND INVESTOR SHARES	05589Q100	DGAGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON ASSET ALLOCATION FUND INVESTOR CLASS	05569M640	MIBLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON BALANCED FUND CLASS M	05569M657	MPBLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON BALANCED OPPORTUNITY FUND CLASS A	09662F106	DBOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON BALANCED OPPORTUNITY FUND CLASS I	09662F304	DBORX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON BALANCED OPPORTUNITY FUND CLASS J	09662F403	THPBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON BALANCED OPPORTUNITY FUND CLASS Z	09662F700	DBOZX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON BOND FUND CLASS M	05569M830	MPFBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON BOND FUND INVESTOR SHARES	05569M822	MIBDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON BOND MARKET INDEX FUND CLASS I	05589K855	DBIRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON BOND MARKET INDEX FUND INVESTOR SHARES	05589K848	DBMIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON BROAD OPPORTUNITIES FUND CLASS A	05580W601	DIOAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON BROAD OPPORTUNITIES FUND CLASS I	05580W809	DIOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON CALIFORNIA AMT-FREE MUNICIPAL BOND FUND CLASS A	05587E109	DCAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON CALIFORNIA AMT-FREE MUNICIPAL BOND FUND CLASS I	05587E406	DCMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON CALIFORNIA AMT-FREE MUNICIPAL BOND FUND CLASS Z	05587E307	DRACX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON CONNECTICUT FUND CLASS A	05587R860	PSCTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON CONNECTICUT FUND CLASS I	05587R845	DTCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON CONNECTICUT FUND CLASS Z	05587R837	DPMZX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON CORE PLUS FUND CLASS A	05580W866	DCPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON CORE PLUS FUND CLASS I	05580W841	DCPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON CORPORATE BOND FUND CLASS M	05569M368	BYMMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON CORPORATE BOND FUND INVESTOR CLASS	05569M350	BYMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON DISCIPLINED STOCK FUND	05589K806	DDSTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
BNY MELLON FUNDS	BNY MELLON DIVERSIFIED EMERGING MARKETS FUND CLASS A	05588D738	DBEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON DIVERSIFIED EMERGING MARKETS FUND CLASS I	05588X504	SBCEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON DIVERSIFIED INTERNATIONAL FUND CLASS A	05588F774	DFPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON DIVERSIFIED INTERNATIONAL FUND CLASS I	05588F790	DFPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON DYNAMIC TOTAL RETURN FUND CLASS A	05587N109	AVGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON DYNAMIC TOTAL RETURN FUND CLASS I	05587N307	AVGRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON DYNAMIC VALUE FUND CLASS A	05587N679	DAGVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON DYNAMIC VALUE FUND CLASS I	05587N653	DRGVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON EMERGING MARKETS FUND CLASS M	05569M855	MEMKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON EMERGING MARKETS FUND INVESTOR SHARES	05569M848	MIEGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON EMERGING MARKETS SECURITIES FUND CLASS	09661K205	DCPEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON EMERGING MARKETS SECURITIES FUND CLASS A	09661K106	DRFMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON EMERGING MARKETS SECURITIES FUND CLASS I	09661K304	DRPEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON EQUITY INCOME FUND CLASS A	05588E801	DQIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON EQUITY INCOME FUND CLASS I	05588E603	DQIRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON FLOATING RATE INCOME FUND CLASS A	05589K707	DFLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON FLOATING RATE INCOME FUND RATE INCOME FUND	05589K509	DFLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON FOCUSED EQUITY OPPORTUNITIES FUND CLASS M	05569M475	MFOMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON FOCUSED EQUITY OPPORTUNITIES FUND INVESTOR CLASS	05569M459	MFOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
BNY MELLON FUNDS	BNY MELLON GLOBAL DYNAMIC BOND INCOME FUND CLASS A	05587N802	DGDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL DYNAMIC BOND INCOME FUND CLASS I	05587N877	DGDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL EMERGING MARKETS FUND CLASS A	05588L102	DGEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL EMERGING MARKETS FUND CLASS I	05588L300	DGEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL EQUITY INCOME FUND CLASS A	05588E504	DEQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL EQUITY INCOME FUND CLASS I	05588E306	DOEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL FIXED INCOME FUND CLASS A	05588D100	DHGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL FIXED INCOME FUND CLASS I	05588G801	SDGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL REAL ESTATE SECURITIES FUND CLASS A	05588F816	DRLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL REAL ESTATE SECURITIES FUND CLASS I	05588F832	DRLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL REAL RETURN FUND CLASS A	05587N844	DRRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL REAL RETURN FUND CLASS I	05587N828	DRRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL STOCK FUND CLASS A	05587K683	DGLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GLOBAL STOCK FUND CLASS I	05587K717	DGLRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON GROWTH AND INCOME FUND	05587Q102	DGRIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
BNY MELLON FUNDS	BNY MELLON HIGH YIELD FUND CLASS A	05588E835	DPLTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON HIGH YIELD FUND CLASS I	05588E850	DLHRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON HIGH YIELD MUNICIPAL BOND FUND CLASS A	05588R869	DHYAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON HIGH YIELD MUNICIPAL BOND FUND CLASS I	05588R885	DYBIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON HIGH YIELD MUNICIPAL BOND FUND CLASS Z	05588R851	DHMBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INCOME STOCK FUND CLASS A	05569M343	BMAIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INCOME STOCK FUND CLASS I	05569M327	BMIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INCOME STOCK FUND CLASS M	05569M301	MPISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INCOME STOCK FUND INVESTOR SHARES	05569M400	MISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INFLATION ADJUSTED SECURITIES FUND CLASS I	05600G040	DIASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INFLATION ADJUSTED SECURITIES FUND INVESTOR SHARES	05600G305	DIAVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INSTITUTIONAL S&P 500 STOCK INDEX FUND CLASS I	05589K863	DSPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERMEDIATE BOND FUND CLASS M	05569M814	MPIBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERMEDIATE BOND FUND INVESTOR SHARES	05569M798	MIDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
BNY MELLON FUNDS	BNY MELLON INTERMEDIATE MUNICIPAL BOND FUND	05588V100	DITEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL BOND FUND CLASS A	05588E868	DIBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL BOND FUND CLASS I	05588E884	DIBRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL CORE EQUITY FUND CLASS A	09661F107	DIEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL CORE EQUITY FUND CLASS I	09661F305	DIERX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL EQUITY FUND CLASS A	05588D845	NIEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL EQUITY FUND CLASS I	05588D837	SNIEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL EQUITY INCOME FUND CLASS M	05569M384	MLIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL EQUITY INCOME FUND INVESTOR SHARES	05569M376	MLIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL FUND CLASS M	05569M871	MPITX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL FUND INVESTOR SHARES	05569M863	MINIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL SMALL CAP FUND CLASS A	09661F875	DYAPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL SMALL CAP FUND CLASS I	09661F800	DYIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL STOCK FUND CLASS A	05587K725	DISAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL STOCK FUND CLASS I	05587K741	DISRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL STOCK INDEX FUND CLASS I	09661L203	DINIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON INTERNATIONAL STOCK INDEX FUND INVESTOR SHARES	09661L500	DIISX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON JAPAN WOMENOMICS FUND CLASS A	05587A404	DJWAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON JAPAN WOMENOMICS FUND CLASS I	05587A206	DJWIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON LARGE CAP EQUITY FUND CLASS A	05588F840	DLQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON LARGE CAP EQUITY FUND CLASS I	05588F865	DLQIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON LARGE CAP GROWTH FUND CLASS A	05588F873	DAPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON LARGE CAP GROWTH FUND CLASS I	05588F808	DAPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON LARGE CAP SECURITIES FUND	05588K104	DREVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON LARGE CAP STOCK FUND CLASS M	05569M103	MPLCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON LARGE CAP STOCK FUND INVESTOR SHARES	05569M202	MILCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON MA INTERMEDIATE MUNI BOND FD INVESTOR CL	05569M673	MMBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON MA INTERMEDIATE MUNI BOND FUND CLASS M	05569M681	MMBMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON MASSACHUSETTS FUND CLASS A	05587R803	PSMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON MASSACHUSETTS FUND CLASS Z	05587R878	PMAZX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON MID CAP STOCK FUND CLASS M	05569M509	MPMCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON MID CAP STOCK FUND INVESTOR SHARES	05569M608	MIMSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON MIDCAP INDEX FUND CLASS I	05588M100	DMIDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON MIDCAP INDEX FUND INVESTOR SHARES	05588M209	PESPX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON MUNICIPAL BOND FUND	05588B104	DRTAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NATIONAL INTERMEDIATE MUNI BOND FUND CLASS M	05569M764	MPNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NATIONAL INTERMEDIATE MUNI BOND FUND INV SH	05569M756	MINMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NATIONAL SHORT TERM MUNI BOND FUND CLASS M	05569M731	MPSTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NATIONAL SHORT TERM MUNICIPAL BOND INVESTOR SHARES	05569M723	MINSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NATURAL RESOURCES FUND CLASS A	05587A834	DNLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NATURAL RESOURCES FUND CLASS I	05587A859	DLDRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NEW JERSEY MUNICIPAL BOND FUND CLASS A	05587D101	DRNIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NEW JERSEY MUNICIPAL BOND FUND CLASS I	05587D408	DNMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NEW JERSEY MUNICIPAL BOND FUND CLASS Z	05587D309	DZNIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NEW YORK AMT-FREE MUNICIPAL BOND FUND CLASS A	05588G301	PSNYX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NEW YORK AMT-FREE MUNICIPAL BOND FUND CLASS I	05588G509	DNVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
BNY MELLON FUNDS	BNY MELLON NEW YORK INTERM TAX EXEMPT BOND FD INVESTOR CL	05569M517	MNYIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NEW YORK INTERM TAX-EXEMPT BOND FUND CLASS M	05569M525	MNYMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON NEW YORK TAX EXEMPT BOND FUND	05589N107	DRNYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON OPPORTUNISTIC MIDCAP VALUE FUND CLASS A	05587N646	DMCVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON OPPORTUNISTIC MIDCAP VALUE FUND CLASS I	05587N778	DVLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON OPPORTUNISTIC MUNICIPAL SECURITIES FUND CL A	05589A105	PTBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON OPPORTUNISTIC MUNICIPAL SECURITIES FUND CL I	05589A402	DMBVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON OPPORTUNISTIC MUNICIPAL SECURITIES FUND CL Z	05589A303	DMBZX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON OPPORTUNISTIC SMALL CAP FUND CLASS I	05587N745	DOPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON OPPORTUNISTIC SMALL CAP FUND INVESTOR SHARES	05587N638	DSCVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON PA INTERMEDIATE MUNI BOND FUND CLASS M	05569M715	MPPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON PA INTERMEDIATE MUNI BOND FUND INV SHARES	05569M699	MIPAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON PENNSYLVANIA FUND CLASS A	05587R506	PTPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON PENNSYLVANIA FUND CLASS Z	05587R704	DPENX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON RESEARCH GROWTH FUND CLASS A	05588Q200	DWOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON RESEARCH GROWTH FUND CLASS I	05588Q408	DWOIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON RESEARCH GROWTH FUND CLASS Z	05588Q101	DREOX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON S&P 500 INDEX FUND	09661L302	PEOPX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SELECT MANAGERS SMALL CAP GROWTH FUND CLASS A	05587K659	DSGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SELECT MANAGERS SMALL CAP GROWTH FUND CLASS I	05587K675	DSGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SELECT MANAGERS SMALL CAP VALUE FUND CLASS A	05587K782	DMVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SELECT MANAGERS SMALL CAP VALUE FUND CLASS I	05587K816	DMVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SHORT INTERMEDIATE BOND FUND CLASS I	05589J205	DMIMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SHORT INTERMEDIATE MUNICIPAL BOND FUND CLASS A	05589J304	DMBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SHORT INTERMEDIATE MUNICIPAL BOND FUND CLASS D	05589J106	DSIBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SHORT TERM INCOME FUND CLASS D	05560G107	DSTIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SHORT TERM INCOME FUND CLASS P	05600G503	DSHPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SHORT TERM U.S. GOVERNMENT SECURITIES FUND CLASS M	05569M780	MPSUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SHORT TERM U.S. GOVERNMENT SECURITIES FUND INV	05569M772	MISTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SMALL /MID CAP GROWTH FUND CLASS A	05586X108	DBMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SMALL CAP GROWTH FUND CLASS I	05586X702	SSETX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SMALL CAP STOCK FUND CLASS M	05569M806	MPSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SMALL CAP STOCK FUND INVESTOR SHARES	05569M889	MISCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SMALL CAP VALUE FUND CLASS A	05588D308	RUDAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SMALL CAP VALUE FUND CLASS I	05586X884	STSVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SMALL /MID CAP GROWTH FUND CLASS I	05586X405	SDSCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SMALL/MID CAP FUND CLASS M	05569M442	MMCMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SMALL/MID CAP FUND INVESTOR CLASS	05569M467	MMCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SMALL/MID CAP GROWTH FUND CLASS Z	05588D829	DBMZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SMALLCAP STOCK INDEX FUND CLASS I	09661L104	DISIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SMALLCAP STOCK INDEX FUND INVESTOR SHARES	09661L401	DISSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON STRATEGIC BETA EMERGING MARKETS EQUITY FUND CLASS A	05587A883	DOFAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON STRATEGIC BETA EMERGING MARKETS EQUITY FUND CLASS I	05587A701	DOPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON STRUCTURED MIDCAP FUND CLASS A	05587N620	DPASX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON STRUCTURED MIDCAP FUND CLASS I	05587N596	DPRSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SUSTAINABLE U.S. EQUITY FUND CLASS A	09661D102	DTACX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SUSTAINABLE U.S. EQUITY FUND CLASS I	09661D300	DRTCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON SUSTAINABLE U.S. EQUITY FUND CLASS Z	09661D409	DRTHX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON TAX MANAGED GROWTH FUND CLASS A	05589K871	DTMGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON TAX MANAGED GROWTH FUND CLASS I	05589K103	DPTRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON TAX SENSITIVE LARGE CAP MULTI-STRAT FUND INV CLASS	05569M426	MTSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON TAX SENSITIVE LARGE CAP MULTI STRATEGY FUND CLASS M	05569M434	MTSMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON TAX SENSITIVE TOTAL RETURN BOND FUND CLASS A	05586X306	DSBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON TAX SENSITIVE TOTAL RETURN BOND FUND CLASS I	05586X603	SDITX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON TECHNOLOGY GROWTH FUND CLASS A	05587N588	DTGRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON TECHNOLOGY GROWTH FUND CLASS I	05587N562	DGVRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON U.S. EQUITY FUND CLASS A	05587K774	DPUAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON U.S. EQUITY FUND CLASS I	05587K766	DPUIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON U.S. MORTGAGE FUND CLASS A	05588P301	GGPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON U.S. MORTGAGE FUND CLASS I	05588P509	GPNIJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON U.S. MORTGAGE FUND CLASS Z	05588P103	DRGMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON ULTRA SHORT INCOME FUND CLASS D	05588T204	DSDDX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON ULTRA SHORT INCOME FUND CLASS Z	05588T105	DSIGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON ULTRA SHORT INCOME FUND INSTITUTIONAL SHARES	05588T303	DSYDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON WORLDWIDE GROWTH FUND CLASS A	05588J107	PGROX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON WORLDWIDE GROWTH FUND CLASS I	05588J305	DPWRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON YIELD ENHANCEMENT STRATEGY FUND CLASS A	05588L607	DABMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	BNY MELLON YIELD ENHANCEMENT STRATEGY FUND CLASS I	05588L805	DABKX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS AMT-FREE MUNICIPAL CASH MANAGEMENT PLUS	261950604	DMUXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS AMT-FREE NEW YORK MUNICIPAL CASH MANAGEMENT	261954606	DMDXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS BASIC MONEY MARKET FUND	261961106	DBAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS CASH MANAGEMENT FUND ADMINISTRATIVE SHARE	26188J404	DACXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 03:00 PM; Red : 03:00 PM; Exch : 03:00 PM	
BNY MELLON FUNDS	DREYFUS CASH MANAGEMENT FUND INVESTOR CLASS	26188J305	DVCXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 03:00 PM; Red : 03:00 PM; Exch : 03:00 PM	
BNY MELLON FUNDS	DREYFUS CASH MANAGEMENT MONEY MARKET FUND INST SHARES	26188J206	DICXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 03:00 PM; Red : 03:00 PM; Exch : 03:00 PM	
BNY MELLON FUNDS	DREYFUS GENERAL GOVERNMENT MONEY MARKET FUND	369899109	GG5XX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
BNY MELLON FUNDS	DREYFUS GENERAL MONEY MARKET FUND CLASS A	'370375107	GMXXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS GENERAL MUNICIPAL MONEY MARKET FUND	'37045H101	GTMMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
BNY MELLON FUNDS	DREYFUS GOVERNMENT CASH MANAGEMENT ADMINISTRATIVE SHARE	'262006406	DAGXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS GOVERNMENT CASH MANAGEMENT FD INSTITUTIONAL CL	'262006208	DGXXC	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS GOVERNMENT SECURITIES CASH MANAGEMENT FUND INSTITUTIONAL CLASS	'262006885	DIPXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS GOVERNMENT SECURITIES CASH MANAGEMENT INVESTOR CLASS	'262006703	DVPXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS GOVERNMENT SECURITIES CASH MANAGEMENT PARTICIPANT CLASS	'262006604	DGPXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS GOVT CASH MANAGEMENT FUND INVESTOR SHARES	'262006307	DGVXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS INST PREFERRED MONEY MARKET FUND	'26200406	DRSXX	No/Low Load	Initial : 9999999.99; Sub : 0.0	FundServ	Purch : 03:00 PM; Red : 03:00 PM; Exch : 03:00 PM	
BNY MELLON FUNDS	DREYFUS INST PREFERRED TREASURY SEC MONEY MARKET FD INSTITUTIONAL CLASS	'177366879	CEIXX	No/Low Load	Initial : 9999999.99; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS INST TREASURY SEC CASH ADVANTAGE FD PREMIER SHARES	'26200X787	DMEXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS INSTL PFD MONEY MKT FD PRIME CLASS	'26200T109	DIOXX	No/Low Load	Initial : 9999999.99; Sub : 0.0	FundServ	Purch : 03:00 PM; Red : 03:00 PM; Exch : 03:00 PM	
BNY MELLON FUNDS	DREYFUS INSTL PREFERRED GOVT MONEY MARKET FUND HAMILTON CLASS	'26200X309	DSHXX	No/Low Load	Initial : 9999999.99; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS INSTL PREFERRED GOVT MONEY MARKET FUND PREMIER CLASS	'26200X407	DERXX	No/Low Load	Initial : 9999999.99; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS INSTL TREASURY OBLIGATIONS CASH ADVANTAGE FUND	'26200X860	DHLXX	No/Low Load	Initial : 5000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS INSTL TREASURY OBLIGATIONS CASH ADVANTAGE FUND PREMIER CLASS	'26200X845	DRRXX	No/Low Load	Initial : 5000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS INSTL TREASURY SECURITIES CASH ADVANTAGE FUND AGENCY CLASS	'26200X829	DUPXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS LIQUID ASSET INC; CLASS 2 SHARES	'262015209	DLBXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS LIQUID ASSETS FUND CLASS 1	'262015100	DLAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS LIQUID ASSETS INC CLASS Z	'262015407	DLZXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS NEW YORK MUNICIPAL CASH MGMT INVESTOR CLASS	'261954200	DVYXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:00 PM; Red : 03:00 PM; Exch : 03:00 PM	
BNY MELLON FUNDS	DREYFUS TREASURY OBLIGATIONS CASH MANAGEMENT FUND CLASS E	'261908305	DTAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS TREASURY OBLIGATIONS CASH MANAGEMENT FUND CLASS I	'261908107	DTRX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS TREASURY OBLIGATIONS CASH MANAGEMENT FUND INVESTOR SHARES	'261908206	DTVXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS TREASURY OBLIGATIONS CASH MANAGEMENT FUND PARTICIPANT SHARES	'261908404	DTPX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS TREASURY PRIME CASH MGMT FUND INVESTOR CL	'261941207	DRVXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	DREYFUS TREASURY PRIME CASH MGMT INSTITUTIONAL CLASS	'261941108	DIRXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	GENERAL NEW JERSEY MUNICIPAL MONEY MARKET FD CL A	'37046J106	DNJXX	Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 03:00 PM; Red : 03:00 PM; Exch : 03:00 PM	
BNY MELLON FUNDS	GENERAL NEW YORK AMTFREE MUNICIPAL MONEY MARKET FD CL A	'370456105	GNMXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	GENERAL TREASURY AND AGENCY MONEY MARKET FUND CLASS A	'05589K830	DUIXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	GENERAL TREASURY SECURITIES MONEY MARKET FD CL A	'369899307	GTAXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BNY MELLON FUNDS	GENERAL TREASURY SECURITIES MONEY MARKET FD DREYFUS CL	'369899604	GTFXX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BOSTON TRUST & WALDEN FDS	BOSTON TRUST ASSET MANAGEMENT FUND	'101156305	BTBFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BOSTON TRUST & WALDEN FDS	BOSTON TRUST MIDCAP FUND	'101156503	BTMFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BOSTON TRUST & WALDEN FDS	BOSTON TRUST SMALL CAP FUND	'101156602	BOSOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BOSTON TRUST & WALDEN FDS	BOSTON TRUST SMID CAP FUND	'101156883	BTSMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BOSTON TRUST & WALDEN FDS	WALDEN ASSET MANAGEMENT FUND	'101156701	WBSFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BOSTON TRUST & WALDEN FDS	WALDEN EQUITY FUND	'101156107	WSEFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BOSTON TRUST & WALDEN FDS	WALDEN MIDCAP FUND	'101156800	WAMFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BOSTON TRUST & WALDEN FDS	WALDEN SMALL CAP FUND	'101156206	WASOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BOSTON TRUST & WALDEN FDS	WALDEN SMID CAP FUND	'101156875	WASMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES CORE PLUS FIXED INCOME CLASS A	'105262836	BCPAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES CORE PLUS FIXED INCOMEFUND CLASS I	'105262869	BCPIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES EMERGING MARKETS FUND VALUE FUND CLASS I	'105262752	BEMIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES EMERGING MARKETS VALUE FUND CLASS A	'105262745	BEMAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES GLOBAL EQUITY FUND CLASS A	'105262778	BGEAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES GLOBAL EQUITY FUND CLASS I	'105262794	BGVIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES GLOBAL EQUITY INCOME FUND CLASS A	'105262612	BGIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES GLOBAL EQUITY INCOME FUND CLASS I	'105262588	BGIHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES INTERNATIONAL EQUITY FUND CLASS A	'105262760	BIEAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES INTERNATIONAL EQUITY FUND CLASS I	'105262703	BIEX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES INTERNATIONAL SMALL CAP EQUITY FUND CLASS A	'105262729	BISAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES INTERNATIONAL SMALL CAP EQUITY FUND CLASS I	'105262737	BISMX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES SMALL CAP VALUE FUND CLASS A	'105262489	BSCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRANDES FUNDS	BRANDES SMALL CAP VALUE FUND CLASS I	'105262471	BSCMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRIDGEWAY FUNDS	BRIDGEWAY AGGRESSIVE INVESTORS 1	'108747106	BRAGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRIDGEWAY FUNDS	BRIDGEWAY BLUE CHIP FUND	'108747502	BRLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRIDGEWAY FUNDS	BRIDGEWAY MANAGED VOLATILITY FUND	'108747700	BRBPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRIDGEWAY FUNDS	BRIDGEWAY OMNI SMALL-CAP VALUE FUND	'108747775	BOVXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRIDGEWAY FUNDS	BRIDGEWAY OMNI TAX-MANAGED SMALL-CAP VALUE FUND	'108747783	BOTSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRIDGEWAY FUNDS	BRIDGEWAY SMALL-CAP GROWTH	'108747841	BRSGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRIDGEWAY FUNDS	BRIDGEWAY SMALL-CAP VALUE	'108747825	BRVXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BRIDGEWAY FUNDS	BRIDGEWAY ULTRA-SMALL COMPANY MARKET	'108747403	BRVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROOKFIELD FUNDS	BROOKFIELD GLOBAL LISTED INFRASTRUCTURE FUND CLASS A	'112740501	BGLAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROOKFIELD FUNDS	BROOKFIELD GLOBAL LISTED INFRASTRUCTURE FUND CLASS I	'112740808	BGLIX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROOKFIELD FUNDS	BROOKFIELD GLOBAL LISTED INFRASTRUCTURE FUND CLASS Y	'112740709	BGLYX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROOKFIELD FUNDS	BROOKFIELD GLOBAL LISTED REAL ESTATE FUND CLASS A	'112740105	BLRAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROOKFIELD FUNDS	BROOKFIELD GLOBAL LISTED REAL ESTATE FUND CLASS I	'112740402	BLRIX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROOKFIELD FUNDS	BROOKFIELD GLOBAL LISTED REAL ESTATE FUND CLASS Y	'112740303	BLRYX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROOKFIELD FUNDS	BROOKFIELD REAL ASSETS SECURITIES FUND CLASS A	'112740758	RASAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROOKFIELD FUNDS	BROOKFIELD REAL ASSETS SECURITIES FUND CLASS Y	'112740725	RASYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROOKFIELD FUNDS	BROOKFIELD U.S. LISTED REAL ESTATE FUND CLASS A	'112740790	BRUAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROOKFIELD FUNDS	BROOKFIELD U.S. LISTED REAL ESTATE FUND CLASS Y	'112740774	BRUYX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROOKFIELD FUNDS	CENTER COAST BROOKFIELD MLP FOCUS FUND CLASS A	'112740667	CCACX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROOKFIELD FUNDS	CENTER COAST BROOKFIELD MLP FOCUS FUND CLASS Y	'112740626	CCCNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
BROWN ADVISORY FUNDS	BROWN ADVISORY BEUTEL GOODMAN LARGE CAP VALUE FUND INSTITUTIONAL CLASS	'115233421	BVALX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY EMERGING MARKETS SELECT FUND ADVISOR CLASS	'115233637	BAQAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY EMERGING MARKETS SELECT FUND INSTITUTIONAL CLASS	'115233652	BAFOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY EMERGING MARKETS SELECT FUND INVESTOR CLASS	'115233645	BIAQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY EQUITY INCOME FUND ADVISOR CLASS	'115233678	BADAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY EQUITY INCOME FUND INSTL CLASS	'115233660	BAFDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY EQUITY INCOME FUND INVESTOR CLASS	'115233686	BIADX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY FLEXIBLE EQUITY FUND INSTL CLASS	'115233843	BAFFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY FLEXIBLE VALUE FUND ADVISOR CLASS	'115233850	BAFAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY FLEXIBLE VALUE FUND INVESTOR CLASS	'115233868	BIAFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY GLOBAL LEADERS FUND INSTITUTIONAL CLASS	'115233355	BAFLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY GLOBAL LEADERS FUND INVESTOR CLASS	'115233462	BIALX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY GROWTH EQUITY FUND ADVISOR CLASS	'115233603	BAGAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY GROWTH EQUITY FUND INST CLASS	'115233702	BAFGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY GROWTH EQUITY FUND INVESTOR CLASS	'115233504	BIAGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY INTERMEDIATE INCOME FUND ADVISOR CLASS	'115233736	BIAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY INTERMEDIATE INCOME FUND INVESTOR CLASS	'115233744	BIAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY MARYLAND BOND FUND INVESTOR CLASS	'115233751	BIAMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY MID CAP GROWTH FUND INSTL CLASS	'115233413	BAFMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY MID CAP GROWTH FUND INVESTOR CLASS	'115233439	BMIDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY MORTGAGE SECURITIES FUND INSTITUTIONAL CLASS	'115233546	BAFZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY MORTGAGE SECURITIES FUND INVESTOR CLASS	'115233587	BIAZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY SMALL-CAP FUND ADVISOR CLASS	'115233827	BASAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY SMALL-CAP FUNDAMENTAL VALUE FUND ADVISOR CLASS	'115233785	BAUAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
BROWN ADVISORY FUNDS	BROWN ADVISORY SMALL-CAP FUNDAMENTAL VALUE FUND INST CLASS	'115233777	BAUUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
BROWN ADVISORY FUNDS	BROWN ADVISORY SMALL-CAP FUNDAMENTAL VALUE FUND INVESTOR CLASS	'115233793	BIAUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
BROWN ADVISORY FUNDS	BROWN ADVISORY SMALL-CAP GROWTH FD INVESTOR CLASS	'115233835	BIASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY SMALL-CAP GROWTH FUND INSTITUTIONAL CLASS	'115233819	BAFSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY STRATEGIC BOND FUND INSTITUTIONAL CLASS	'115233470	BIABX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY STRATEGIC EUROPEAN EQUITY FUND ADVISOR CLASS	'115233595	BAHAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY STRATEGIC EUROPEAN EQUITY FUND INSTITUTIONAL CLASS	'115233629	BAFHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY STRATEGIC EUROPEAN EQUITY FUND INVESTOR CLASS	'115233611	BIAHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY SUSTAINABLE BOND FUND INSTL CLASS	'115233389	BAISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY SUSTAINABLE BOND FUND INVESTOR CL	'115233447	BASBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY SUSTAINABLE GROWTH FUND ADVISOR CLASS	'115233405	BAWAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY SUSTAINABLE GROWTH FUND INSTITUTIONAL CLASS	'115233207	BAFWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY SUSTAINABLE GROWTH FUND INVESTOR CLASS	'115233306	BIAWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY TACTICAL BOND FUND INVESTOR CLASS	'115233710	BATBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY TAX EXEMPT BOND FUND INVESTOR CLASS	'115233108	BIAEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY TAX-EXEMPT BOND FUND INSTITUTIONAL CLASS	'115233371	BTEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY TOTAL RETURN FUND INSTITUTIONAL CLASS	'115233538	BAFTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN ADVISORY FUNDS	BROWN ADVISORY TOTAL RETURN FUND INVESTOR CLASS	'115233520	BIATX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN CAPITAL FUNDS	BROWN CAP MANAGE INTERNATIONAL EQUITY FUND INVESTOR CLASS	'115291858	BCIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN CAPITAL FUNDS	BROWN CAPITAL MANAGEMENT INTERNATIONAL EQUITY FUND INSTL CL	'115291767	BCISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN CAPITAL FUNDS	BROWN CAPITAL MANAGEMENT MID CAP FUND INSTITUTIONAL CLASS	'115291783	BCMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN CAPITAL FUNDS	BROWN CAPITAL MANAGEMENT MID CAP FUND INVESTOR CLASS	'115291809	BCMSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN CAPITAL FUNDS	BROWN CAPITAL MANAGEMENT SMALL COMPANY FUND INSTITUTIONAL CLASS	'115291403	BCSSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
BROWN CAPITAL FUNDS	BROWN CAPITAL SMALL COMPANY FUND INVESTOR CLASS	'115291833	BCSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
BROWN CAPITAL FUNDS	BROWN INTERNATIONAL SMALL COMPANY FUND INSTITUTIONAL CLASS	'115291759	BCSFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BROWN CAPITAL FUNDS	BROWN INTERNATIONAL SMALL COMPANY FUND INVESTOR CLASS	'115291742	BCSVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BTS FUNDS	BTS MANAGED INCOME FUND CLASS I	'665381688	BTSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BTS FUNDS	BTS TACTICAL FIXED INCOME FUND CLASS A	'665388602	BTFAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BTS FUNDS	BTS TACTICAL FIXED INCOME FUND CLASS I	'665388701	BTFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BTS FUNDS	BTS TACTICAL FIXED INCOME FUND CLASS R	'665388461	BTRFX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO DISCOVERY FUND	'119530103	BUFTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO DISCOVERY FUND INSTITUTIONAL CLASS	'119530707	BUITX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO DIVIDEND FOCUS FUND	'119530608	BUFDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO DIVIDEND FOCUS FUND INSTITUTIONAL CLASS	'119530806	BUIDX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO EMERGING OPPORTUNITIES FUND	'119530301	BUFOX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO EMERGING OPPORTUNITIES FUND INSTITUTIONAL CLASS	'119530889	BUIOX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO FLEXIBLE INCOME FUND	'119428100	BUFBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO FLEXIBLE INCOME FUND INSTITUTIONAL CLASS	'119530871	BUIBX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO GROWTH FUND	'119826105	BUFGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO GROWTH FUND INSTITUTIONAL CLASS	'119530863	BIIGX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO HIGH YIELD FUND INSTITUTIONAL CLASS	'119530855	BUIHX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO HIGH-YIELD FUND	'119539104	BUFHX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO INTERNATIONAL FUND	'119530509	BUFIX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO INTERNATIONAL FUND INSTITUTIONAL CLASS	'119530848	BUIIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO LARGE CAP FUND INSTITUTIONAL CLASS	'119530830	BUIEX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO LARGE-CAP FUND	'119628105	BUFEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO MID CAP FUND INSTITUTIONAL CLASS	'119530822	BUIMX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO MID-CAP FUND	'119530202	BUFMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO SMALL CAP FUND INSTITUTIONAL CLASS	'119530814	BUISX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
BUFFALO FUNDS	BUFFALO SMALL-CAP FUND	'119804102	BUFSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CALAMOS FUNDS	CALAMOS CONVERTIBLE FUND CLASS A	'128119401	CCVIX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
CALAMOS FUNDS	CALAMOS CONVERTIBLE FUND CLASS I	*128119864	CICVX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS DIVIDEND GROWTH FUND CLASS A	*128120839	CADVX	Load; FundVest Institutional	Initial: 500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS DIVIDEND GROWTH FUND CLASS I	*128120813	CIDVX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS EVOLVING WORLD GROWTH FUND CLASS A	*128119161	CNWXG	Load; FundVest Institutional	Initial: 500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS EVOLVING WORLD GROWTH FUND CLASS I	*128119138	CNWIW	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS GLOBAL CONVERTIBLE FUND CLASS A	*128120748	CAGCX	Load; FundVest Institutional	Initial: 500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS GLOBAL CONVERTIBLE FUND CLASS I	*128120722	CXGXC	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS GLOBAL EQUITY FUND CLASS A	*128119484	CAGEX	Load; FundVest Institutional	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS GLOBAL EQUITY FUND CLASS I	*128119450	CIGEX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS GLOBAL GROWTH & INCOME FUND CLASS A	*128119500	CVLOX	Load; FundVest Institutional	Initial: 500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS GLOBAL GROWTH AND INCOME FUND CLASS I	*128119609	CGCIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS GROWTH AND INCOME CLASS A	*128119104	CVTRX	Load; FundVest Institutional	Initial: 0.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS GROWTH AND INCOME FUND CLASS I	*128119872	CGIHX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS GROWTH FUND CLASS A	*128119302	CVGRX	Load; FundVest Institutional	Initial: 50.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS GROWTH FUND INSTITUTIONAL SHARES	*128119807	CGRIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS HEDGED EQUITY INCOME FUND CLASS A	*128120698	CAHEX	Load; FundVest Institutional	Initial: 500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS HEDGED EQUITY INCOME FUND CLASS I	*128120672	CIHEX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS HIGH INCOME OPPORTUNITIES FUND CLASS A	*128119815	CHYDX	Load; FundVest Institutional	Initial: 500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS HIGH INCOME OPPORTUNITIES FUND CLASS I	*128119781	CHYHX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS INTERNATIONAL GROWTH FUND CLASS A	*128119575	CIGRX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS INTERNATIONAL GROWTH FUND CLASS I	*128119542	CIGIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS MARKET NEUTRAL INCOME FUND CLASS A	*128119203	CVSIX	Load; FundVest Institutional	Initial: 500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS MARKET NEUTRAL INCOME FUND CLASS I	*128119880	CMNIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS OPPORTUNISTIC VALUE FUND CLASS A	*128119666	CVAAX	Load; FundVest Institutional	Initial: 500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS OPPORTUNISTIC VALUE FUND CLASS I	*128119633	CVAIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS PINEUS LONG/SHORT FUND CLASS A	*128120656	PLSXX	Load; FundVest Institutional	Initial: 500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS PINEUS LONG/SHORT FUND CLASS I	*128120631	PLPIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS SHORT TERM BOND FUND CLASS A	*128120441	CSTBX	Load	Initial: 0.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS SHORT TERM BOND FUND INSTITUTIONAL CLASS	*128120433	CSTIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS TIMPANI SMALL CAP GROWTH FUND CLASS A	*128120417	CTASX	Load	Initial: 500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS TIMPANI SMALL CAP GROWTH FUND CLASS I	*128120391	CTSIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS TIMPANI SMID GROWTH FUND CLASS A	*128120375	CTAGX	Load	Initial: 500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS TIMPANI SMID GROWTH FUND CLASS I	*128120367	CTIGX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS TOTAL RETURN BOND FUND CLASS A	*128119310	CTRXA	Load; FundVest Institutional	Initial: 500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALAMOS FUNDS	CALAMOS TOTAL RETURN BOND FUND CLASS I	*128119278	CTRIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT ABSOLUTE RETURN BOND FUND CLASS A	*13161X105	CUBAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT ABSOLUTE RETURN BOND FUND CLASS I	*13161X303	CUBIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT BALANCED FUND CLASS A	*131618100	CSIFX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT BALANCED FUND CLASS I	*131618829	CBAIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT BOND FUND CLASS A	*131618407	CSIBX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT BOND FUND CLASS I	*131618787	CBPIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT CONSERVATIVE ALLOCATION FD CL A	*131618696	CCLAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT CONSERVATIVE ALLOCATION FUND CLASS I	*131618662	CFPIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT EMERGING MARKETS ADVANCEMENT FUND CLASS A	*131649733	CEFAA	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT EMERGING MARKETS EQUITY FUND CLASS A	*131649816	CVMAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT EMERGING MARKETS EQUITY FUND CLASS I	*131649774	CVMIK	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT EQUITY FUND CLASS A	*131618308	CSIEK	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT EQUITY FUND CLASS I	*131618795	CEYIX	No/Low Load; FundVest Institutional	Initial: 250000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT FLOATING-RATE ADVANTAGE FUND CLASS A	*13161X808	CFOAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT FLOATING-RATE ADVANTAGE FUND CLASS I	*13161X873	CFOIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT GLOBAL ENERGY SOLUTIONS FUND CLASS A	*13161P847	CGAEX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT GLOBAL ENERGY SOLUTIONS FUND CLASS I	*13161P813	CAEIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT GLOBAL WATER FUND CLASS A	*13161P797	CFWAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT GLOBAL WATER FUND CLASS I	*13161P698	CFWIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT GREEN BOND FUND CLASS A	*13161P730	CGAFX	Load; FundVest Institutional	Initial: 2000.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT GREEN BOND FUND CLASS I	*13161P714	CGPIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT GROWTH ALLOCATION FUND CLASS A	*131618647	CAAAK	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT GROWTH ALLOCATION FUND CLASS I	*131618613	CAGIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT HIGH YIELD BOND FUND CLASS A	*131582454	CYBAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT HIGH YIELD BOND FUND CLASS I	*131582439	CYBIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT INCOME FUND CLASS A	*131582207	CFICX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT INCOME FUND CLASS I	*131582793	CINCK	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT INTERNATIONAL EQUITY FUND CLASS A	*131649105	CWVGX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT INTERNATIONAL EQUITY FUND CLASS I	*131649808	CWVIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT INTERNATIONAL OPPORTUNITIES FUND CLASS I	*131649877	COIIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT INTERNATIONAL OPPORTUNITY FD CL A	*131649881	CIOAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT INTERNATIONAL RESPONSIBLE INDEX FUND CLASS A	*13161Y509	CDHAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT INTERNATIONAL RESPONSIBLE INDEX FUND CLASS I	*13161Y707	CDHIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT LONG TERM INCOME FUND CLASS A	*131582710	CLDAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT LONG-TERM INCOME FUND CLASS I	*131582330	CLDIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT MID-CAP FUND CLASS A	*131649303	CCAFX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT MID-CAP FUND CLASS I	*131649709	CCPIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT MODERATE ALLOCATION FUND CLASS A	*131618738	CMAAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT MODERATE ALLOCATION FUND CLASS I	*131618654	CLAIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT RESPONSIBLE MUNICIPAL INCOME FUND CLASS A	*131620304	CTLXL	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
CALVERT FUNDS	CALVERT RESPONSIBLE MUNICIPAL INCOME FUND CLASS I	13161X600	CTTX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT SHORT DURATION INCOME FUND CLASS A	13161T104	CSDA	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT SHORT DURATION INCOME FUND CLASS I	13161T401	CDXS	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT SMALL CAP FUND CLASS A	13161P508	CCVAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT SMALL CAP FUND CLASS I	13161P862	CSVIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT U.S. LARGE CAP CORE RESPONSIBLE INDEX FUND CLASS A	131582785	CSXAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT U.S. LARGE CAP CORE RESPONSIBLE INDEX FUND CLASS I	131582751	CISIX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT U.S. LARGE CAP GROWTH RESPONSIBLE FUND CLASS A	13162A104	CGJAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT U.S. LARGE CAP GROWTH RESPONSIBLE INDEX FUND CLASS I	13162A807	CGJIX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT U.S. LARGE CAP VALUE RESPONSIBLE INDEX FUND CLASS A	13162A401	CFJAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT U.S. LARGE CAP VALUE RESPONSIBLE INDEX FUND CLASS I	13162A708	CFJIX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT U.S. MID CAP CORE RESPONSIBLE INDEX FUND CLASS I	13161Y301	CMJIX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT U.S. MID CAP CORE RESPND IDX FUND CLASS A	13161Y103	CMJAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT ULTRA SHORT DURATION INCOME FUND CLASS A	131582611	CULAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CALVERT FUNDS	CALVERT ULTRA-SHORT DURATION INCOME FUND CLASS I	131582348	CULIX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CAMELOT FUNDS	CAMELOT EXCALIBUR SMALL CAP INCOME FUND CLASS A	62827M755	CEXAX	Load	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CAMELOT FUNDS	CAMELOT EXCALIBUR SMALL CAP INCOME FUND CLASS I	62827P725	CEXIX	No/Low Load	Initial: 10000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CAMELOT FUNDS	CAMELOT PREMIUM RETURN FUND CLASS A	62827L625	CPRFX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CAMELOT FUNDS	CAMELOT PREMIUM RETURN FUND CLASS I	62827P733	CPRIX	No/Low Load	Initial: 10000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CAMPBELL & COMPANY FUNDS	CAMPBELL DYNAMIC TREND FUND INSTITUTIONAL CLASS	74295K334	CDRTX	No/Low Load	Initial: 100000.0; Sub: 10000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CAN SLIM FUNDS	CAN SLIM SELECT GROWTH FUND	742935448	CANGX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CAPITAL ADVISORS FUNDS	CAPITAL ADVISORS GROWTH FUND	007989783	CIAOX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 12:00 AM	
CATALYST FUNDS	CATALYST BUYBACK STRATEGY FUND CLASS A	62827M730	BUYAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST BUYBACK STRATEGY FUND CLASS I	62827M714	BUYIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST DYNAMIC ALPHA FUND CLASS A	62827L344	CPEAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST DYNAMIC ALPHA FUND CLASS I	62827M516	CPEIX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST ENHANCED INCOME STRATEGY FUND CLASS A	62827P451	EIXAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST ENHANCED INCOME STRATEGY FUND CLASS I	62827P436	EIXIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST EXCEED DEFINED RISK FUND CLASS A	62827L187	CLPAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST EXCEED DEFINED RISK FUND CLASS I	62827M532	CLPFX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST FLOATING RATE INCOME FUND CLASS A	62827M300	CFRAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST FLOATING RATE INCOME FUND CLASS I	62827M888	CFRIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST GROWTH OF INCOME FUND CLASS A	62827L872	CGGAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST GROWTH OF INCOME FUND CLASS I	62827L856	CGGIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST HEDGED COMMODITY STRATEGY FUND CLASS A	62827P808	CFHAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST HEDGED COMMODITY STRATEGY FUND CLASS I	62827P873	CFHIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST HEDGED FUTURES STRATEGY FUND CLASS A	62827M821	HFAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST HEDGED FUTURES STRATEGY FUND CLASS I	62827M797	HFIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST HIGH INCOME FUND CLASS A	62827L609	HIIFX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST INSIDER BUYING FUND CLASS A	62827L492	INSAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST INSIDER BUYING FUND CLASS I	62827M573	INSIX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST INSIDER INCOME FUND CLASS A	62827M466	IIXAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST INSIDER INCOME FUND CLASS I	62827M441	IIXIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST IPOX ALLOCATION FUND CLASS A	62827P501	OIPAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST IPOX ALLOCATION FUND CLASS I	62827P709	OIPIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST MLP & INFRASTRUCTURE FUND CLASS A	62827M268	MLAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST MLP & INFRASTRUCTURE FUND CLASS I	62827M243	MLIX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST MULTI-STRATEGY FUND CLASS A	62827P865	ACKAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST MULTI-STRATEGY FUND CLASS I	62827P840	ACKIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST SMALL CAP INSIDER BUYING FUND CL I	62827L302	CTVIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST SMALL CAP INSIDER BUYING FUND CLASS A	62827L104	CTVAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST SYSTEMATIC ALPHA FUND CLASS A	62827M433	ATRAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST SYSTEMATIC ALPHA FUND CLASS I	62827M417	ATRFX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST TOTAL RETURN INCOME FUND CLASS A	62827L807	TRIFX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/EXCEED DEFINED SHIELD FUND CLASS A	62827P642	SHEIX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/EXCEED DEFINED SHIELD FUND CLASS I	62827P626	SHIIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/LYONS TACTICAL ALLOCATION FUND CLASS A	62827L211	CLTAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/LYONS TACTICAL ALLOCATION FUND CLASS I	62827M524	CLTIX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/MAP GLOBAL BALANCED FUND CLASS A	62827L450	TRAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/MAP GLOBAL BALANCED FUND CLASS I	62827M557	TRIX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/MAP GLOBAL EQUITY FUND CLASS A	62827L435	CAXAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/MAP GLOBAL EQUITY FUND CLASS I	62827M540	CAXIX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/MILLBURN HEDGE STRATEGY FUND CLASS A	62827P832	MBXAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/MILLBURN HEDGE STRATEGY FUND CLASS I	62827P816	MBXIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/SMH HIGH INCOME FUND CLASS I	62827M847	HIIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/SMH TOTAL RETURN INCOME FUND CLASS I	62827M839	TRIIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/STONE BEACH INCOME OPPORTUNITY FUND CLASS A	62827M391	IOAX	Load; FundVest Institutional	Initial: 2500.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CATALYST FUNDS	CATALYST/STONE BEACH INCOME OPPORTUNITY FUND CLASS I	62827M375	IOXIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CENTAUR FUNDS	CENTAUR TOTAL RETURN FUND	15136Y100	TILD	No/Low Load	Initial: 1500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CENTERSTONE FUNDS	CENTERSTONE INTERNATIONAL FUND CLASS A	15202B406	CSIX	Load; FundVest Institutional	Initial: 5000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CENTERSTONE FUNDS	CENTERSTONE INTERNATIONAL FUND CLASS I	15202B604	CINTX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CENTERSTONE FUNDS	CENTERSTONE INVESTORS FUND CLASS A	15202B109	CETAX	Load; FundVest Institutional	Initial: 5000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CENTERSTONE FUNDS	CENTERSTONE INVESTORS FUND CLASS I	15202B307	CENTX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CENTRE FUNDS	CENTRE ACTIVE U.S. TREASURY FUND INSTITUTIONAL CLASS	156287807	DHTUX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
CENTRE FUNDS	CENTRE ACTIVE U.S. TREASURY FUND INVESTOR CLASS	156287708	DHTRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
CENTRE FUNDS	CENTRE AMERICAN SELECT EQUITY FUND INSTITUTIONAL CLASS	156287203	DHANX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CENTRE FUNDS	CENTRE AMERICAN SELECT EQUITY FUND INVESTOR CLASS	156287104	DHAMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CENTRE FUNDS	CENTRE GLOBAL EX-U.S. SELECT EQUITY FD INSTL CL	156287401	DHGLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CENTRE FUNDS	CENTRE GLOBAL INFRASTRUCTURE FUND INSTITUTIONAL CLASS	156287831	DHINX	No/Low Load	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CENTRE FUNDS	CENTRE GLOBAL INFRASTRUCTURE FUND INVESTOR CLASS	156287849	DHIVX	No/Low Load	Initial : 5000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CENTRE FUNDS	CENTRE GLOBAL SELECT EX-U.S. SELECT EQUITY FUND INVESTOR CLASS	156287302	DHGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CHARTWELL FUNDS	BERWYN INCOME FUND	16140T202	BERIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CHARTWELL FUNDS	CHARTWELL MID CAP VALUE FUND	16140T301	BERCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CHARTWELL FUNDS	CHARTWELL SHORT DURATION HIGH YIELD FUND	16140T400	CWFIX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CHARTWELL FUNDS	CHARTWELL SMALL CAP GROWTH FUND	16140T608	CWSGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CHARTWELL FUNDS	CHARTWELL SMALL CAP VALUE FUND	16140T509	CWSIX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CHASE FUNDS	CHASE GROWTH FUND CLASS N	007989809	CHASX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CHASE FUNDS	CHASE GROWTH FUND INSTITUTIONAL CLASS	007989395	CHAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CHASE FUNDS	CHASE MID-CAP GROWTH FUND CLASS N	007989627	CHAMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CHESAPEAKE FUNDS	CHESAPEAKE GROWTH FUND	165214107	CHCGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CLIPPER FUNDS	CLIPPER FUND	188850101	CFIMX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CMG FUNDS	CMG MAULDIN CORE FUND CLASS I	66537X233	GEFIX	No/Low Load	Initial : 15000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CMG FUNDS	CMG MAULDIN SOLUTIONS FUND CLASS A	66537X241	GEFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CMG FUNDS	CMG TACTICAL ALL ASSET STRATEGY FUND CLASS A	66537X159	CMGQX	Load; FundVest Institutional	Initial : 5000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CMG FUNDS	CMG TACTICAL ALL ASSET STRATEGY FUND CLASS I	66537X142	CMGHX	No/Low Load	Initial : 15000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CMG FUNDS	CMG TACTICAL BOND FUND CLASS A	66538B107	CHYAX	Load	Initial : 5000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CMG FUNDS	CMG TACTICAL BOND FUND CLASS I	66538B206	CHYOX	No/Low Load	Initial : 15000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE CALIFORNIA TAX-EXEMPT BOND FUND CLASS N	17800P555	CCTEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE CORPORATE BOND FUND CLASS N	17800P522	CCBAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE DIVIDEND & INCOME FUND CLASS N	17800P704	RIMHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE FIXED INCOME OPPORTUNITIES FUND CLASS N	17800P506	RIMOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE GOVERNMENT BOND FUND CLASS N	17800P498	CGBAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE GOVERNMENT BOND FUND INSTITUTIONAL CLASS	17800P829	CNIGX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE GOVERNMENT BOND FUND SERVICING CL	17800P480	CNBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE GOVERNMENT MONEY MARKET FUND CLASS N	17800P811	CNGXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE GOVERNMENT MONEY MARKET FUND CLASS S	17800P738	CNFXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE GOVERNMENT MONEY MARKET FUND SERVICING CLASS	17800P639	CNIXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE INTERMEDIATE FIXED INCOME FUND CLASS N	17800P605	RIMCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE INTERMEDIATE FIXED INCOME FUND INST CL	17800P464	CNRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE MUNI HIGH INCOME FUND CLASS N	17800P449	CNRNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE MUNI HIGH INCOME FUND CLASS Y	17800P456	CNRMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE SHORT TERM EMERGING MARKETS FUND CLASS Y	17800P423	CNRGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE U.S. CORE EQUITY FUND CLASS N	17800P803	CNRWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CNI/ROCHDALE FUNDS	CITY NATIONAL ROCHDALE U.S. CORE EQUITY FUND INSTITUTIONAL CLASS	17800P878	CNRUX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS ALTERNATIVE INCOME FUND CLASS A	19248L105	DFVAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS ALTERNATIVE INCOME FUND CLASS I	19248L303	DFVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS GLOB INFRASTRUCTURE FUND CLASS A	19248B107	CSUAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS GLOB INFRASTRUCTURE FUND CLASS I	19248B404	CSUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS GLOBAL REALTY SHARES FUND CLASS A	19247N102	CSFAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS GLOBAL REALTY SHARES FUND CLASS I	19247N409	CSSPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS INSTITUTIONAL REALTY SHARES	19247U106	CSRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS INTERNATIONAL REALTY FUND CLASS A	19248H104	IRFAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS INTERNATIONAL REALTY FUND CLASS I	19248H401	IRFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS LOW DURATION PREFERRED AND INCOME FD CL A	19249L104	LPXAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS LOW DURATION PREFERRED AND INCOME FD CL I	19249L302	LPXIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS MLP & ENERGY OPPORTUNITY FD CL A	19249F107	MLOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS MLP & ENERGY OPPORTUNITY FD CL I	19249F305	MLOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS PREFERRED SECURITIES & INCOME FUND CLASS A	19248X109	CPXAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS PREFERRED SECURITIES INCOME FUND CLASS I	19248X307	CPXIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS REAL ASSETS FUND CLASS A	19249C104	RAPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS REAL ASSETS FUND CLASS I	19249C302	RAPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS REAL ESTATE SECURITIES FUND CLASS A	191912104	CSEIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS REAL ESTATE SECURITIES FUND CLASS I	191912401	CSDXI	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS REALTY SHARES	192476109	CSRSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS REALTY SHARES FUND CLASS A	192476208	CSJAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COHEN & STEERS FUNDS	COHEN & STEERS REALTY SHARES FUND CLASS I	192476505	CSJIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA REAL ESTATE EQUITY FUND INST2 CLASS	19766D337	CRVRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors.
COLUMBIA FUNDS	COLUMBIA ACORN EMERGING MARKETS FUND ADVISOR CLASS	197199532	CAERX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN EMERGING MARKETS FUND CLASS A	197199623	CAGAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN EMERGING MARKETS FUND INST 3 CLASS	197199318	CPHRX	No/Low Load	Initial : 5000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN EMERGING MARKETS FUND INST3 CLASS	197199524	CANRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN EUROPEAN FUND ADVISOR CLASS	197199292	CLOFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN EUROPEAN FUND CLASS A	197199573	CAEAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN EUROPEAN FUND INST2 CLASS	197199516	CAEEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN EUROPEAN FUND INST3 CLASS	197199284	CAEYX	No/Low Load	Initial : 5000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN FUND ADVISOR CLASS	197199490	CEARX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN FUND CLASS A	197199102	LACAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN FUND INST2 CLASS	197199482	CRBRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN FUND INST3 CLASS	197199474	CRBYX	No/Low Load	Initial : 5000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN INTERNATIONAL FUND ADVISOR CLASS	197199466	CCRXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
COLUMBIA FUNDS	COLUMBIA ACORN INTERNATIONAL FUND CLASS A	197199847	LAIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN INTERNATIONAL FUND CLASS R	197199649	CACRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN INTERNATIONAL FUND INST2 CLASS	197199631	CAIRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN INTERNATIONAL FUND INST3 CLASS	197199458	CCYIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN INTERNATIONAL SELECT FUND ADVISOR CLASS	197199441	CLIRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN INTERNATIONAL SELECT FUND CLASS A	197199797	LAFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN INTERNATIONAL SELECT FUND INST2 CLASS	197199433	CRIRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN SELECT FUND ADVISOR CLASS	197199417	CSSRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN SELECT FUND CLASS A	197199888	LTFAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN SELECT FUND INST2 CLASS	197199391	CSLRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN USA FUND ADVISOR CLASS	197199375	CUSAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN USA FUND CLASS A	197199508	LUAJAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ACORN USA FUND INST2 CLASS	197199367	CYSRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2020 FUND ADVISOR CLASS	19767X100	CARGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2025 FUND ADVISOR CLASS	19767X845	CAAHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2025 FUND INST3 CLASS	19767X837	CAIDX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2030 FUND ADVISOR CLASS	19767X308	CARLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2035 FUND ADVISOR CLASS	19767X829	CARJX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2035 FUND INSTL 3 CLASS	19767X811	CAIEX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2040 FUND ADVISOR CLASS	19767X506	CAROX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2045 FUND ADVISOR CLASS	19767X795	CARPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2045 FUND INSTL 3 CLASS	19767X787	CAIHX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2050 FUND ADVISOR CLASS	19767X704	CARSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2055 FUND ADVISOR CLASS	19767X779	CARFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2055 FUND INSTL 3 CLASS	19767X761	CAJIX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RETIREMENT 2060 FUND ADVISOR CLASS	19767X886	CARKX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RISK ALLOCATION FUND ADVISOR CLASS	19766D170	CARRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RISK ALLOCATION FUND CLASS A	19765Y258	CRAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ADAPTIVE RISK ALLOCATION FUND INSTITUTIONAL2 CLASS	19765Y191	CRDRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA BALANCED FUND ADVISOR CLASS	19766M105	CBDRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA BALANCED FUND CLASS A	19765P471	CBLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA BALANCED FUND CLASS R	19766D105	CBLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA BALANCED FUND INST2 CLASS	19766D444	CLREX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA BOND FUND ADVISOR CLASS	19766M303	CNDRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA BOND FUND CLASS A	19765Y704	CNDAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA BOND FUND CLASS V	19766D428	CNDTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA BOND FUND INST2 CLASS	19766M402	CNFRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CALIFORNIA INTERMEDIATE MUNI BOND FUND CLASS A	19765J715	NACMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CALIFORNIA INTERMEDIATE MUNI BOND FUND CLASS I	19765J673	NCMAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CALIFORNIA INTERMEDIATE MUNI BOND FUND CLASS I2	19766B562	CNBRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CALIFORNIA INTERMEDIATE MUNI BOND FUND CLASS I3	19766P827	CCBYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CALIFORNIA INTERMEDIATE MUNICIPAL BOND FUND ADVISOR CLASS	19766B158	CCMRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION AGGRESSIVE PORT FUND ADVISOR CLASS	19766C248	CPDAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION AGGRESSIVE PORT FUND CLASS A	19766G611	AXBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION AGGRESSIVE PORTFOLIO FUND CLASS R	19766G579	CPARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION AGGRESSIVE PORTFOLIO INST2 CL	19766N707	CPANX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION AGGRESSIVE PORTFOLIO INST3 CL	19766N806	CPDIX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION CONSERVATIVE PORT FUND ADVISOR CLASS	19766C263	CPCYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION CONSERVATIVE PORT FUND CLASS A	19766G546	ABDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION CONSERVATIVE PORT INST2 CLASS	19766N301	CPAOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION CONSERVATIVE PORTFOLIO INST3 CL	19766N400	CPDIX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE AGGRESSIVE PORT FUND ADV CL	19766B489	CGBRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE AGGRESSIVE PORT FUND CLASS A	19765H792	NBIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE AGGRESSIVE PORT FUND CLASS R	19765M528	CLBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE AGGRESSIVE PORT INST2 CL	19766B471	CLHRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE AGGRESSIVE PORT INST3 CL	19766B224	CPHNX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE CONSERVATIVE PORT ADV CL	19766B448	CHWRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE CONSERVATIVE PORT FUND CLASS A	19765H503	NLGAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE CONSERVATIVE PORT FUND CLASS R	19765M510	CLIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE CONSERVATIVE PORT FUND INST3 CLASS	19766B232	CPDIX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE CONSERVATIVE PORT INST2 CLASS	19766B430	CLRRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE PORTFOLIO ADVISOR CLASS	19766C255	CPCZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE PORTFOLIO FUND CLASS A	19766G348	ABUAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE PORTFOLIO FUND CLASS R	19766G314	CBMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE PORTFOLIO INST2 CL	19766N509	CPAMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CAPITAL ALLOCATION MODERATE PORTFOLIO INST3 CL	19766N608	CPDMX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA COMMODITY STRATEGY FUND ADVISOR CLASS	19766N889	CCOMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA COMMODITY STRATEGY FUND CLASS A	19766J771	CCSAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA COMMODITY STRATEGY FUND INST2 CLASS	19766J714	CADLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONNECTICUT INTERMEDIATE MUNI BOND FUND CLASS A	19765N104	LCTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONNECTICUT INTERMEDIATE MUNI BOND FUND CLASS I3	19767A563	CCTYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONNECTICUT INTERMEDIATE MUNICIPAL BOND FUND ADVISOR CLASS	19766M477	CCTMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONTRARIAN ASIA PACIFIC FUND CLASS A	19763P531	CAJAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONTRARIAN ASIA PACIFIC FUND CLASS R	19763P556	CAJRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONTRARIAN ASIA PACIFIC FUND INST2 CLASS	19763P572	TAPRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
COLUMBIA FUNDS	COLUMBIA CONTRARIAN ASIA PACIFIC FUND INST3 CLASS	19766J474	N/A	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONTRARIAN CORE FUND ADVISOR CLASS	19766M501	CORRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONTRARIAN CORE FUND CLASS A	19765P109	LCCAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONTRARIAN CORE FUND CLASS R	19766D709	CCCRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONTRARIAN CORE FUND CLASS V	19765P505	SGIEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
COLUMBIA FUNDS	COLUMBIA CONTRARIAN CORE FUND INST2 CLASS	19766M600	COFRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONTRARIAN CORE FUND INST3 CLASS	19766M709	COFYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONTRARIAN EUROPE FUND ADVISOR CL	19766J698	CADJX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONTRARIAN EUROPE FUND CLASS A	19766F761	AXEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONTRARIAN EUROPE FUND INST 2 CL	19766J680	CADKX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONVERTIBLE SECURITIES FD CL A	19765H750	PACIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONVERTIBLE SECURITIES FUND ADVISOR CLASS	19766B554	COVRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONVERTIBLE SECURITIES FUND INST2 CLASS	19766B547	COCRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CONVERTIBLE SECURITIES FUND INSTITUTIONAL 3 CLASS	19766P702	CSFYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CORPORATE INCOME FUND ADVISOR CLASS	19766M808	CFIRX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CORPORATE INCOME FUND CLASS A	19765N542	LIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA CORPORATE INCOME FUND INST2 CLASS	19766M881	CPIRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED CORE FUND ADVISOR CLASS	19766N863	CLCQX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED CORE FUND CLASS A	19763T640	AOEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED CORE FUND INST2 CLASS	19763T590	RSPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED GROWTH FUND ADVISOR CLASS	19766J557	CGQFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED GROWTH FUND CLASS A	19763T749	RDLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED GROWTH FUND INST2 CLASS	19766C438	COLRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED SMALL CORE FUND ADVISOR CLASS	19766M642	CFFRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED SMALL CORE FUND CLASS A	19765P844	LSMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED SMALL CORE FUND CLASS V	19765P794	SSEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
COLUMBIA FUNDS	COLUMBIA DISCIPLINED SMALL CORE FUND INST2 CLASS	19766M634	CLLRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED VALUE FUND ADVISOR CLASS	19766J532	COLEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED VALUE FUND CLASS A	19763T558	RLCAX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED VALUE FUND CLASS V	19763T483	CVQTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED VALUE FUND INST2 CLASS	19766J524	COLVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DISCIPLINED VALUE FUND INST3 CLASS	19766J516	COLYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DIVIDEND INCOME FUND ADVISOR CLASS	19766M865	CVIRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DIVIDEND INCOME FUND CLASS A	19765N278	LBSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DIVIDEND INCOME FUND INST2 CLASS	19766M857	CDDRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DIVIDEND INCOME FUND INST3 CLASS	19766M840	CDDYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DIVIDEND OPPORTUNITY FUND ADVISOR CLASS	19766C578	CDORX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DIVIDEND OPPORTUNITY FUND CLASS A	19763P283	INUTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DIVIDEND OPPORTUNITY FUND CLASS R	19763P242	RSOOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DIVIDEND OPPORTUNITY FUND INST2 CLASS	19763P226	RSDFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA DIVIDEND OPPORTUNITY FUND INSTITUTIONAL CLASS	19763P192	CDOZX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA EMERGING MARKETS BOND FUND ADVISOR CLASS	19766N871	CEBSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA EMERGING MARKETS BOND FUND CLASS A	19763P184	REBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA EMERGING MARKETS BOND FUND INST2 CLASS	19766C552	CEBRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA EMERGING MARKETS FUND ADVISOR CLASS	19766M469	CEMHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA EMERGING MARKETS FUND CLASS A	19765Y878	EEMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA EMERGING MARKETS FUND CLASS R	19766D832	CEMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA EMERGING MARKETS FUND INST2 CLASS	19766M832	CEKRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA EMERGING MARKETS FUND INST3 CLASS	19766M824	CEKYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA FLEXIBLE CAPITAL INCOME FUND ADVISOR CLASS	19766C537	CFCRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA FLEXIBLE CAPITAL INCOME FUND CLASS A	19766J888	CFIAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA FLEXIBLE CAPITAL INCOME FUND CLASS R	19766J854	CFIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA FLEXIBLE CAPITAL INCOME FUND INST2 CLASS	19766C529	CFFRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA FLEXIBLE CAPITAL INCOME FUND INST3 CLASS	19766J466	CFCYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA FLOATING RATE FUND ADVISOR CLASS	19766C313	CFLRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA FLOATING RATE FUND CLASS A	19766F696	FRFRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA FLOATING RATE FUND CLASS R	19766F654	CFRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA FLOATING RATE FUND INST2 CLASS	19766F639	FRFRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA FLOATING RATE FUND INSTITUTIONAL 3 CLASS	19766J573	CFRYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GEORGIA INTERMEDIATE MUNI BOND FUND CLASS I3	19766P819	CGIYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GEORGIA INTERMEDIATE MUNICIPAL BOND FUND ADVISOR CLASS	19766B216	CGIMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GEORGIA INTERMEDIATE MUNICIPAL BOND FUND CLASS A	19765J533	NGIMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL DIVIDEND OPPORTUNITY FUND ADVISOR CLASS	19766M451	CGOLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL DIVIDEND OPPORTUNITY FUND CLASS A	19765P216	CSVAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL DIVIDEND OPPORTUNITY FUND CLASS R	19766D519	CSGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL DIVIDEND OPPORTUNITY FUND INST2 CLASS	19766M337	CADPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL ENERGY AND NATURAL RESOURCES FUND ADVISOR CLASS	19766M493	CENRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL ENERGY AND NATURAL RESOURCES FUND CL A	19765Y845	EENAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL ENERGY AND NATURAL RESOURCES FUND CL R	19766D790	CETRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL ENERGY AND NATURAL RESOURCES FUND INST2 CLASS	19766M816	CNRRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL ENERGY AND NATURAL RESOURCES FUND INST3 CLASS	19767A472	CGEYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL EQUITY VALUE FUND ADVISOR CLASS	19766F829	RESEV	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL EQUITY VALUE FUND CLASS A	19766F878	IEVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL EQUITY VALUE FUND CLASS R	19766F837	REVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL EQUITY VALUE FUND INST2 CLASS	19766F795	RSEYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
COLUMBIA FUNDS	COLUMBIA GLOBAL EQUITY VALUE FUND INSTA3 CLASS	'19766J730	CEVYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
COLUMBIA FUNDS	COLUMBIA GLOBAL INFRASTRUCTURE FUND ADVISOR CLASS	'19766N848	CRRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL INFRASTRUCTURE FUND CLASS A	'19766G272	RRIAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL INFRASTRUCTURE FUND CLASS R	'19766G231	RRIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL INFRASTRUCTURE FUND INST2 CLASS	'19766G215	RRIZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL INFRASTRUCTURE FUND INST3 CLASS	'19766I458	CLYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL OPPORTUNITIES FUND ADVISOR CLASS	'19766C362	CSDRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL OPPORTUNITIES FUND CLASS A	'19766H221	IMRFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL OPPORTUNITIES FUND INST2 CLASS	'19766C354	CLNRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL OPPORTUNITIES FUND INST3 CLASS	'19766J441	CGOYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL STRATEGIC EQUITY FUND ADVISOR CLASS	'19766B463	CWPRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL STRATEGIC EQUITY FUND CLASS A	'19765H883	NLIGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL STRATEGIC EQUITY FUND CLASS R	'19765M536	CLGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL STRATEGIC EQUITY FUND INST2 CLASS	'19766B455	CGPRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL STRATEGIC EQUITY FUND INST3 CLASS	'19766P751	CGSYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL TECHNOLOGY GROWTH FUND ADVISOR CLASS	'19766M568	CTYRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL TECHNOLOGY GROWTH FUND CLASS A	'19765P539	CTCAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL TECHNOLOGY GROWTH FUND INST2 CLASS	'19766M550	CTHRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GLOBAL TECHNOLOGY GROWTH FUND INSTITUTIONAL 3 CLASS	'19767A647	CGTUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GOVERNMENT MONEY MARKET FD CL A	'19766G868	ID5XX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GOVERNMENT MONEY MARKET FUND INST2 CLASS	'19766G819	CMRXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GREATER CHINA FUND ADVISOR CLASS	'19766M444	CGCHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GREATER CHINA FUND CLASS A	'19765L546	NGCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GREATER CHINA FUND INST2 CLASS	'19766M790	CGCRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA GREATER CHINA FUND INST3 CLASS	'19767A464	CGCYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA HIGH YIELD BOND FUND ADVISOR CLASS	'19766F225	CYLRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA HIGH YIELD BOND FUND CL A	'19766F274	INEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA HIGH YIELD BOND FUND CLASS R	'19766F233	CHBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA HIGH YIELD BOND FUND INST2 CLASS	'19766F191	RSHRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA HIGH YIELD BOND FUND INST3 CLASS	'19766C495	CHYYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA HIGH YIELD MUNI FD CL A	'19765P158	LHIAH	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA HIGH YIELD MUNICIPAL FUND ADVISOR CLASS	'19766M436	CHYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA HIGH YIELD MUNICIPAL FUND INST2 CLASS	'19766M782	CHMYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA HIGH YIELD MUNICIPAL FUND INST3 CLASS	'19767A373	CHYYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INCOME BUILDER FUND ADVISOR CLASS	'19766C487	CNMRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INCOME BUILDER FUND CLASS A	'19766F167	RBBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INCOME BUILDER FUND INST2 CLASS	'19766C479	CKRRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INCOME BUILDER FUND INST3 CLASS	'19766J425	CIBYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INCOME OPPORTUNITIES FUND ADVISOR CLASS	'19766C461	CPPRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INCOME OPPORTUNITIES FUND CLASS A	'19763T103	AIOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INCOME OPPORTUNITIES FUND CLASS R	'19763T509	CIORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INCOME OPPORTUNITIES FUND INST2 CLASS	'19766C453	CEPRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INCOME OPPORTUNITIES FUND INST3 CLASS	'19763T806	CIOYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INFLATION PROTECTED SECURITIES FUND ADVISOR CLASS	'19766N780	CIPWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INFLATION PROTECTED SECURITIES FUND CL A	'19763T871	APSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INFLATION PROTECTED SECURITIES FUND INST2 CLASS	'19766C446	CF5RX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INFLATION PROTECTED SECURITIES FUND INST3 CLASS	'19766J417	CINXX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INTERMEDIATE MUNI BOND FUND ADVISOR CLASS	'19766M428	CIMRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INTERMEDIATE MUNI BOND FUND CLASS A	'19765L686	LITAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INTERMEDIATE MUNI BOND FUND CLASS I2	'19766M741	CTMRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA INTERMEDIATE MUNI BOND FUND CLASS I3	'19767A555	CIMYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP ENHANCED CORE FUND ADVISOR CLASS	'19766P801	CECFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP ENHANCED CORE FUND CLASS A	'19765H354	NMIAH	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP ENHANCED CORE FUND CLASS R	'19765M544	CCERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP ENHANCED CORE FUND INST2 CLASS	'19766P504	CLNCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP ENHANCED CORE FUND INST3 CLASS	'19765M221	CECYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP GROWTH FUND ADVISOR CLASS	'19766M733	CCGRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP GROWTH FUND CLASS A	'19765P695	LEGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP GROWTH FUND CLASS R	'19766D725	CGWRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP GROWTH FUND III ADVISOR CLASS	'19766B414	CF5RX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP GROWTH FUND III CLASS A	'19765H263	NFEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP GROWTH FUND III CLASS R	'19766P843	CLGPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP GROWTH FUND III INST2 CLASS	'19766P207	CADRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP GROWTH FUND III INST3 CLASS	'19766P744	CLRYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP GROWTH FUND INST2 CLASS	'19766D378	CLWFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP GROWTH FUND INSTITUTIONAL 3 CLASS	'19765Y365	CGFYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP INDEX FUND CLASS A	'19765H339	NEIAH	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP INDEX FUND INST2 CLASS	'19766B497	CLRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP INDEX FUND INST3 CLASS	'19766P736	CLPYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP VALUE FUND ADVISOR CLASS	'19763P333	RDERX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP VALUE FUND CLASS A	'19763P390	INDZX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LARGE CAP VALUE FUND INSTITUTIONAL 2 CLASS	'19763P317	RSEDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LIMITED DURATION CREDIT FUND ADVISOR CLASS	'19766C297	CDLXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LIMITED DURATION CREDIT FUND CLASS A	'19763T459	ALDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA LIMITED DURATION CREDIT FUND INST2 CLASS	'19766C420	CTLXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
COLUMBIA FUNDS	COLUMBIA LIMITED DURATION CREDIT FUND INST3 CLASS	'19766C271	CLDYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MARYLAND INTERMEDIATE MUNI BOND FUND CLASS I3	'19766P793	CMYYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MARYLAND INTERMEDIATE MUNICIPAL BOND FUND CLASS A	'19765J624	NMDMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MARYLANDS INTERMEDIATE MUNI BOND FUND ADVISOR CLASS	'19766B190	CMANX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MASSACHUSETTS INTERMEDIATE BOND FUND ADVISOR CLASS	'19766M410	CMANX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MASSACHUSETTS INTERMEDIATE MUNI BOND FUND CLASS A	'19765N708	LMIAA	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MASSACHUSETTS INTERMEDIATE MUNI BOND FUND CLASS I2	'19767A662	CMAUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MASSACHUSETTS INTERMEDIATE MUNI BOND FUND CLASS I3	'19767A548	N/A	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MASSACHUSETTS INTERMEDIATE MUNI BOND FUND CLASS V	'19765N864	GMBAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MID CAP GROWTH FUND ADVISOR CLASS	'19766M725	CPGRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MID CAP GROWTH FUND CLASS A	'19765P299	CBSAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MID CAP GROWTH FUND CLASS R	'19765P224	CMGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MID CAP GROWTH FUND INST2 CLASS	'19766D352	CMGVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MID CAP INDEX FUND CLASS A	'19765J509	NTIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MID CAP INDEX FUND INST2 CLASS	'19766B364	CPXRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MID CAP INDEX FUND INST3 CLASS	'19766P728	CMDYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MINNESOTA TAX-EXEMPT FUND ADVISOR CLASS	'19766N855	CLONX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MINNESOTA TAX-EXEMPT FUND CLASS A	'19763T186	IMNTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MINNESOTA TAX-EXEMPT FUND INST2 CLASS	'19766I672	CADOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MINNESOTA TAX-EXEMPT FUND INST3 CLASS	'19766J391	CMNVX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MORTGAGE OPPORTUNITIES FUND ADVISOR CLASS	'19764F771	CLMFJ	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MORTGAGE OPPORTUNITIES FUND CLASS A	'19764F813	CLMAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MORTGAGE OPPORTUNITIES FUND INST3 CLASS	'19766J383	CMOYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MORTGAGE OPPORTUNITIES FUND INSTITUTIONAL 2 CLASS	'19764F763	CLMVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MULTI ASSET INCOME FUND ADVISOR CLASS	'19767A407	CLNFJ	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MULTI ASSET INCOME FUND CLASS A	'19767A100	CLNAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MULTI ASSET INCOME FUND INST2 CLASS	'19767A506	CLNVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MULTI MANAGER GROWTH FUND CLASS A	'19765Y449	CSLXG	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MULTI MANAGER VALUE STRATEGIES FUND CL A	'19766J813	CDEIX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MULTI STRATEGY ALTERNATIVES FUND ADVISOR CLASS	'19766M261	CLFUJ	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MULTI STRATEGY ALTERNATIVES FUND CLASS A	'19766M311	CLAAJ	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MULTI STRATEGY ALTERNATIVES FUND CLASS R	'19766M279	CLRLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MULTI STRATEGY ALTERNATIVES FUND INSTITUTIONAL 2 CLASS	'19766M253	CLIVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA MULTI-ASSET INCOME FUND INST3 CLASS	'19767A456	CMUYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA N.CAROLINA INTERMEDIATE BOND FUND CLASS I3	'19766P785	CNCYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA N.CAROLINA INTERMEDIATE MUNI BOND FUND ADVISOR CLASS	'19766B141	CNCEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA N.CAROLINA INTERMEDIATE MUNICIPAL BOND FUND CLASS A	'19765J483	NCNIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA NEW YORK INTERMEDIATE BOND MUNICIPAL BOND FUND CLASS V	'19765N732	GANYX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
COLUMBIA FUNDS	COLUMBIA NEW YORK INTERMEDIATE MUNI BOND FUND ADVISOR CLASS	'19766M394	CNYIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA NEW YORK INTERMEDIATE MUNI BOND FUND CLASS I2	'19767A654	CNYUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA NEW YORK INTERMEDIATE MUNI BOND FUND CLASS I3	'19767A530	CNNYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA NEW YORK INTERMEDIATE MUNICIPAL BOND FUND CLASS A	'19765N773	LNAYX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA OREGON INTERMEDIATE MUNI BOND FUND CLASS I2	'19766M691	CODRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA OREGON INTERMEDIATE MUNI BOND FUND CLASS I3	'19767A522	CORYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA OREGON INTERMEDIATE MUNICIPAL BOND FUND ADVISOR CLASS	'19766M378	CORMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA OREGON INTERMEDIATE MUNICIPAL BOND FUND CLASS A	'19765P422	COEAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA OVERSEAS CORE FUND ADVISOR CLASS	'19766J292	COSDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA OVERSEAS CORE FUND CLASS A	'19766J318	COSAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA OVERSEAS CORE FUND CLASS R	'19766J243	COSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA OVERSEAS CORE FUND INSTITUTIONAL 2 CLASS	'19766J268	COSTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA OVERSEAS VALUE FUND ADVISOR CLASS	'19766P884	COVSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA OVERSEAS VALUE FUND CLASS A	'19765M338	COAVX	Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA OVERSEAS VALUE FUND CLASS R	'19765M312	COVUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA OVERSEAS VALUE FUND INST2 CLASS	'19766P876	COSSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA PACIFIC/ ASIA FUND INST3 CLASS	'19767A431	CPAYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA PACIFIC/ASIA FUND ADVISOR CLASS	'19766M360	CPRAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA PACIFIC/ASIA FUND CLASS A	'19765Y746	CASAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA QUALITY INCOME FUND ADVISOR CLASS	'19766C347	CUVRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA QUALITY INCOME FUND CLASS A	'19766J102	AUGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA QUALITY INCOME FUND INST2 CLASS	'19766C339	CGVRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA QUALITY INCOME FUND INST3 CLASS	'19766J581	CUGYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA REAL ESTATE EQUITY FUND ADVISOR CLASS	'19766M683	CRERX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA REAL ESTATE EQUITY FUND CLASS A	'19765P588	CREAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA REAL ESTATE EQUITY FUND CLASS R	'19766D659	CRSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA REAL ESTATE EQUITY FUND INST3 CLASS	'19767A423	CREYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA S.CAROLINA INTERMEDIATE MUNI BOND FUND CLASS I3	'19766P777	CSOYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA S.CAROLINA INTERMEDIATE MUNICIPAL BOND FUND ADVISOR CLASS	'19766B174	CSICX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA S.CAROLINA INTERMEDIATE MUNICIPAL BOND FUND CLASS A	'19765J574	NSCIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT GLOBAL EQUITY FUND ADVISOR CLASS	'19766N772	CSGVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT GLOBAL EQUITY FUND CLASS A	'19763T780	IGLIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT GLOBAL EQUITY FUND INST2 CLASS	'19763T228	RGERX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT GLOBAL EQUITY FUND INST3 CLASS	'19766J375	CSEYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT GLOBAL GROWTH FUND ADVISOR CLASS	'19766P306	CADHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT GLOBAL GROWTH FUND CLASS A	'19765M288	COGAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT GLOBAL GROWTH FUND INST2 CLASS	'19766P405	CADIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
COLUMBIA FUNDS	COLUMBIA SELECT GLOBAL GROWTH FUND INST3 CLASS	'19766P710	CGGYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT INTERNATIONAL EQUITY FUND ADVISOR CLASS	'19766B311	CQYRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT INTERNATIONAL EQUITY FUND CLASS A	'19765H719	NIHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT INTERNATIONAL EQUITY FUND CLASS R	'19765M569	CIERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT INTERNATIONAL EQUITY FUND INST2 CLASS	'19766B323	CQQRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT LARGE CAP EQUITY FUND ADVISOR CLASS	'19766P660	CLSRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT LARGE CAP EQUITY FUND CLASS A	'19765H313	NSGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT LARGE CAP EQUITY FUND INST2 CLASS	'19766B513	CLCRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT LARGE CAP EQUITY FUND INST3 CLASS	'19766P694	CLEYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT LARGE CAP GROWTH FUND ADVISOR CLASS	'19766M675	CSRRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT LARGE CAP GROWTH FUND CLASS A	'19765Y712	ELGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT LARGE CAP GROWTH FUND INST2 CLASS	'19766M667	CGTRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT LARGE CAP GROWTH FUND INST3 CLASS	'19766M659	CCWRX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT LARGE-CAP VALUE FUND ADVISOR CLASS	'19766C396	CSERX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT LARGE-CAP VALUE FUND CLASS A	'19766H619	SLVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT LARGE-CAP VALUE FUND CLASS R	'19766H569	SLVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT LARGE-CAP VALUE FUND INST2 CLASS	'19766H544	SLVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT MID CAP VALUE FUND ADVISOR CLASS	'19766B356	CFDRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT MID CAP VALUE FUND CLASS A	'19765J863	CMUAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT MID CAP VALUE FUND CLASS R	'19765M619	CMVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT MID CAP VALUE FUND INSTITUTIONAL 2 CLASS	'19766B349	CVERX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT MID CAP VALUE FUND INSTITUTIONAL 3 CLASS	'19765M239	CMVYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT SMALL CAP VALUE FUND ADVISOR CLASS	'19766C388	CSPRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT SMALL CAP VALUE FUND CLASS A	'19766H510	SSCVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELECT SMALL CAP VALUE FUND INST2 CLASS	'19766H445	SSVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELIGMAN COMMUNICATIONS AND INFORMATION FD CL A	'19766H429	SLMXX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELIGMAN COMMUNICATIONS AND INFORMATION FUND ADVISOR CLASS	'19766H361	SCIOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELIGMAN COMMUNICATIONS AND INFORMATION FUND CLASS R	'19766H379	SCRXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELIGMAN COMMUNICATIONS AND INFORMATION FUND INST2 CLASS	'19766H346	SCMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELIGMAN COMMUNICATIONS AND INFORMATION FUND INST3 CLASS	'19766J367	CCOYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELIGMAN GLOBAL TECHNOLOGY FUND ADVISOR CLASS	'19766C370	CCHRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELIGMAN GLOBAL TECHNOLOGY FUND CLASS A	'19766H320	SHGTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELIGMAN GLOBAL TECHNOLOGY FUND INST2 CLASS	'19766H254	SGTTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SELIGMAN GLOBAL TECHNOLOGY FUND INST3 CLASS	'19766J359	CGTYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SHORT TERM BOND FUND CLASS A	'19765H396	NSTRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SHORT TERM BOND FUND CLASS R	'19766B752	CSBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SHORT TERM BOND FUND INST3 CLASS	'19765M213	CSBYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SHORT TERM MUNICIPAL BOND FUND CLASS A	'19765J350	NSMMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SHORT TERM MUNICIPAL BOND FUND INST3 CLASS	'19766P686	CSMYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SHORT-TERM BOND FUND ADVISOR CLASS	'19766B315	CMDBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SHORT-TERM BOND FUND INSTITUTIONAL 2 CL	'19766B299	CCBRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SHORT-TERM MUNICIPAL BOND FUND ADVISOR CLASS	'19766B182	CSMTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SHORT-TERM MUNICIPAL BOND FUND INST2 CLASS	'19766B281	CNNRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP GROWTH FUND CLASS R	'19766D576	CCRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP GROWTH FUND I ADVISOR CLASS	'19766M618	CHHRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP GROWTH FUND I CLASS A	'19765P638	CGOAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP GROWTH FUND I INSTITUTIONAL 2 CLASS	'19765Y118	CSCRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP INDEX FUND CLASS A	'19765J822	NMSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP INDEX FUND INST3 CLASS	'19766P678	CSPYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP VALUE FUND I ADVISOR CLASS	'19766M592	CVVRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP VALUE FUND I CLASS A	'19765N591	CSMIX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP VALUE FUND I CLASS R	'19766D550	CSVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP VALUE FUND I INST2 CLASS	'19766M584	CUURX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP VALUE FUND II ADVISOR CLASS	'19766B265	CLURX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP VALUE FUND II CLASS A	'19765J798	COVAX	Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP VALUE FUND II FUND INSTITUTIONAL 2 CL	'19766B257	CRRRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL CAP VALUE FUND II INST3 CLASS	'19766B240	CRRYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL/MID CAP VALUE FUND A	'19766G108	AMVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL/MID CAP VALUE FUND ADVISOR CLASS	'19766G603	RMCRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL/MID CAP VALUE FUND CLASS R	'19766G504	RMVTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL/MID CAP VALUE FUND INST2 CLASS	'19766G801	RSCMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALL/MID CAP VALUE FUND INST3 CLASS	'19766N830	CPHPX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA SMALLCAP INDEX FUND INST2 CLASS	'19766B273	CXRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC CA MUNI INCOME FUND INST2 CL	'19767A670	CCAUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC CALIFORNIA MUNI INCOME FUND INST3 CLASS	'19767A514	CCXYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC CALIFORNIA MUNICIPAL INCOME FUND ADVISOR CLASS	'19766M485	CCARX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC CALIFORNIA MUNICIPAL INCOME FUND CLASS A	'19765L108	CLMPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC INCOME FUND ADVISOR CLASS	'19766M576	CMNXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC INCOME FUND CLASS A	'19765L801	COSIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC INCOME FUND CLASS R	'19766D543	CSNXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC INCOME FUND INST2 CL	'19766D311	CTIVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC INCOME FUND INST3 CLASS	'19766M345	CPHUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC MUNICIPAL INCOME FUND ADVISOR CLASS	'19766N202	CATRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC MUNICIPAL INCOME FUND CLASS A	'19763P622	INTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC MUNICIPAL INCOME FUND INST2 CLASS	'19766J722	CADNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
COLUMBIA FUNDS	COLUMBIA STRATEGIC MUNICIPAL INCOME FUND INST3 CLASS	19766J342	CATYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC NEW YORK MUNICIPAL INCOME FUND INST2 CLASS	19766M717	CNRYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC NEW YORK MUNICIPAL INCOME FUND INST3 CLASS	19767A449	CNTYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC NY MUNI INCOME FUND ADVISOR CL	19766M386	CNEYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA STRATEGIC NY MUNI INCOME FUND CL A	19765L199	COLNX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA TAX EXEMPT FUND CLASS A	19765L850	COLTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA TAX-EXEMPT FUND ADVISOR CLASS	19766M352	CTERY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA TAX-EXEMPT FUND INST2 CLASS	19766M329	CADMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA TAX-EXEMPT FUND INST3 CLASS	19767A415	CTEYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA THERMOSTAT FUND ADVISOR CLASS	197199342	CTORX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA THERMOSTAT FUND CLASS A	197199755	CTFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA THERMOSTAT FUND INST2 CLASS	197199334	CQTRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA TOTAL RETURN BOND FUND ADVISOR CLASS	19766M774	CBNRY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA TOTAL RETURN BOND FUND CLASS A	19765N492	LIBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA TOTAL RETURN BOND FUND CLASS R	19765N450	CIBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA TOTAL RETURN BOND FUND INST2 CLASS	19766M766	CTBRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA U.S. SOCIAL BOND FUND ADVISOR CLASS	19767A878	CONFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA U.S. SOCIAL BOND FUND CLASS A	19767A803	CONAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA U.S. SOCIAL BOND FUND INST2 CLASS	19767A860	COVNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA U.S. SOCIAL BOND FUND INST3 CL	19767A399	N/A	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA U.S. TREASURY INDEX FUND CLASS A	19765N641	LUTAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA U.S. TREASURY INDEX FUND INST2 CLASS	19766M543	CUTRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA U.S. TREASURY INDEX FUND INST3 CLASS	19767A381	N/A	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA ULTRA SHORT TERM BOND FUND ADVISOR CLASS	19767X746	CUSHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA VIRGINIA INTERMEDIATE MUNI BOND FUND ADVISOR CLASS	19766B166	CAIVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA VIRGINIA INTERMEDIATE MUNI BOND FUND CLASS I3	19766P769	CVAYX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COLUMBIA FUNDS	COLUMBIA VIRGINIA INTERMEDIATE MUNICIPAL BOND FUND CLASS A	19765J392	NVAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMERCE FUNDS	COMMERCE BOND INSTITUTIONAL FUND	200626208	CFBNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMERCE FUNDS	COMMERCE GROWTH INSTITUTIONAL FUND	200626406	CFGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMERCE FUNDS	COMMERCE KS TAX FREE INTERMEDIATE BOND FUND INST CLASS	200626786	KTIXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMERCE FUNDS	COMMERCE MID CAP INSTITUTIONAL FUND	200626505	CFAGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMERCE FUNDS	COMMERCE MISSOURI TAX-FREE BOND FUND INST. CLASS	200626802	CFMOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMERCE FUNDS	COMMERCE NATIONAL TAX-FREE INST FUND	200626703	CFNLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMERCE FUNDS	COMMERCE SHORT TERM GOVERNMENT INSTITUTIONAL FUND	200626109	CFSTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMERCE FUNDS	COMMERCE VALUE FUND INSTITUTIONAL CLASS	200626828	CFVLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMONWEALTH FUNDS	COMMONWEALTH AFRICA FUND	203042502	CAFXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMONWEALTH FUNDS	COMMONWEALTH AUSTRALIA/NEW ZEALAND FUND	203042205	CNZLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMONWEALTH FUNDS	COMMONWEALTH GLOBAL FUND	203042304	CGLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMONWEALTH FUNDS	COMMONWEALTH JAPAN FUND	203042106	CNJFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COMMONWEALTH FUNDS	COMMONWEALTH REAL ESTATE SECURITIES FUND	203042403	CNREX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CONESTOGA FUNDS	CONESTOGA SMALL CAP FUND INSTITUTIONAL CLASS	207019104	CCALX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
CONESTOGA FUNDS	CONESTOGA SMALL CAP FUND INVESTOR CLASS	207019100	CCASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
CONESTOGA FUNDS	CONESTOGA SMID CAP FUND INSTITUTIONAL CLASS	207019605	CCSGX	No/Low Load; FundVest Institutional	Initial : 5000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CONESTOGA FUNDS	CONESTOGA SMID CAP FUND INVESTOR CLASS	207019506	CCSMX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CONVERGENCE FUNDS	CONVERGENCE LONG SHORT EQUITY FUND INSTITUTIONAL CLASS	89833W535	MARNX	No/Low Load	Initial : 15000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CONVERGENCE FUNDS	CONVERGENCE MARKET NEUTRAL FUND INSTITUTIONAL CLASS	89833X608	CPMNX	No/Low Load	Initial : 15000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COPELAND FUNDS	COPELAND INTERNATIONAL RISK MANAGED DIVIDEND GROWTH FUND CLASS A	21724W308	IDVWX	Load	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COPELAND FUNDS	COPELAND INTL RISK MANAGED DIV GROWTH FUND INST CLASS	21724W506	IDVIX	No/Low Load	Initial : 50000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COPELAND FUNDS	COPELAND RISK MANAGED DIVIDEND GROWTH FUND CLASS A	21724W209	CDGRX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COPELAND FUNDS	COPELAND RISK MANAGED DIVIDEND GROWTH FUND CLASS I	21724W605	CDIVX	No/Low Load	Initial : 50000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COPELAND FUNDS	COPELAND SMID CAP DIVIDEND GROWTH FUND CLASS A	21724W878	CDSDX	Load	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
COPELAND FUNDS	COPELAND SMID CAP DIVIDEND GROWTH FUND CLASS I	21724W886	CSMDX	No/Low Load	Initial : 25000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CRM FUNDS	CRM ALL CAP VALUE FUND INSTITUTIONAL CLASS	12626X833	CRJEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CRM FUNDS	CRM ALL CAP VALUE FUND INVESTOR CLASS	12626X841	CRMEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CRM FUNDS	CRM INTERNATIONAL OPPORTUNITY FUND INSTITUTIONAL CLASS	12628J709	CRJIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CRM FUNDS	CRM LONG/SHORT OPPORTUNITIES FD INSTL CL	12628J881	CRJHX	No/Low Load	Initial : 9999999.99; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CRM FUNDS	CRM MID CAP VALUE FUND INSTITUTIONAL SHARES	92934R769	CRIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CRM FUNDS	CRM MID CAP VALUE INVESTOR SHARES	92934R777	CRIMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 12:00 AM	
CRM FUNDS	CRM SMALL CAP VALUE FD INST'L SHARES	92934R785	CRISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CRM FUNDS	CRM SMALL CAP VALUE FD INVESTOR SHARES	92934R793	CRIMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CRM FUNDS	CRM SMALL/MID CAP VALUE FUND INSTITUTIONAL CLASS	92934R116	CRJAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CRM FUNDS	CRM SMALL/MID CAP VALUE FUND INVESTOR SHARES	92934R124	CRMAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CROW POINT FUNDS	CROW POINT ALTERNATIVE INCOME FUND CLASS A	885572552	AAIFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CROW POINT FUNDS	CROW POINT DEFINED RISK GLOBAL EQUITY INCOME FUND CLASS A	885572578	CGHAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CROW POINT FUNDS	CROW POINT DEFINED RISK GLOBAL EQUITY INCOME FUND CLASS I	885572560	CGHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CULLEN FUNDS	CULLEN EMERGING MARKETS HIGH DIVIDEND FUND CLASS I	230001752	CEMFX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CULLEN FUNDS	CULLEN EMERGING MARKETS HIGH DIVIDEND FUND RETAIL CLASS	230001745	CEMDX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CULLEN FUNDS	CULLEN ENHANCED EQUITY INCOME FUND CLASS I	230001729	ENHMX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CULLEN FUNDS	CULLEN ENHANCED EQUITY INCOME FUND RETAIL CLASS	230001737	ENHRX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CULLEN FUNDS	CULLEN HIGH DIVIDEND EQUITY FUND CLASS I	230001406	CHDVX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CULLEN FUNDS	CULLEN HIGH DIVIDEND EQUITY FUND CLASS R1	230001877	CHDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CULLEN FUNDS	CULLEN HIGH DIVIDEND EQUITY FUND RETAIL CLASS	230001208	CHDEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CULLEN FUNDS	CULLEN INTERNATIONAL HIGH DIVIDEND FD RETAIL	230001505	CIHDX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CULLEN FUNDS	CULLEN INTERNATIONAL HIGH DIVIDEND FUND INSTITUTIONAL CLASS	230001703	CIHIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CULLEN FUNDS	CULLEN SMALL CAP VALUE FUND INSTITUTIONAL CLASS	230001836	CUSIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
CULLEN FUNDS	CULLEN SMALL CAP VALUE FUND RETAIL CLASS	230001851	CUSRX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CULLEN FUNDS	CULLEN VALUE FUND CLASS I	230001786	CVLVX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CULLEN FUNDS	CULLEN VALUE FUND RETAIL CLASS	230001778	CVLEX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CUSHING FUNDS	CUSHING MLP INFRASTRUCTURE FUND CLASS A	231632100	PAPEX	Load; FundVest Institutional	Initial : 2000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
CUSHING FUNDS	CUSHING MLP INFRASTRUCTURE FUND CLASS I	231632308	PIPEX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DAY HAGAN FUNDS	DAY HAGAN LOGIX TACTICAL DIVIDEND FUND CLASS A	62827M664	DHQAX	Load	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DAY HAGAN FUNDS	DAY HAGAN LOGIX TACTICAL DIVIDEND FUND CLASS I	62827M649	DHQIX	No/Low Load	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DAY HAGAN FUNDS	DAY HAGAN TACTICAL ALLOCATION FUND OF ETFs CLASS A	62827L641	DHAAX	Load	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DAY HAGAN FUNDS	DAY HAGAN TACTICAL ALLOCATION FUND OF ETFs CLASS I	62827M631	DHAIX	No/Low Load	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE CORPORATE BOND FUND CLASS A	245908785	DGCAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE CORPORATE BOND FUND CLASS R	245908744	DGCRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE CORPORATE BOND FUND INST'L CLASS	245908751	DGCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE DIVERSIFIED INCOME FUND CLASS A	246248744	DPDFX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE DIVERSIFIED INCOME FUND CLASS I	246248587	DPFFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE DIVERSIFIED INCOME FUND CLASS R	246248553	DPFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE DIVERSIFIED INCOME FUND CLASS R6	245917612	DPZRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE EMERGING MARKETS DEBT FUND CLASS A	246094841	DEBAX	Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE EMERGING MARKETS DEBT FUND INSTITUTIONAL CLASS	246094817	DEDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE EMERGING MARKETS FUND (INSTITUTIONAL CLASS)	245914817	DEMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE EMERGING MARKETS FUND CLASS A	245914841	DEMAY	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE EMERGING MARKETS FUND CLASS R	245914569	DEMRY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE EMERGING MARKETS FUND CLASS R6	245914510	DEMZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE EXTENDED DURATION BOND FUND CLASS A	245908835	DEEAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE EXTENDED DURATION BOND FUND CLASS R	245908728	DEERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE EXTENDED DURATION BOND FUND INST'L CLASS	245908793	DEEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE FLOATING RATE FUND CLASS A	245908660	DDFAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE FLOATING RATE FUND CLASS R	245908645	DDFFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE FLOATING RATE FUND INSTITUTIONAL CLASS	245908637	DDFLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE GLOBAL LISTED REAL ASSETS FUND CLASS A	246248868	DPREX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE GLOBAL LISTED REAL ASSETS FUND INSTITUTIONAL CLASS	246248777	DPRSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE GLOBAL REAL ESTATE OPPORTUNITIES FUND CLASS A	245917653	DGRPX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE GLOBAL REAL ESTATE OPPORTUNITIES FUND CLASS R	245917638	DLRPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE GLOBAL REAL ESTATE OPPORTUNITIES FUND INSTITUTIONAL CLASS	245917620	DGRGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE GLOBAL VALUE FUND CLASS A	245914718	DABAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE GLOBAL VALUE FUND CLASS I	245914676	DABIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE HEALTHCARE FUND CLASS I	24610E408	DLHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE HEALTHCARE FUNDS CLASS A	24610E101	DLHAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE HEALTHCARE FUNDS CLASS R	24610E309	DLRHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE HIGH YIELD OPPORTUNITIES FUND CLASS A	245908876	DHOAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE HIGH YIELD OPPORTUNITY FUND CLASS R	245908736	DHIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE HIGH-YIELD OPPORTUNITIES FUND (INSTITUTIONAL CLASS)	245908843	DHOIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE INT'L VALUE EQUITY FUND CLASS R	245914577	DIVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE INTERNATIONAL SMALL CAP CLASS A	246118541	DGGAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE INTERNATIONAL SMALL CAP CLASS R	246118525	DGGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE INTERNATIONAL SMALL CAP INSTITUTIONAL CLASS	246118517	DGGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE INTERNATIONAL VALUE EQUITY FUND CLASS A	245914106	DEGIX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE INTERNATIONAL VALUE EQUITY FUND CLASS I	245914403	DEQIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE LIMITED- TERM DIVERSIFIED INCOME FUND CLASS A	245912308	DTRIX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE LIMITED- TERM DIVERSIFIED INCOME FUND CLASS I	245912506	DTINX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE LIMITED-TERM DIVERS INCOME FUND CLASS R	245912803	DLTRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE MID CAP VALUE FUND CLASS I	246093835	DLMIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE MID CAP VALUE FUND CLASS R	246093843	DLMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE MIDCAP VALUE FUND CLASS A	246093868	DLMAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE MINNESOTA HIGH YIELD MUNI BOND FUND CLASS A	928928316	DVMHX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE MINNESOTA HIGH YIELD MUNICIPAL BOND FUND INSTITUTIONAL CLASS	928928175	DMHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE NATIONAL HIGH YIELD MUNI BOND FUND CLASS A	928928241	CXHYX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE NATIONAL HIGH YIELD MUNICIPAL BOND FUND INSTITUTIONAL CLASS	24610H302	DVHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE SELECT GROWTH FUND (INSTITUTIONAL CLASS)	928931757	VAGGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE SELECT GROWTH FUND CLASS A	928931104	DVEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE SMALL CAP CORE FUND CLASS A	24610B883	DCCAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE SMALL CAP CORE FUND CLASS R	24610B834	DCCRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE SMALL CAP CORE FUND CLASS R6	24610B826	DCZRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE SMALL CAP CORE FUND INSTITUTIONAL CLASS	24610B859	DCICX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE SMALL CAP GROWTH FUND CLASS A	24610A604	DSGDX	Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE SMALL CAP GROWTH FUND CLASS R	24610A885	DSGFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	24610A802	DSGGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE SMALL CAP VALUE FUND CLASS A	246097109	DEVLX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE SMALL CAP VALUE FUND CLASS R	246097505	DVLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE SMALL-CAP VALUE FUND (INSTITUTIONAL CLASS)	246097208	DEVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE SMID CAP GROWTH FUND CLASS A	245906102	DFCIX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE SMID CAP GROWTH FUND CLASS R	245906508	DFRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE SMID CAP GROWTH FUND CLASS R6	24610A505	DFZRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE SMID CAP GROWTH FUND INSTITUTIONAL CLASS	245906201	DFDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE STRATEGIC ALLOCATION FUND CLASS A	245918503	DFBAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE STRATEGIC ALLOCATION FUND INSTITUTIONAL CLASS	245918800	DFPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
DELAWARE FUNDS	DELAWARE STRATEGIC INCOME FUND CLASS A	246094205	DEGGX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE STRATEGIC INCOME FUND CLASS R	246094809	DUGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE STRATEGIC INCOME FUND INSTITUTIONAL CLASS	246094502	DUGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX FREE PENNSYLVANIA FD CL A	233216100	DELIX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX FREE PENNSYLVANIA FUND INSTITUTIONAL CLASS	24609H701	DTPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX FREE USA FUND CLASS A	245909106	DMTFX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX FREE USA INTERM FD CL A	245909304	DMUSX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE ARIZONA FUND CLASS A	928916204	VAZIX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE ARIZONA FUND INSTITUTIONAL CLASS	928916873	DAZIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE CALIFORNIA FUND CLASS A	928928829	DVTAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE CALIFORNIA FUND INSTITUTIONAL CLASS	928928167	DCPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE COLORADO FD CLASS A	928920107	VCTFX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE COLORADO FUND INSTITUTIONAL CLASS	92907R200	DCOIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE IDAHO FUND CLASS A	928928704	VIDAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE IDAHO FUND INSTITUTIONAL CLASS	928928159	DTIDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE MINNESOTA FD CLASS A	928918101	DEFFX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE MINNESOTA FUND INSTITUTIONAL CLASS	928918705	DMNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE MINNESOTA INTERM FD CLASS A	928930106	DXCCX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE MINNESOTA INTERMEDIATE FUND INSTITUTIONAL CLASS	92910U109	DMIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE NEW YORK FD CLASS A	928928274	FTNYX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE NEW YORK FUND INSTITUTIONAL CLASS	928928142	DTNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE USA FUND INSTITUTIONAL CLASS	24610H104	DTFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE TAX-FREE USA INTERMEDIATE FD INSTITUTIONAL CL	24610H203	DUSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE U.S. GROWTH FUND (INSTITUTIONAL CLASS)	245917802	DEUIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE U.S. GROWTH FUND CLASS A	245917505	DUGAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE U.S. GROWTH FUND CLASS R	245917711	DEURX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE ULTRASHORT FUND CLASS A	245910609	DLTAX	Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE ULTRASHORT FUND INSTITUTIONAL CLASS	245910500	DULTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE VALUE FUND CLASS A	24610C881	DDVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE VALUE FUND CLASS I	24610C857	DDVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE VALUE FUND CLASS R	245907860	DDVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE VALUE FUND CLASS R6	24610C840	DDZRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE WEALTH BUILDER FUND CLASS A	24610B107	DDIAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DELAWARE FUNDS	DELAWARE WEALTH BUILDER FUND CLASS R	24610B842	DDDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DELAWARE FUNDS	DELAWARE WEALTH BUILDER FUND INSTITUTIONAL CLASS	24610B404	DDIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DESTRA FUNDS	DESTRA FLAHERTY & CRUMIRNE PREFERRED AND INCOME FUND CLASS A	25064T106	DPIAX	Load; FundVest Institutional	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DESTRA FUNDS	DESTRA FLAHERTY & CRUMIRNE PREFERRED AND INCOME FUND CLASS I	25064T403	DPIIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DESTRA FUNDS	DESTRA GRANAHAN SMALL CAP ADVANTAGE FUND CLASS A	25064R753	DGASX	Load	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DESTRA FUNDS	DESTRA GRANAHAN SMALL CAP ADVANTAGE FUND CLASS I	25064R738	DGISX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DESTRA FUNDS	DESTRA INTERNATIONAL & EVENT-DRIVEN CREDIT FUND CLASS I	25065R109	CEPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DESTRA FUNDS	DESTRA MULTI ALTERNATIVE FUND CLASS A	25065A106	MSFDX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DESTRA FUNDS	DESTRA MULTI ALTERNATIVE FUND CLASS I	25065A205	MSFIX	No/Low Load	Initial : 10000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DESTRA FUNDS	DESTRA MULTI ALTERNATIVE FUND CLASS T	25065A304	MSFYX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL ALL CAP SELECT FUND CL A	252645775	DHTAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL ALL CAP SELECT FUND CL I	252645759	DHILT	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL CORE BOND FUND CLASS A	252645528	DHRAX	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL CORE BOND FUND CLASS I	252645510	DHRIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL CORPORATE CREDIT FUND CLASS A	252645882	DSIAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL CORPORATE CREDIT FUND CLASS I	252645866	DHSTX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL GLOBAL FUND CLASS A	252645486	DHGBX	Load	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL GLOBAL FUND CLASS I	252645478	DHGIX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL HIGH YIELD FUND CLASS A	252645585	DHMAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL HIGH YIELD FUND CLASS I	252645577	DHPIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL INTERNATIONAL FUND CLASS A	252645452	DHIAAX	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL INTERNATIONAL FUND CLASS I	252645445	DHIIX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL LARGE CAP FUND CLASS I	252645841	DHLRX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL LARGE-CAP FUND CLASS A	252645502	DHLAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL LONG SHORT FUND CLASS A	252645403	DIAMX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL LONG-SHORT FUND CLASS I	252645833	DHLXS	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL MID CAP FUND CLASS A	252645635	DHPAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL MID CAP FUND CLASS I	252645619	DHPIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL RESEARCH OPPORTUNITIES FUND CLASS A	252645742	DHROX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL RESEARCH OPPORTUNITIES FUND CLASS I	252645726	DHROIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL SHORT DURATION TOTAL RETURN FUND CLASS A	252645551	DHEAX	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL SHORT DURATION TOTAL RETURN FUND CLASS I	252645544	DHEIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL SMALL CAP FUND CLASS I	252645858	DHSIX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL SMALL- MID CAP FUND CLASS I	252645783	DHMIIX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DIAMOND HILL FUNDS	DIAMOND HILL SMALL-CAP FUND CLASS A	252645304	DHSCX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIAMOND HILL FUNDS	DIAMOND HILL SMALL-MID CAP FUND CLASS A	252645817	DHMAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DIMENSIONAL FUNDS	AAM/DFA TWO YEAR FIXED INCOME PORTFOLIO INSTITUTIONAL CLASS	25434D872	DFCFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	AAM/DFA TWO-YEAR GOVERNMENT PORTFOLIO INSTITUTIONAL CLASS	25434D864	DFYGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA ASIA PACIFIC SMALL-COMPANY FUND INSTITUTIONAL CLASS	233203850	DFRSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA CALIFORNIA INTERMEDIATE-TERM MUNICIPAL BOND PORT FUND INST CLASS	23320G430	DCIBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA CALIFORNIA MUNICIPAL REAL RETURN PORTFOLIO	25239Y394	DCARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA CALIFORNIA SHORT-TERM MUNI BOND PORTFOLIO INSTITUTIONAL CLASS	233203330	DFCMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
DIMENSIONAL FUNDS	DFA COMMODITY STRATEGY FUND INSTITUTIONAL CLASS	23320G463	DCMSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA CONTINENTAL SMALL-COMPANY FUND INSTITUTIONAL CLASS	233203702	DFCSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA DIVERSIFIED FIXED INCOME PORTFOLIO INSTITUTIONAL CLASS	23320G166	DFXIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA EMERGING MARKETS CORE EQUITY PORTFOLIO INSTITUTIONAL CLASS	233203421	DFCEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA EMERGING MARKETS FUND INSTITUTIONAL CLASS	233203785	DFEMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA EMERGING MARKETS SMALL-CAP PORTFOLIO FUND INSTITUTIONAL CLASS	233203611	DEM5X	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA EMERGING MARKETS SOCIAL CORE EQUITY PORTFOLIO FD INSTITUTIONAL CLASS	233203363	DFESX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA EMERGING MARKETS SUSTAINABILITY CORE 1 PORT FUND INSTL	25239Y378	DESIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA EMERGING MARKETS TARGETED VALUE PORTFOLIO FUND INSTITUTIONAL CLASS	23320G117	DEMGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA EMERGING MARKETS VALUE FUND INSTITUTIONAL CLASS	233203587	DFEVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA ENHANCED U.S. LARGE-COMPANY FUND INSTITUTIONAL CLASS	233203637	DFELX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA FIVE YEAR GLOBAL FIXED-INCOME FUND INSTITUTIONAL CLASS	233203884	DFGBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA GLOBAL ALLOCATION 25/75 PORT INSTITUTIONAL CLASS	25434D633	DGTSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA GLOBAL ALLOCATION 60/40 PORT INSTITUTIONAL CLASS	25434D658	DGSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA GLOBAL CORE PLUS FIXED INCOME PORTFOLIO INSTITUTIONAL CLASS	25239Y386	DGCFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA GLOBAL EQUITY PORTFOLIO INSTITUTIONAL CLASS	25434D674	DGEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA GLOBAL REAL ESTATE SECURITIES PORTFOLIO	23320G554	DFGEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA GLOBAL SMALL COMPANY PORTFOLIO FUND INSTITUTIONAL CLASS	23320G158	DGLUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA GLOBAL SUSTAINABILITY FIXED INCOME PORTFOLIO FD INSTL CLASS	25239Y360	DGSFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INFLATION - PROTECTED SECURITIES PORTFOLIO INSTL CL	233203355	DIPSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERMEDIATE GOVERNMENT FIXED INCOME FUND INSTL CLASS	233203876	DFIGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERMEDIATE- TERM EXTENDED QUALITY PORTFOLIO INSTITUTIONAL CLASS	23320G513	DFTEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERMEDIATE- TERM MUNICIPAL BOND PORTFOLIO FUND INSTITUTIONAL CLASS	23320G315	DFITX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERNATIONAL CORE EQUITY PORTFOLIO INSTITUTIONAL CLASS	233203371	DFIEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERNATIONAL LARGE CAP GROWTH PORTFOLIO FUND INSTITUTIONAL CLASS	23320G265	DILRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERNATIONAL REAL ESTATE SECURITIES FUND INSTITUTIONAL CLASS	233203348	DFITX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERNATIONAL SMALL CAP GROWTH PORTFOLIO FUND INSTITUTIONAL CLASS	23320G257	DISMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERNATIONAL SMALL-CAP VALUE FUND INSTITUTIONAL CLASS	233203736	DISVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERNATIONAL SMALL-COMPANY FUND INSTITUTIONAL CLASS	233203629	DFISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERNATIONAL SOCIAL CORE EQUITY PORTFOLIO FUND INSTITUTIONAL CLASS	25239Y626	DSLCL	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERNATIONAL SUSTAINABILITY CORE 1 PORTFOLIO FD	233203199	DFSPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERNATIONAL VALUE FUND INSTITUTIONAL CLASS	25434D203	DFIVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERNATIONAL VALUE FUND PORTFOLIO III	25434D708	DFVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INTERNATIONAL VECTOR EQUITY FUND INSTITUTIONAL CLASS	23320G539	DFVQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA INVESTMENT GRADE PORTFOLIO FUND INSTITUTIONAL CLASS	23320G448	DFAPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA JAPANESE SMALL-COMPANY FUND INSTITUTIONAL CLASS	233203108	DFJSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA LARGE-CAP INTERNATIONAL FUND INSTITUTIONAL CLASS	233203868	DFALX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA MN MUNICIPAL BOND PORTFOLIO INSTITUTIONAL CLASS	25239Y410	DMN8X	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA MUNICIPAL BOND PORT FUND INSTITUTIONAL CLASS	23320G232	DFMPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA MUNICIPAL REAL RETURN PORTFOLIO FUND INSTITUTIONAL CLASS	25239Y550	DMREX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA NY MUNICIPAL BOND PORTFOLIO FUND INSTITUTIONAL CLASS	23320G224	DNYMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA ONE YEAR FIXED-INCOME FUND INSTITUTIONAL CLASS	233203603	DFIHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA REAL ESTATE SECURITIES FUND INSTITUTIONAL CLASS	233203835	DFREX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA SELECTIVELY HEDGED GLOBAL EQUITY PORTFOLIO FUND INST CLASS	23320G331	DSHGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA SELECTIVELY HEDGED GLOBAL FIXED INCOME PORTFOLIO FD INSTITUTIONAL CLASS	233203223	DFSHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA SHORT-DURATION REAL RETURN PORTFOLIO FUND INSTITUTIONAL CLASS	25239Y576	DFAIK	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA SHORT-TERM EXTENDED QUALITY PORTFOLIO FUND INSTITUTIONAL CLASS	23320G521	DFEQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA SHORT-TERM GOVERNMENT PORT INSTITUTIONAL CLASS	233203405	DFFGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA SHORT-TERM MUNICIPAL BOND FUND INSTITUTIONAL CLASS	233203439	DFSMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA SOCIAL FIXED INCOME FUND INSTITUTIONAL CLASS	25239Y428	DSFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA T.A. WORLD EX U.S. CORE EQUITY PORTFOLIO FUND INSTITUTIONAL CLASS	23320G505	DFTWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA TARGETED CREDIT PORTFOLIO FUND INSTITUTIONAL CLASS	23320G216	DFCPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA TAX ADVANTAGE CORE EQUITY II FUND INSTITUTIONAL CLASS	233203314	DFTCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA TAX MANAGED U.S. EQUITY FUND	233203447	DTMEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA TAX-MANAGED INTERNATIONAL VALUE FUND	233203546	DTMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA TAX-MANAGED U.S. MARKETWIDE VALUE FUND	233203561	DTMMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA TAX-MANAGED U.S. MARKETWIDE VALUE PORTFOLIO II	25434D831	DFMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA TAX-MANAGED U.S. SMALL-CAP FUND	233203553	DFTSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA TAX-MANAGED U.S. TARGETED VALUE FUND	233203579	DTMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA TWO YEAR GLOBAL FIXED-INCOME FUND INSTITUTIONAL CLASS	233203645	DFGFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. CORE EQUITY 1 PORTFOLIO INSTITUTIONAL CLASS	233203413	DFEOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. CORE EQUITY 2 PORTFOLIO INSTITUTIONAL CLASS	233203397	DFQTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. LARGE CAP EQUITY PORTFOLIO FUND INSTITUTIONAL CLASS	23320G240	DUSQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. LARGE CAP GROWTH FUND INSTITUTIONAL CLASS	23320G281	DUSLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. LARGE CAP VALUE PORTFOLIO III	25434D807	DFUVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. LARGE COMPANY PORTFOLIO	25434D823	DFUSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. LARGE-CAP VALUE FUND INSTITUTIONAL CLASS	233203827	DFVLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. MICRO-CAP FUND INSTITUTIONAL CLASS	233203504	DFSCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. SMALL CAP GROWTH PORTFOLIO FUND INSTITUTIONAL CLASS	23320G273	DSCGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. SMALL-CAP FUND INSTITUTIONAL CLASS	233203843	DFSTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. SMALL-CAP VALUE FUND INSTITUTIONAL CLASS	233203819	DFSVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. SOCIAL CORE EQUITY 2 PORTFOLIO FUND	233203298	DFUEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. SUSTAINABILITY CORE 1 PORTFOLIO FD	233203215	DF5IX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. TARGET VALUE PORTFOLIO FUND INSTITUTIONAL CLASS	233203595	DFVFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA U.S. VECTOR EQUITY FUND INSTITUTIONAL CLASS	233203389	DFVEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
DIMENSIONAL FUNDS	DFA UNITED KINGDOM SMALL-COMPANY FUND INSTITUTIONAL CLASS	233203207	DFUKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA WORLD CORE EQUITY PORTFOLIO INSTITUTIONAL CLASS	25239Y105	DREIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA WORLD EX U.S. CORE EQUITY PORTFOLIO FUND INSTITUTIONAL CLASS	25239Y592	DFWIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA WORLD EX U.S. GOVERNMENT FIXED INCOME PORTFOLIO FD INSTITUTIONAL CL	23320G323	DWFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA WORLD EX U.S. TARGETED VALUE PORTFOLIO FUND INSTITUTIONAL CLASS	25239Y618	DWVUSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DFA WORLD EX U.S. VALUE PORT INSTITUTIONAL CLASS	23320G471	DFWVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL 2005 TARGET DATE RETIREMENT INCOME FD INSTITUTIONAL CL	23320G182	DRIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL 2010 TARGET DATE RETIREMENT INCOME FD INSTITUTIONAL CL	23320G174	DRIBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL 2015 TARGET DATE RETIREMENT INCOME FD INSTITUTIONAL CL	25239Y535	DRIQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL 2020 TARGET DATE RETIREMENT INCOME FD INSTITUTIONAL CL	25239Y527	DRIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL 2025 TARGET DATE RETIREMENT INCOME FD INSTITUTIONAL CL	25239Y519	DRUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL 2030 TARGET DATE RETIREMENT INCOME FD INSTITUTIONAL CL	25239Y493	DRIWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL 2035 TARGET DATE RETIREMENT INCOME FD INSTITUTIONAL CL	25239Y485	DRIGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL 2040 TARGET DATE RETIREMENT INCOME FD INSTITUTIONAL CL	25239Y477	DRIHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL 2045 TARGET DATE RETIREMENT INCOME FD INSTITUTIONAL CL	25239Y469	DRIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL 2050 TARGET DATE RETIREMENT INCOME FD INSTITUTIONAL CL	25239Y451	DRJIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL 2055 TARGET DATE RETIREMENT INCOME FD INSTITUTIONAL CL	25239Y444	DRKIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL 2060 TARGET DATE RETIREMENT INCOME FD INSTITUTIONAL CL	25239Y436	DRLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	DIMENSIONAL RETIREMENT INCOME FD INSTITUTIONAL CL	23320G190	TDIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	INTERNATIONAL HIGH RELATIVE PROFITABILITY PORT FD INSTITUTIONAL CL	23320G141	DIHRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIMENSIONAL FUNDS	U.S. HIGH RELATIVE PROFITABILITY PORTFOLIO FUND INSTITUTIONAL CLASS	23320G133	DURPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIREXION FUNDS	DIREXION INDEXED COMMODITY STRATEGY FUND INSTL CLASS	254939382	DXCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
DIREXION FUNDS	DIREXION INDEXED COMMODITY STRATEGY FUND INVESTOR CLASS	254939457	DXCTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
DIREXION FUNDS	DIREXION MONTHLY 25+ YEAR TREASURY BEAR 1.35X FUND	254939135	DXSTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIREXION FUNDS	DIREXION MONTHLY 25+ YEAR TREASURY BULL 1.35X FUND	254939143	DXLTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIREXION FUNDS	DIREXION MONTHLY 7-10 YEAR TREASURY BEAR 2X FUND	254939184	DXKSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
DIREXION FUNDS	DIREXION MONTHLY 7-10 YEAR TREASURY BULL 2X FUND	254939689	DXKLX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
DIREXION FUNDS	DIREXION MONTHLY EMERGING MARKETS BULL 2X FUND	254939630	DXELX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
DIREXION FUNDS	DIREXION MONTHLY HIGH YIELD BULL 1.2X FUND	254939127	DXHYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIREXION FUNDS	DIREXION MONTHLY NASDAQ 100 BULL 2X FUND	254939200	DXQLX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
DIREXION FUNDS	DIREXION MONTHLY NASDAQ-100 BEAR 1.25X FUND	25460D100	DXNSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIREXION FUNDS	DIREXION MONTHLY NASDAQ-100 BULL 1.25X FUND	25460D101	DXNLX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DIREXION FUNDS	DIREXION MONTHLY S&P 500 BEAR 2X FUND	254939218	DXSSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
DIREXION FUNDS	DIREXION MONTHLY S&P 500 BULL 2X FUND	254939705	DXSLX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
DIREXION FUNDS	DIREXION MONTHLY SMALL CAP BEAR 2X FUND	254939192	DXRSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
DIREXION FUNDS	DIREXION MONTHLY SMALL CAP BULL 2X FUND	254939838	DXRLX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
DIREXION FUNDS	HILTON TACTICAL INCOME FUND INSTITUTIONAL CLASS	254939168	HCYIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
DIREXION FUNDS	HILTON TACTICAL INCOME FUND INVESTOR CLASS	254939176	HCYAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
DODGE & COX FUNDS	DODGE & COX BALANCED FUND	256201104	DODBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DODGE & COX FUNDS	DODGE & COX GLOBAL BOND FUND	256206301	DODLX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DODGE & COX FUNDS	DODGE & COX GLOBAL STOCK FUND	256206202	DODWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DODGE & COX FUNDS	DODGE & COX INCOME FUND	256210105	DODIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DODGE & COX FUNDS	DODGE & COX INTERNATIONAL FUND	256206103	DODFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DODGE & COX FUNDS	DODGE & COX STOCK FUND	256219106	DODGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE COLONY REAL ESTATE AND INCOME FUND CLASS I	258620616	DBRIX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE COLONY REAL ESTATE AND INCOME FUND CLASS N	258620590	DLREX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE CORE FIXED INCOME FUND CLASS I	258620301	DBLFX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE CORE FIXED INCOME FUND CLASS N	258620400	DLFNX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE EMERGING MARKETS FIXED INCOME FUND CLASS I	258620509	DBLFX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE EMERGING MARKETS FIXED INCOME FUND CLASS N	258620608	DLENX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE FLEXIBLE INCOME FUND CLASS I	258620798	DFLEX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE FLEXIBLE INCOME FUND CLASS N	258620780	DLINX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE FLOATING RATE FUND CLASS I	258620848	DBFRX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE FLOATING RATE FUND CLASS N	258620830	DLFRX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE GLOBAL BOND FUND CLASS I	258620699	DBLGX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE GLOBAL BOND FUND CLASS N	258620681	DLGBX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE INCOME FUND CLASS I	258620517	DBLIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE INCOME FUND CLASS N	258620491	DBLNX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE INFRASTRUCTURE INCOME FUND CLASS I	258620673	BLDX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE INFRASTRUCTURE INCOME FUND CLASS N	258620665	BLTX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE LONG DURATION TOTAL RETURN BOND FUND CLASS I	258620749	DBLDX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE LONG DURATION TOTAL RETURN BOND FUND CLASS N	258620731	DLDDX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE LOW DURATION BOND FUND CLASS I	258620863	DBLSX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE LOW DURATION BOND FUND CLASS N	258620855	DLSNX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE LOW DURATION EMERGING MARKETS FIXED INCOME FUND CLASS I	258620772	DBLLX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE LOW DURATION EMERGING MARKETS FIXED INCOME FUND CLASS N	258620764	DLENX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE MULTI-ASSET GROWTH FUND CLASS A	258620707	DMLAX	Load; FundVest Institutional	Initial : 500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE MULTI-ASSET GROWTH FUND CLASS I	258620889	DMLIX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE SHILLER ENHANCED CAPE FUND CLASS I	258620822	DSEEX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE SHILLER ENHANCED CAPE FUND CLASS N	258620814	DSENX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE SHILLER ENHANCED INTERNATIONAL CAPE FUND CLASS I	258620632	DSEUX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE SHILLER ENHANCED INTERNATIONAL CAPE FUND CLASS N	258620624	DLEUX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE STRATEGIC COMMODITY FUND CLASS I	258620715	DBCMX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE STRATEGIC COMMODITY FUND CLASS N	258620723	DLCTX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE TOTAL RETURN BOND FUND CLASS I	258620103	DBLTX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
DOUBLELINE FUNDS	DOUBLELINE TOTAL RETURN BOND FUND CLASS N	258620202	DLTNX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE ULTRA SHORT BOND FUND CLASS I	258620657	DBULX	No/Low Load; FundVest Institutional	Initial : 5000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DOUBLELINE FUNDS	DOUBLELINE ULTRA SHORT BOND FUND CLASS N	258620640	DLUSX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DRIEHAUS ALT FUNDS	DRIEHAUS ACTIVE INCOME FUND	262028855	LCMAX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DRIEHAUS ALT FUNDS	DRIEHAUS EVENT DRIVEN FUND	262028814	DEVXD	No/Low Load	Initial : 2000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DRIEHAUS ALT FUNDS	DRIEHAUS MULTI ASSET GROWTH ECONOMIES FUND	262028764	DMAGX	No/Low Load	Initial : 2000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DRIEHAUS FUNDS	DRIEHAUS EMERGING MARKETS GROWTH FUND INSTITUTIONAL CLASS	262028756	DIEMX	No/Low Load	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DRIEHAUS FUNDS	DRIEHAUS EMERGING MARKETS GROWTH FUND INVESTOR CLASS	262028301	DREGX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DRIEHAUS FUNDS	DRIEHAUS EMERGING MARKETS SMALL CAP GROWTH FUND	262028830	DRESX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DRIEHAUS FUNDS	DRIEHAUS INTERNATIONAL SMALL CAP GROWTH FUND	262028806	DRIOX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DRIEHAUS FUNDS	DRIEHAUS SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	262028731	DNSMX	No/Low Load	Initial : 5000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DRIEHAUS FUNDS	DRIEHAUS SMALL CAP GROWTH FUND INVESTOR CLASS	262028749	DVSMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM CORPORATE/ GOVERNMENT BOND FUND CLASS A	265458109	DACGX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM CORPORATE/ GOVERNMENT BOND FUND CLASS N	265458307	DNCGX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM DYNAMIC MACRO FUND CLASS A	265458612	DAAVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM DYNAMIC MACRO FUND CLASS N	265458588	DNAVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM EMERGING MARKETS STOCK FUND CLASS A	265458679	DAEMX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM EMERGING MARKETS STOCK FUND CLASS N	265458653	DNEMX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM FLOATING RATE BOND FUND CLASS A	265458430	DAFRX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM FLOATING RATE BOND FUND CLASS N	265458414	DNFRX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM FOCUSED LARGE CAP GROWTH FUND CLASS A	265458570	DAFGX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM FOCUSED LARGE CAP GROWTH FUND CLASS N	265458554	DNFGX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM HIGH YIELD BOND FUND CLASS A	265458406	DAHXY	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM HIGH YIELD BOND FUND CLASS N	265458604	DNHYX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM INTERNATIONAL OPPORTUNITY BOND FUND CLASS A	265458463	DAIOX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM INTERNATIONAL OPPORTUNITY BOND FUND CLASS N	265458448	DNIOX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM INTERNATIONAL STOCK FUND CLASS A	265458810	DAINX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM INTERNATIONAL STOCK FUND CLASS N	265458786	DNINX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM LARGE CAP VALUE FUND CLASS A	265458877	DALVX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM LARGE CAP VALUE FUND CLASS N	265458851	DNLVX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM LONG/SHORT CREDIT FUND CLASS A	265458703	DAAIX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM LONG/SHORT CREDIT FUND CLASS N	265458885	DNAIX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM MONTHLY DISTRIBUTION FUND CLASS A	265458646	DAMDY	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM MONTHLY DISTRIBUTION FUND CLASS N	265458620	DNMDX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM REAL ESTATE STOCK FUND CLASS A	265458844	DAREX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM REAL ESTATE STOCK FUND CLASS N	265458828	DNREX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM SMALL CAP GROWTH FUND CLASS A	265458711	DADGX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM SMALL CAP GROWTH FUND CLASS N	265458687	DNDGX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM SMALL CAP VALUE FUND CLASS A	265458778	DAVSX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DUNHAM FUNDS	DUNHAM SMALL CAP VALUE FUND CLASS N	265458752	DNSVX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DEUTSCHE CROCI INTERNATIONAL FUND INSTITUTIONAL CLASS	25156G731	SUIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DEUTSCHE GOVERNMENT MONEY MARKET SERIES INST MGD	233377102	MCAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DEUTSCHE GOVERNMENT SERIES CASH RESERVE GOVERNMENT INSTITUTIONAL CLASS	25160K405	BIKXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DEUTSCHE LATIN AMERICA EQUITY FUND CLASS S	25156G798	SLAFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DEUTSCHE REAL ESTATE SECURITIES FUND INSTITUTIONAL CLASS	25159L737	RRRRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CALIFORNIA TAX-FREE INCOME FUND CLASS A	25158X104	KCTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CALIFORNIA TAX-FREE INCOME FUND CLASS S	25158X401	SDCSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CAPITAL GROWTH FUND CLASS A	25157M109	SDGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CAPITAL GROWTH FUND CLASS S	25157M406	SCGSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CAPITAL GROWTH FUND INSTITUTIONAL CLASS	25157M760	SDGTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS COMMUNICATIONS FUND CLASS A	25159L729	TISHX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS COMMUNICATIONS FUND INSTL CLASS	25159L687	FLICX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CORE EQUITY FUND CLASS A	25157M729	SUWAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CORE EQUITY FUND CLASS S	25157M679	SCDGY	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CORE EQUITY FUND CLASS T	25157M489	SUWUX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS CORE EQUITY FUND INSTITUTIONAL CLASS	25157M687	SUWIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CROCI EQUITY DIVIDEND FD INSTITUTIONAL CLASS	25159G779	KDHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CROCI EQUITY DIVIDEND FUND CLASS A	25159G811	KDHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CROCI EQUITY DIVIDEND FUND CLASS S	25159G761	KDHSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CROCI EQUITY DIVIDEND FUND CLASS T	25159G688	KDHUX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS CROCI INTERNATIONAL FUND CLASS A	25156G673	SUIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CROCI INTERNATIONAL FUND CLASS R6	25156G582	SUIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CROCI INTERNATIONAL FUND CLASS S	25156G715	SCINX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CROCI INTERNATIONAL FUND CLASS T	25156G434	SUITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CROCI U.S. FUND CLASS A	25157M588	DCUAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CROCI U.S. FUND CLASS R6	25157M562	DCURX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CROCI U.S. FUND CLASS S	25157M547	DCUSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS CROCI U.S. FUND CLASS T	25157M448	DCUUX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS CROCI U.S. FUND INSTITUTIONAL CLASS	25157M554	DCUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS EAFE EQUITY INDEX FUND INSTL CLASS	25159R601	BTAEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS EMERGING MARKETS EQUITY FUND CLASS A	25156G103	SEKAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS EMERGING MARKETS EQUITY FUND CLASS S	25156G400	SEMGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS EMERGING MARKETS EQUITY FUND CLASS T	25156G566	SEKTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS EMERGING MARKETS EQUITY FUND INSTITUTIONAL CLASS	25156G780	SEKIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS EMERGING MARKETS FIXED INCOME FUND CLASS A	25156A502	SZEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
DWS FUNDS	DWS EMERGING MARKETS FIXED INCOME FUND CLASS S	25156A726	SCEMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS EMERGING MARKETS FIXED INCOME FUND INSTITUTIONAL CLASS	25156A841	SZEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS ENHANCED COMMODITY STRATEGY FUND CLASS A	25159L877	SKNRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS ENHANCED COMMODITY STRATEGY FUND CLASS S	25159L844	SKSRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS ENHANCED COMMODITY STRATEGY FUND CLASS T	25159L380	SKSTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS ENHANCED COMMODITY STRATEGY FUND INSTL CLASS	25159L836	SKIRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS EQUITY 500 INDEX FUND CLASS R6	25159R866	BTIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS EQUITY 500 INDEX FUND CLASS S	25159R205	BTIEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS EQUITY 500 INDEX FUND INSTL CLASS	25159R106	BTIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS ESG CORE EQUITY FUND CLASS A	25159G852	MIDVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS ESG CORE EQUITY FUND CLASS S	25159G866	MIDTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS ESG CORE EQUITY FUND INSTITUTIONAL CLASS	25159G704	MIDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS ESG GLOBAL BOND FUND CLASS A	25156A734	SZGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS ESG GLOBAL BOND FUND CLASS S	25156A767	SSTGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS ESG INTERNATIONAL CORE EQUITY FUND CLASS A	25156A684	DURAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS ESG INTERNATIONAL CORE EQUITY FUND CLASS S	25156A650	DURSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS ESG INTERNATIONAL CORE EQUITY FUND INSTITUTIONAL CLASS	25156A668	DURIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS FLOATING RATE FUND CLASS A	25157W602	DFRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS FLOATING RATE FUND CLASS R6	25157W875	DFRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS FLOATING RATE FUND CLASS S	25157W883	DFRRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS FLOATING RATE FUND INSTITUTIONAL CLASS	25157W800	DFRTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GLOBAL HIGH INCOME FUND CLASS A	25155T882	SGHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GLOBAL HIGH INCOME FUND CLASS S	25155T601	SGHSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GLOBAL HIGH INCOME FUND CLASS T	25155T296	SGHTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS GLOBAL HIGH INCOME FUND INSTL CLASS	25155T502	MGHYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GLOBAL INCOME BUILDER FUND CLASS A	25159K820	KTRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GLOBAL INCOME BUILDER FUND CLASS S	25159K788	KTRSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GLOBAL INCOME BUILDER FUND INSTL CLASS	25159K770	KTRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GLOBAL MACRO FUND CLASS A	25156G871	DBISX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GLOBAL MACRO FUND CLASS S	25156G608	DBIVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GLOBAL MACRO FUND INSTITUTIONAL CLASS	25156G509	MGINX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GLOBAL SMALL CAP FUND CLASS A	25156A106	KGDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GLOBAL SMALL CAP FUND CLASS S	25156A403	SGSCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GLOBAL SMALL CAP FUND CLASS T	25156A619	KGDTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS GLOBAL SMALL CAP FUND INSTL CLASS	25156A601	KGDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GNMA FUND CLASS A	25155T718	GGGGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GNMA FUND CLASS R6	25155T429	GRRGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GNMA FUND CLASS S	25155T684	SGINX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GNMA FUND CLASS T	25155T320	GIGTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS GNMA FUND INSTL CLASS	25155T676	GIGGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS GOVERNMENT MONEY MARKET SERIES: INSTITUTIONAL SHARES PRS*	23337T607	SCRXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS GOVERNMENT MONEY MARKET SERIES: INSTITUTIONAL SHARES PS*	23337T409	SPMXX	No/Low Load	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS GOVT & AGENCY SECURITIES PORTFOLIO : DWS GOVT & AGENCY MONEY FUND	147539654	DTGXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS HEALTH AND WELLNESS FUND CLASS A	25159L620	SUHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS HEALTH AND WELLNESS FUND CLASS S	25159L588	SCHLX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS HEALTH AND WELLNESS FUND INSTL CLASS	25159L570	SUHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS HIGH INCOME FUND CLASS A	25155T668	KHYAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS HIGH INCOME FUND CLASS S	25155T106	KHYSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS HIGH INCOME FUND CLASS T	25155T312	KHYTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS HIGH INCOME FUND INSTL CLASS	25155T635	KHYIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS INTERMEDIATE TAX-FREE FUND CLASS A	25159H108	SZMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS INTERMEDIATE TAX-FREE FUND CLASS S	25159H405	SCMTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS INTERMEDIATE TAX-FREE FUND INSTITUTIONAL CLASS	25159H504	SZMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS INTERNATIONAL GROWTH FUND CLASS A	25156A775	SGQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS INTERNATIONAL GROWTH FUND CLASS S	25156A833	SCOBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS INTERNATIONAL GROWTH FUND INSTL CLASS	25156A700	SGQIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS LARGE CAP FOCUS GROWTH FUND CLASS A	25157M695	SGGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS LARGE CAP FOCUS GROWTH FUND CLASS S	25157M745	SCQGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS LARGE CAP FOCUS GROWTH FUND INSTITUTIONAL CLASS	25157M752	SGGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS LATIN AMERICA EQUITY FUND CLASS A	25156G756	SLANX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS LATIN AMERICA EQUITY FUND INSTITUTIONAL CLASS	25156G574	SLARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS LIMITED MATURITY QUALITY INCOME FD INV CL	25155T387	DLTVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS MANAGED MUNICIPAL BOND FUND CLASS A	25158T608	SMLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS MANAGED MUNICIPAL BOND FUND CLASS S	25158T848	SCMBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS MANAGED MUNICIPAL BOND FUND INSTITUTIONAL CLASS	25158T855	SMLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS MASSACHUSETTS TAX-FREE FUND CLASS A	25158X880	SQMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS MASSACHUSETTS TAX-FREE FUND CLASS S	25158X856	SCMAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS MMK PRIME SERIES: DWS CASH INVEST TRUST CLASS A	25159J203	DOAXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS MMK PRIME SERIES: DWS MONEY MARKET FUND	25159J104	KMMXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS MULTI-ASSET CONSERVATIVE ALLOCATION FUND CLASS A	25158W106	SPDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS MULTI-ASSET CONSERVATIVE ALLOCATION FUND CLASS S	25158W403	SPBAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS MULTI-ASSET MODERATE ALLOCATION FUND CLASS A	25158W833	PLUSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS MULTI-ASSET MODERATE ALLOCATION FUND CLASS S	25158W874	PPLSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS MULTI-ASSET GROWTH ALLOCATION FUND CLASS A	25158W783	SUPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS MULTI-ASSET GROWTH ALLOCATION FUND CLASS S	25158W825	SPGRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
DWS FUNDS	DWS NEW YORK TAX-FREE INCOME FUND CLASS A	25158X500	KNTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS NEW YORK TAX-FREE INCOME FUND CLASS S	25158X807	SNWVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREED GLOBAL INFRASTRUCTURE FUND CLASS T	25156A577	TOLTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS RREEF GLOBAL INFRASTRUCTURE FUND CLASS A	25156A874	TOLLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF GLOBAL INFRASTRUCTURE FUND CLASS S	25156A809	TOLSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF GLOBAL INFRASTRUCTURE FUND INSTITUTIONAL CLASS	25156A858	TOLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF GLOBAL REAL ESTATE SECURITIES FUND CLASS A	25159L109	RRGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF GLOBAL REAL ESTATE SECURITIES FUND CLASS S	25159L307	RRGTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF GLOBAL REAL ESTATE SECURITIES FUND CLASS T	25159L349	RRGUX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS RREEF GLOBAL REAL ESTATE SECURITIES FUND INSTL CLASS	25159L406	RRGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF MLP & ENERGY INFRASTRUCTURE FUND CLASS A	25159L489	DMPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF MLP & ENERGY INFRASTRUCTURE FUND CLASS S	25159L455	DMPXS	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF MLP & ENERGY INFRASTRUCTURE FUND INSTL CLASS	25159L463	DMPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF REAL ASSETS FUND CLASS A	25159K879	AAAAA	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF REAL ASSETS FUND CLASS R6	25159K713	AAAVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF REAL ASSETS FUND CLASS S	25159K804	AAASX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF REAL ASSETS FUND CLASS T	25159K671	AAAWX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS RREEF REAL ASSETS FUND INSTITUTIONAL CLASS	25159K705	AAAZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF REAL ESTATE SECURITIES FUND CLASS A	25159L505	RRRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF REAL ESTATE SECURITIES FUND CLASS S	25159L885	RRREX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS RREEF REAL ESTATE SECURITIES FUND CLASS T	25159L356	RRRTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS S&P 500 INDEX FUND CLASS A	25159R700	SXPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS S&P 500 INDEX FUND CLASS R6	25159R841	SXPBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS S&P 500 INDEX FUND CLASS S	25159R874	SCPIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SCIENCE AND TECHNOLOGY FUND CLASS A	25159L562	KTCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SCIENCE AND TECHNOLOGY FUND CLASS S	25159L539	KTC SX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SCIENCE AND TECHNOLOGY FUND INSTL CLASS	25159L521	KTCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SHORT DURATION FUND CLASS T	25155T288	PPITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS SHORT DURATION FUND CLASS A	25155T627	PPIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SHORT DURATION FUND CLASS S	25155T585	DBPIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SHORT DURATION FUND INSTL CLASS	25155T577	PPILX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SHORT DURATION HIGH INCOME FUND CLASS A	25155T247	DSHAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SHORT DURATION HIGH INCOME FUND CLASS S	25155T221	DSHSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SHORT DURATION HIGH INCOME FUND INSTL CLASS	25155T213	DSHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SHORT-TERM MUNICIPAL BOND FUND CLASS A	25158T863	SRMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SHORT-TERM MUNICIPAL BOND FUND CLASS S	25158T806	SRMSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SHORT-TERM MUNICIPAL BOND FUND INSTITUTIONAL CLASS	25158T830	MGSXM	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SMALL CAP CORE FUND CLASS A	25157M778	SZCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SMALL CAP CORE FUND CLASS S	25157M810	SZL CX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SMALL CAP CORE FUND CLASS T	25157M463	SZCTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS SMALL CAP CORE FUND INSTITUTIONAL CLASS	25157M521	SZCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SMALL CAP GROWTH FUND CLASS A	25157M885	SSDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SMALL CAP GROWTH FUND CLASS S	25157M604	SSDSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	25157M505	SSDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS STRATEGIC HIGH YIELD TAX-FREE FUND CLASS A	25158T103	NOTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS STRATEGIC HIGH YIELD TAX-FREE FUND CLASS S	25158T400	SHYTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS STRATEGIC HIGH YIELD TAX-FREE FUND INSTITUTIONAL CLASS	25158T509	NOTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS TAX CLASS EXEMPT PORTFOLIO: DWS TAX CLASS EXEMPT MONEY FUND	147539647	DTBXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS TAX-EXEMPT CASH INSTITUTIONAL SHARES	147539886	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS TAX-FREE MONEY FUND CLASS S	147539639	DTCCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS TOTAL RETURN BOND FUND CLASS A	25157W107	SZIXA	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS TOTAL RETURN BOND FUND CLASS S	25157W404	SCSBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS TOTAL RETURN BOND FUND INSTITUTIONAL CLASS	25157W503	SZIXI	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS TREASURY PORTFOLIO: DWS U.S. TREASURY MONEY FUND CLASS S	461473878	IUSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS U.S. MULTI CLASS FACTOR FUND CLASS R6	25159R775	DMFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS U.S. MULTI CLASS FACTOR FUND INSTL CLASS	25159R767	DMFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS WORLD DIVIDEND FUND CLASS A	25156G863	SERAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS WORLD DIVIDEND FUND CLASS S	25156G657	SCGEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	DWS WORLD DIVIDEND FUND CLASS T	25156G533	SERTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
DWS FUNDS	DWS WORLD DIVIDEND FUND INSTITUTIONAL CLASS	25156G665	SERNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	ICT TREASURY PORTFOLIO FUND	461473860	ITVXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
DWS FUNDS	ICT TREASURY PORTFOLIO FUND INSTITUTIONAL CLASS	461473209	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EAS CROW POINT FUNDS	EAS CROW POINT ALTERNATIVES FUND CLASS A	885572610	EASAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EAS CROW POINT FUNDS	EAS CROW POINT ALTERNATIVES FUND CLASS I	885572586	EASIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INT'L (CAYMAN) EMERGING MARKETS LOCAL FINCOME FUND CLASS N	G29163659	N/A	No/Low Load; Offshore	Initial : 5000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INT'L (CAYMAN) EMERGING MARKETS LOCAL INCOME FUND CLASS A (OFFSHORE)	G29163568	N/A	Load; Offshore	Initial : 5000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INT'L (CAYMAN) EMERGING MARKETS LOCAL INCOME FUND CLASS A2 (OFFSHORE)	G29163576	N/A	Load; Offshore	Initial : 5000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INT'L (CAYMAN) EMERGING MKTS LOCAL INCOME FUND CLASS N2 (OFFSHORE)	G29163667	N/A	No/Low Load; Offshore	Initial : 5000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INT'L (CAYMAN) FLOATING-RATE INC FD CL N2 (USD) (ACC) (OFFSHORE)	G29163626	N/A	No/Low Load; Offshore	Initial : 5000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INT'L (CAYMAN) FLOATING-RATE INCOME FD CL N (USD) (DIS) (OFFSHORE)	G29163618	N/A	No/Low Load; Offshore	Initial : 5000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INT'L (CAYMAN) FLOATING-RATE INCOME FD CL A (OFFSHORE)	G29163402	N/A	Load; Offshore	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INT'L (CAYMAN) FLOATING-RATE INCOME FD CL A2 (OFFSHORE)	G29163527	N/A	Load; Offshore	Initial : 5000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INT'L (CAYMAN) SHORT DURATION STRATEGIC INCOME FUND CL A2 (OFFSHORE)	G29163543	N/A	Load; Offshore	Initial : 5000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INT'L (CAYMAN) SHORT DURATION STRATEGIC INCOME FUND CL N2 (OFFSHORE)	G29163642	N/A	No/Low Load; Offshore	Initial : 5000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INT'L (CAYMAN) SHORT DURATION STRATEGIC INCOME FUND CLASS A (OFFSHORE)	G29163436	N/A	Load; Offshore	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.
Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or "Class A" funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
EATON VANCE (CAY) OFFSHORE	EATON VANCE INT'L (CAYMAN) SHORT DURATION STRATEGIC INCOME FUND CLASS N (OFFSHORE)	G29163634	N/A	No/Low Load; Offshore	Initial : 5000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INTERNATIONAL (CI) FLOATING-RATE INCOME FUND CLASS M	G2915Y181	N/A	No/Low Load; Offshore	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INTERNATIONAL FLOATING RATE INCOME FUND CL M2 (USD)	G2915Y199	N/A	No/Low Load; Offshore	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INTL SHORT DURATION STRATEGIC INCOME FD CL M (USD)	G29161141	N/A	No/Low Load; Offshore	Initial : 25000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE (CAY) OFFSHORE	EATON VANCE INTL SHORT DURATION STRATEGIC INCOME FD CL M2 (USD)	G29161158	N/A	No/Low Load; Offshore	Initial : 25000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE 1 TO 10 YEAR LADDERED CORPORATE BOND FUND CLASS A	27826X302	EACBX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE 1 TO 10 YEAR LADDERED CORPORATE BOND FUND CLASS I	27826X300	EICBX	No/Low Load	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE AMT- FREE MUNICIPAL INCOME FUND CLASS A	277911764	ETMBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE AMT- FREE MUNICIPAL INCOME FUND CLASS I	277911749	EVMBX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE ARIZONA MUNICIPAL INCOME FUND CLASS A	27826L645	ETAZX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE ATLANTA CAPITAL SELECT EQUITY FUND CLASS A	277902466	ESEX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE ATLANTA CAPITAL SELECT EQUITY FUND CLASS I	277902458	ESEIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE ATLANTA CAPITAL SELECT EQUITY FUND CLASS R6	277902185	ESERX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE ATLANTA CAPITAL SMALL-CAP FUND CLASS R	277902680	ERSMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
EATON VANCE FUNDS	EATON VANCE ATLANTA CAPITAL SMID-CAP FUND CLASS A	277902656	EAASX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
EATON VANCE FUNDS	EATON VANCE ATLANTA CAPITAL SMID-CAP FUND CLASS I	277902698	EISMX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
EATON VANCE FUNDS	EATON VANCE ATLANTA CAPITAL SMID-CAP FUND CLASS R6	277902235	ERASX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
EATON VANCE FUNDS	EATON VANCE AZ MUNICIPAL INCOME FUND CLASS I	27826Y688	EIAZX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE BALANCED FUND CLASS A	277905865	EVIFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE BALANCED FUND CLASS I	277905253	EIIFX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE BALANCED FUND CLASS R	277905147	ERIFX	Load	Initial : 1000.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE CA MUNICIPAL OPPORTUNITIES FUND CLASS A	27826L256	EACAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE CA MUNICIPAL OPPORTUNITIES FUND CLASS I	27826Y795	EICAX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE CONNECTICUT MUNI INCOME FUND CLASS A	27826L314	ETCTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE CONNECTICUT MUNI INCOME FUND CLASS I	27826Y787	EICTX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE CORE PLUS BOND FUND CLASS A	277923470	EBABX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE CORE PLUS BOND FUND CLASS I	277923454	EIBAX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE DIVIDEND BUILDER CLASS A	277905832	EVTMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE DIVIDEND BUILDER FUND CLASS I	277905634	EIUTX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE EMERGING & FRONTIER COUNTRIES EQUITY FUND CLASS A	27826A789	EACOX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE EMERGING & FRONTIER COUNTRIES EQUITY FUND CLASS I	27826A763	EICOX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE EMERGING MARKETS DEBT FUND CLASS I	27826A698	EIIDX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE EMERGING MARKETS DEBT OPPORTUNITIES FUND CLASS A	27827V204	EADOX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE EMERGING MARKETS DEBT OPPORTUNITIES FUND CLASS I	27827V402	EIDDX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE EMERGING MARKETS LOCAL INCOME FD CL A	277923694	EETAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE EMERGING MARKETS LOCAL INCOME FUND CLASS I	277923447	EETIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FLOATING RATE FUND (ADVISOR CLASS)	277911533	EARLX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FLOATING RATE FUND (INSTITUTIONAL SHARES)	277911491	EIBLX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FLOATING RATE FUND CLASS A	277911129	EBVLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FLOATING RATE HIGH INCOME FUND ADVISOR CLASS	277911574	EAFHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FLOATING RATE HIGH INCOME FUND CLASS A	277911137	EVFHX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FLOATING RATE HIGH INCOME INSTIT. CLASS	277911541	EIFHX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FLOATING-RATE ADVANTAGE FD ADV CL	277923678	EVFAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FLOATING-RATE ADVANTAGE FD CLASS I	277923637	EIFAX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FLOATING-RATE ADVANTAGE FUND CL A	277923660	EAFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FLOATING-RATE MUNICIPAL INCOME FUND CLASS A	27826H636	EXPLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FLOATING-RATE MUNICIPAL INCOME FUND CLASS I	27826H479	EILMX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FOCUSED GLOBAL OPPORTUNITIES FUND CLASS I	27830N306	EFQIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FOCUSED GLOBAL OPP FUND CLASS A	277902565	EAFGX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FOCUSED GROWTH OPP FUND CLASS I	277902540	EIFGX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FOCUSED VALUE OPPORTUNITIES FUND CLASS A	277902532	EAFVX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE FOCUSED VALUE OPPORTUNITIES FUND CLASS I	277902516	EIFVX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GEORGIA MUNICIPAL INCOME FUND CLASS A	27826L595	ETGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GEORGIA MUNICIPAL INCOME FUND CLASS I	27826Y779	EIGAX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GLOBAL BOND FUND CLASS A	277923710	EAIIX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GLOBAL BOND FUND CLASS I	277923231	EIIMX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GLOBAL INCOME BUILDER FUND CLASS I	277923843	EIDIIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GLOBAL MACRO ABSOLUTE RETURN ADV FUND CL A	277923280	EGRAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GLOBAL MACRO ABSOLUTE RETURN ADV FUND CL I	277923264	EGRIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND CLASS A	277923736	EAGMX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND CLASS I	277923728	EIGMX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND CLASS R	277923314	ERGMX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND CLASS R6	27831R108	EGMSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GOVERNMENT OPPORTUNITIES FUND CLASS A	277911103	EVGOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GOVERNMENT OPPORTUNITIES FUND CLASS I	277923587	EIGOX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GOVERNMENT OPPORTUNITIES FUND CLASS R	277911111	ERGOX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GREATER CHINA GROWTH FUND CLASS A	277902201	EVCGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GREATER CHINA GROWTH FUND CLASS I	277902649	EICGX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GREATER INDIA FUND CLASS A	277905501	ETGIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GREATER INDIA FUND CLASS I	277905394	EGIIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GROWTH FUND CLASS A	277905691	EALCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE GROWTH FUND CLASS I	277905527	ELCIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE HEXAVEST GLOBAL EQUITY FUND CLASS A	277902367	EHGAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE HEXAVEST GLOBAL EQUITY FUND CLASS I	277902342	EHGIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE HEXAVEST INTERNATIONAL EQUITY FUND CLASS A	277902334	EHIAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or "Class A" funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
EATON VANCE FUNDS	EATON VANCE HEXAVEST INTERNATIONAL EQUITY FUND CLASS I	277902318	EHIH	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE HIGH INCOME OPPORTUNITIES CLASS I	277923546	EIHH	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE HIGH INCOME OPPORTUNITIES FD CL A	277923405	ETHH	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE HIGH YIELD MUNICIPAL INCOME FUND CLASS A	27826M882	ETHYX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE HIGH YIELD MUNICIPAL INCOME FUND CLASS I	27826M841	EIHYX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE INCOME FUND OF BOSTON CLASS A	277907101	EIVBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE INCOME FUND OF BOSTON CLASS R	277907507	ERIBX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE INCOME FUND OF BOSTON CLASS R6	277907705	EIBRX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE INCOME FUND OF BOSTON INSTITUTIONAL	277907200	EIBIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE INTERNATIONAL SMALL CAP FUND CLASS A	27830N702	EILAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE INTERNATIONAL SMALL CAP FUND CLASS I	27830N884	EILUX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE INVESTMENT GRADE INCOME FUND CLASS A	277905436	EAGIX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE INVESTMENT GRADE INCOME FUND CLASS I	277905618	EIGIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE LARGE CAP VALUE FUND CLASS I	277905642	EILVX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE LARGE- CAP VALUE FUND CLASS R	277905659	ERSTX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE LARGE-CAP VALUE FUND CLASS A	277905808	EHSTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE LARGE-CAP VALUE FUND CLASS R6	277905212	ERLXV	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE MARYLAND MUNICIPAL INCOME FUND CLASS A	27826L579	ETMDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE MARYLAND MUNICIPAL INCOME FUND CLASS I	27826Y761	EIMDX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE MASSACHUSETTS MUNICIPAL INCOME FUND CLASS A	27826L561	ETMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE MASSACHUSETTS MUNICIPAL INCOME FUND CLASS I	27826L660	EIMAX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE MINNESOTA MUNICIPAL INCOME FUND CLASS A	27826L546	ETMNX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE MISSOURI MUNICIPAL INCOME FUND CLASS A	27826L520	ETMOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE MN MUNICIPAL INCOME FUND CLASS I	27826Y647	EIMNX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE MO MUNICIPAL INCOME FUND CLASS I	27826Y639	EIMOX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE MULTI-ASSET CREDIT FUND CLASS A	27826A102	EAMMX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE MULTI-STRATEGY CREDIT FUND INST CL	27826A300	EIAMX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE MULTISECTOR INCOME FUND CLASS A	277905246	EVBOX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
EATON VANCE FUNDS	EATON VANCE MULTISECTOR INCOME FUND CLASS I	277905220	EVBIH	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
EATON VANCE FUNDS	EATON VANCE MUNI OPPORTUNITIES FUND CLASS A	27826Y571	EMOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE MUNI OPPORTUNITIES FUND CLASS I	27826Y555	EMOIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE NATIONAL LIMITED MUNI INCOME FD CL I	27826H487	EINAX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE NATIONAL LTD MAT MUNICIPAL INCOME FUND CLASS A	27826H594	EXNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE NATIONAL MUNICIPAL INCOME FUND CLASS A	27826L330	EANAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE NATIONAL MUNICIPAL INCOME FUND CLASS I	27826L249	EIHMX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE NEW JERSEY MUNICIPAL INCOME FUND CLASS A	27826L298	ETNIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE NEW JERSEY MUNICIPAL INCOME FUND CLASS I	27826Y753	EINIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE NEW YORK MUNICIPAL INCOME FUND CLASS A	27826L322	ETNYX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE NEW YORK MUNICIPAL INCOME FUND CLASS I	27826Y746	EINYX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE NORTH CAROLINA MUNICIPAL INCOME FUND CLASS A	27826L470	ETNCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE NORTH CAROLINA MUNICIPAL INCOME FUND CLASS I	27826Y738	EINCX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE OHIO MUNICIPAL INCOME FUND CLASS A	27826L462	ETOHX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE OHIO MUNICIPAL INCOME FUND CLASS I	27826Y621	EIOHX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE OREGON MUNICIPAL INCOME FUND CLASS A	27826L454	ETORX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE OREGON MUNICIPAL INCOME FUND CLASS I	27826Y613	EIORX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE PARAMETRIC DIVIDEND INCOME FUND INVESTOR CLASS	27826A821	EAPDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE PARAMETRIC EMERGING MARKETS FUND CLASS R6	27826A797	EREMX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE PARAMETRIC INTL EQUITY FUND CLASS R	27826A110	ERISX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE PARAMETRIC SYSTEMATIC ALT RISK PREMIA FD INST CL	27830N850	ESATX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE PARAMETRIC VOL RISK PREMIUMDEF FD INSTITUTIONAL CL	27826A144	EIVPX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE PENNSYLVANIA MUNI INCOME FUND CLASS A	27826L280	ETPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE PENNSYLVANIA MUNICIPAL INCOME FUND CLASS I	27826Y696	EIPAX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE REAL ESTATE FUND CLASS A	277905311	EAREX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE REAL ESTATE FUND CLASS I	277905626	EIREX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE RICHARD BERNSTEIN ALL ASSET STRATEGY FUND CL A	277902490	EARAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE RICHARD BERNSTEIN ALL ASSET STRATEGY FUND CLASS I	277902474	EIRAX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE RICHARD BERNSTEIN EQUITY STRAT FUND CLASS A	277902599	ERBAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE RICHARD BERNSTEIN EQUITY STRAT FUND CLASS I	277902573	ERBIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SHORT DURATION GOVERNMENT INCOME FUND CLASS A	277911160	EALDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SHORT DURATION GOVERNMENT INCOME FUND CLASS I	277923561	EILDY	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SHORT DURATION HIGH INCOME FUND CLASS A	27826A854	ESHAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SHORT DURATION HIGH INCOME FUND CLASS I	27826A839	ESHIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SHORT DURATION STRATEGIC INCOME FUND CLASS A	277911772	ETSIY	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SHORT DURATION STRATEGIC INCOME FUND CLASS I	277923579	ESIIY	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SHORT DURATION STRATEGIC INCOME FUND CLASS R	277923553	ERSIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SMALL-CAP FUND CLASS A	277905790	ETEGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SMALL-CAP FUND CLASS I	277905444	EISGX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SOUTH CAROLINA MUNICIPAL INCOME FUND CLASS A	27826L355	EASCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SOUTH CAROLINA MUNICIPAL INCOME FUND CLASS I	27826Y720	EISCX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SPECIAL EQUITIES FUND CL A	277905105	EVSEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE SPECIAL EQUITIES FUND CLASS I	277905261	EISEX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE STOCK FUND CLASS A	277911285	EAXRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE STOCK FUND CLASS I	277923744	EIERX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TABS 1-TO-10 YEAR LADDERED MUNICIPAL BOND FUND CLASS A	27826M684	EALBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TABS 1-TO-10 YEAR LADDERED MUNICIPAL BOND FUND CLASS I	27826M635	EILBX	No/Low Load	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
EATON VANCE FUNDS	EATON VANCE TABS 10-TO-20 YEAR LADDERED MUNICIPAL BOND FUND CLASS A	27826M676	EATTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TABS 10-TO-20 YEAR LADDERED MUNICIPAL BOND FUND CLASS I	27826M643	EITTX	No/Low Load	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TABS INTERMEDIATE-TERM MUNICIPAL BOND FUND CLASS A	27826M726	EITAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TABS INTERMEDIATE-TERM MUNICIPAL BOND FUND CLASS I	27826M692	ETIIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TABS SHORT-TERM MUNICIPAL BOND FUND CLASS A	27826M833	EABSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TABS SHORT-TERM MUNICIPAL BOND FUND CLASS I	27826M767	EIBSX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TAX MANAGED GLOBAL DIVIDEND INCOME FUND CLASS A	277923108	EADIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TAX MANAGED GLOBAL DIVIDEND INCOME FUND CLASS I	277923686	EIDIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TAX MANAGED GROWTH FUND 1.1 CLASS A	277911830	ETTGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
EATON VANCE FUNDS	EATON VANCE TAX MANAGED GROWTH FUND 1.2 CLASS A	277911483	EXTGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TAX MANAGED GROWTH FUND 1.2 INSTITUTIONAL	277911459	EITGX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TAX MANAGED SMALL-CAP FUND CLASS A	277911814	ETMGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TAX MANAGED VALUE FD CLASS A	277911657	EATVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TAX MANAGED GROWTH FD INSTITUTIONAL	277911681	EITMX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
EATON VANCE FUNDS	EATON VANCE TAX- MANAGED EQUITY ASSET ALLOC CLASS A	277911194	EAEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TAX- MANAGED MULTI-CAP GROWTH FUND CLASS A	277911616	EACPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TAX-MANAGED EQUITY ASSET ALLOCATION FUND CLASS I	27826A755	EIEAX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TAX-MANAGED SMALL-CAP FUND CLASS I	277923538	EIMGX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE TAX-MANAGED VALUE FUND CLASS I	277923629	EITVX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE VIRGINIA MUNICIPAL INCOME FUND CLASS A	27826L397	ETVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE VIRGINIA MUNICIPAL INCOME FUND CLASS I	27826V712	EVAIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE WORLD WIDE HEALTH SCIENCES FUND CLASS A	277902813	ETHSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE WORLDWIDE HEALTH SCIENCE FUND CLASS R	277902672	ERHSX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE WORLDWIDE HEALTH SCIENCES FUND CL I	277902623	EIHSX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE-ATLANTA CAPITAL FOCUSED GROWTH FUND CLASS A	277902664	EALAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EATON VANCE-ATLANTA CAPITAL FOCUSED GROWTH FUND CLASS I	277902722	EILGX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EV GLOBAL INCOME BUILDER FUND CLASS A	277923876	EADIX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EV GLOBAL INCOME BUILDER FUND CLASS R	277923835	EDIRX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EV GLOBAL SMALL-CAP EQUITY FUND CLASS A	277911236	ESVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EV GLOBAL SMALL-CAP EQUITY FUND CLASS I	277923512	ESVIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EV NEW YORK MUNICIPAL OPPORTUNITIES FD CL A	27826H560	EKNYX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EV NEW YORK MUNICIPAL OPPORTUNITIES FUND CLASS I	27826H446	ENVIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EV SHORT DURATION INFLATION PROTECTION INCOME FUND CLASS A	277905378	EARRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EV SHORT DURATION INFLATION PROTECTION INCOME FUND CLASS I	277905352	EIRRX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EV SHORT DURATION MUNICIPAL OPPORTUNITIES FUND CLASS A	27826H628	EXMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EV SHORT DURATION MUNICIPAL OPPORTUNITIES FUND CLASS I	27826H461	EMAIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EV TABS 5 TO 15 YEAR LADDERED MUNI BOND FUND CLASS A	27826M759	EALTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	EV TABS 5 TO 15 YEAR LADDERED MUNI BOND FUND CLASS I	27826M734	EILTX	No/Low Load	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	PARAMETRIC COMMODITY STRATEGY FD INSTITUTIONAL CL	277923223	EIPCX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	PARAMETRIC COMMODITY STRATEGY FUND INVESTOR CLASS	277923132	EAPCX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	PARAMETRIC DIVIDEND INCOME FUND INST CLASS	27826A813	EIPDX	No/Low Load	Initial : 50000.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	PARAMETRIC EMERGING MARKETS FUND INSTITUTIONAL CLASS	277923751	EIEMX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	PARAMETRIC EMERGING MARKETS FUND INVESTOR CLASS	277923777	EAEEMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	PARAMETRIC INTERNATIONAL EQUITY FUND INSTITUTIONAL CLASS	277923389	EIISX	No/Low Load	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	PARAMETRIC INTERNATIONAL EQUITY FUND INVESTOR CLASS	277923413	EAIISX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	PARAMETRIC TAX MANAGED INT'L EQUITY FUND INVESTOR CLASS	277911731	ETIGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	PARAMETRIC TAX-MANAGED EMERGING MARKETS FD INSTITUTIONAL CLASS	277907606	EITEX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EATON VANCE FUNDS	PARAMETRIC TAX-MANAGED INT'L EQUITY FUND INSTITUTIONAL CLASS	277923611	EITIX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EMERALD FUNDS	EMERALD BANKING & FINANCE FUND CLASS A	317609246	HSSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EMERALD FUNDS	EMERALD BANKING & FINANCE FUND INVESTOR CLASS	317609220	FFBFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EMERALD FUNDS	EMERALD BANKING AND FINANCE FUND INSTL CLASS	317609212	HSSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EMERALD FUNDS	EMERALD GROWTH FUND CLASS A	317609287	HSPGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
EMERALD FUNDS	EMERALD GROWTH FUND INSTITUTIONAL CLASS	317609253	FGROX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
EMERALD FUNDS	EMERALD GROWTH FUND INVESTOR CLASS	317609261	FFGRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
EMERALD FUNDS	EMERALD INSIGHTS FUND CLASS A	31761R831	EFCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EMERALD FUNDS	EMERALD INSIGHTS FUND INSTITUTIONAL CLASS	31761R815	EFCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EMERALD FUNDS	EMERALD INSIGHTS FUND INVESTOR CLASS	31761R799	EFCNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EMERALD FUNDS	EMERALD SMALL CAP VALUE FUND CLASS A	31761R682	ELASX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EMERALD FUNDS	EMERALD SMALL CAP VALUE FUND INSTITUTIONAL CLASS	31761R666	LSRYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EMERALD FUNDS	EMERALD SMALL CAP VALUE FUND INVESTOR CLASS	31761R658	LSRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EMPIRIC FUNDS	EMPIRIC 2500 FUND CLASS A	62827M862	EMCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EQUINOX FUNDS	EQUINOX AMPERSAND STRATEGY FUND CLASS A	29446A785	EEHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EQUINOX FUNDS	EQUINOX AMPERSAND STRATEGY FUND CLASS I	29446A777	EEHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EQUINOX FUNDS	EQUINOX ASPECT CORE DIVERSIFIED STRATEGY FD CL A	29446A694	EQAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EQUINOX FUNDS	EQUINOX ASPECT CORE DIVERSIFIED STRATEGY FUND CLASS I	29446A728	EQAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EQUINOX FUNDS	EQUINOX CHESAPEAKE STRATEGY FUND CLASS A	29446A678	ECHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EQUINOX FUNDS	EQUINOX CHESAPEAKE STRATEGY FUND CLASS I	29446A603	EQCHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EQUINOX FUNDS	EQUINOX MUTUALHEDGE FUTURES STRATEGY FUND CLASS A	66537V682	MHFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EQUINOX FUNDS	EQUINOX MUTUALHEDGE FUTURES STRATEGY FUND CLASS I	66537X555	MHFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EQUINOX IPM/CAMPBELL FUNDS	EQUINOX CAMPBELL STRATEGY FUND CL P	29446A793	EBSPX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EQUINOX IPM/CAMPBELL FUNDS	EQUINOX CAMPBELL STRATEGY FUND CLASS A	29446A827	EBSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EQUINOX IPM/CAMPBELL FUNDS	EQUINOX CAMPBELL STRATEGY FUND CLASS I	29446A819	EBSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EQUINOX IPM/CAMPBELL FUNDS	EQUINOX IPM SYSTEMATIC MACRO FUND CLASS I	29446A710	EQIPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE DIVIDEND OPPORTUNITIES FUND CLASS A	62827P618	ETADX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE DIVIDEND OPPORTUNITIES FUND CLASS I	62827P584	ETIDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
EVENTIDE FUNDS	EVENTIDE DIVIDEND OPPORTUNITIES FUND CLASS N	'62827P576	ETNDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE GILEAD FUND CLASS A	'62827L674	ETAGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE GILEAD FUND CLASS N	'62827L682	ETGLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE GILEAD INSTITUTIONAL CLASS	'62827L658	ETILX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE HEALTHCARE AND LIFE SCIENCES FUND CLASS A	'62827M409	ETAHX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE HEALTHCARE AND LIFE SCIENCES FUND CLASS I	'62827M706	ETHX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE HEALTHCARE AND LIFE SCIENCES FUND CLASS N	'62827M607	ETNHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE LIMITED TERM BOND FUND CLASS A	'62827P469	ETABX	Load	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE LIMITED TERM BONF FUND CLASS I	'62827P493	ETIBX	No/Low Load	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE LIMITED-TERM BOND FUND CLASS N	'62827P485	ETNBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE MULTI-ASSET INCOME FUND CLASS A	'62827P105	ETAMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE MULTI-ASSET INCOME FUND CLASS I	'62827P303	ETIMX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVENTIDE FUNDS	EVENTIDE MULTI-ASSET INCOME FUND CLASS N	'62827P402	ETINMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVERMORE FUNDS	EVERMORE GLOBAL VALUE FUN INVESTOR CLASS	'300397106	EVGBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
EVERMORE FUNDS	EVERMORE GLOBAL VALUE INSTITUTIONAL CLASS	'300397122	EVGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FAM FUNDS	FAM DIVIDEND FOCUS FUND	'314465204	FAMEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FAM FUNDS	FAM SMALL CAP FUND	'314465501	FAMFX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FAM FUNDS	FAM SMALL CAP FUND INSTITUTIONAL CLASS	'314465600	FAMDX	No/Low Load; FundVest Institutional	Initial : 500000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FAM FUNDS	FAM VALUE FUND	'314465105	FAMVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FAM FUNDS	FAM VALUE FUND INSTITUTIONAL CLASS	'314465709	FAMWX	No/Low Load	Initial : 500000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED ADJUSTABLE RATE SECURITIES FUND CLASS IS	'314082306	FEUNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED ADJUSTABLE RATE SECURITIES FUND CLASS SS	'314082108	FEUGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED BOND FUND CLASS A	'31420F103	FDBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED BOND FUND CLASS F	'31420F400	ISHIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED BOND FUND CLASS IS	'31420F509	FDBIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED CA MUNI CASH FUND INSTL SERVICE SHARES	'60934N351	CACXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED CALI MUNICIPAL CASH TRUST FD CAPITAL CL	'608919502	CCXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED CALI MUNICIPAL CASH TRUST FD CASH SERIES	'608919403	CCSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED CALI MUNICIPAL CASH TRUST FD CLASS WS	'60934N369	CAIXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED CALIFORNIA MUN CASH FUND II	'60934N179	CALXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED CAPITAL INCOME FUND CLASS A	'31420C878	CAPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED CAPITAL INCOME FUND CLASS F	'31420C845	CAPFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED CAPITAL INCOME FUND CLASS IS	'31420C621	CAPSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED CLOVER SMALL VALUE FUND CLASS A	'314172289	VSFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED CLOVER SMALL VALUE FUND INSTITUTIONAL CLASS	'314172263	VSFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED CLOVER VALUE FUND CLASS R	'314209503	QRLVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED CORPORATE BOND STRATEGY PORTFOLIO FUND CL A	'31421P100	FCSPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED EMERGING MARKET DEBT FUND CLASS A	'31428U771	IHXAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED EMERGING MARKETS DEBT FUND CLASS IS	'31428U615	EMDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED EQUITY ADVANTAGE FUND CLASS A	'314197500	FEKAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED EQUITY ADVANTAGE FUND CLASS IS	'314197609	FEKIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED EQUITY INCOME FUND CLASS A	'313915100	LEIFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED EQUITY INCOME FUND CLASS F	'313915407	LFEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED EQUITY INCOME FUND CLASS IS	'313915506	LEISX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED EQUITY INCOME FUND; INC. CLASS R	'313915605	FDERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED FLOATING RATE STRATEGIC INCOME FD CL IS	'31420C670	FFRSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED FLOATING RATE STRATEGIC INCOME FUND CLASS A	'31420C647	FRSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED FLOATING RATE STRATEGIC INCOME FUND CLASS R6	'31420C571	FFRLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED FUND FOR U S GOVERNMENT SEC CLASS A	'31420C704	FUSGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GA TAX-FREE MUNI FUND	'60934N328	GAMXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED GLOBAL ALLOCATION FUND CLASS A	'314183104	FSTBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GLOBAL ALLOCATION FUND INSTITUTIONAL SHARES	'314183500	SBFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GLOBAL STRATEGIC VALUE DIVIDEND FUND CLASS A	'31421N865	GVDSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GLOBAL STRATEGIC VALUE DIVIDEND FUND CLASS IS	'31421N840	GVDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GLOBAL TOTAL RETURN BOND FUND CLASS A	'31420G408	FTIIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GLOBAL TOTAL RETURN BOND FUND CLASS IS	'31420G879	FTBIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOV'T OBLIGATIONS TAX MANAGED FUND CL IS	'60934N856	GOTXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOV'T ULTRASHORT DURATION FUND CL A	'31420B706	FGUAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOV'T ULTRASHORT DURATION FUND IS CLASS	'31420B888	FGUSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOV'T ULTRASHORT DURATION FUND SS CLASS	'31420B805	FEUSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVERNMENT INCOME SECURITIES FUND CLASS A	'313912206	FGOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVERNMENT INCOME SECURITIES FUND CLASS F	'313912107	FGOIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVERNMENT INCOME TRUST FUND CLASS IS	'314199100	FICMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVERNMENT INCOME TRUST FUND CLASS SS	'314199209	FITSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVERNMENT OBLIGATIONS FD IC	'608919809	GOCXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVERNMENT OBLIGATIONS FUND PREMIER CLASS	'608919718	GOFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVERNMENT OBLIGATIONS TAX MANAGED FD CL AS	'608919494	GOAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVERNMENT RESERVES FUND CLASS A	'608919544	GRAXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVERNMENT RESERVES FUND CLASS F	'608919510	GRGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVERNMENT ULTRA SHORT DURATION FUND CLASS R6	'31420B854	FGULX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVT OBLIGATIONS FUND CLASS SS	'60934N807	GOSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVT OBLIGATIONS MONEY MARKET FUND	'60934N104	GOIXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED GOVT OBLIGATIONS TAX MANAGED FUND (SERVICE SHARES)	'60934N849	GTSSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED HERMES GLOBAL EQUITY FUND CLASS IS	'31423A705	FHGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED HERMES GLOBAL SMALL CAP FUND CLASS IS	'31423A861	FHSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FEDERATED FUNDS	FEDERATED HERMES SDG ENGAGEMENT EQUITY FUND CLASS IS	'31423A309	FHESX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED HIGH INCOME BOND FUND INC. CLASS IS	'314195405	FHISX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED HIGH YIELD TRUST FUND CLASS A	'314197302	FHYAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED HIGH YIELD TRUST FUND CLASS IS	'314197203	FHTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED HIGH YIELD TRUST FUND CLASS R6	'314197807	FHYLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED HIGH YIELD TRUST SS	'314197104	FHYTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED HIGH- YIELD STRATEGY PORTFOLIO CLASS A	'31421P209	FHYSX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED HIGH-INCOME BOND FUND CLASS A	'314195108	FHIIIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INSTITUTIONAL HIGH YIELD BOND FUND	'31420B300	FHIBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INSTITUTIONAL HIGH YIELD BOND FUND CLASS R6	'31420B847	FHILX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INSTITUTIONAL PRIME VALUE OBLIGATIONS FUND CLASS CAP	'60934N567	PVCCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INSTITUTIONAL PRIME VALUE OBLIGATIONS FUND CLASS IS	'60934N563	PVOXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INSTITUTIONAL PRIME VALUE OBLIGATIONS FUND CLASS SS	'60934N575	PVSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INSTITUTIONAL TAX- FREE CASH TRUST CLASS IS	'608919486	FFTXC	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INSTITUTIONAL TAX-FREE CASH TRUST FUND PREMIER CLASS	'60934N666	FTFXC	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTL BOND STRATEGY PORTFOLIO CLASS A	'31421P308	FIBPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTL STRATEGIC VALUE DIVIDEND FUND CL A	'314172388	IVFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTL STRATEGIC VALUE DIVIDEND FUND CL IS	'314172362	IVFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTERMEDIATE CORP BOND FUND CL IS	'31420C407	FIIFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTERMEDIATE CORP BOND FUND CLASS SS	'31420C506	INISX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTERMEDIATE MUNICIPAL TRUST FUND CLASS IS	'458810603	FIMYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTERMEDIATE MUNICIPAL TRUST FUND CLASS SS	'458810108	FIMTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO	'31421P605	FIDPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTERNATIONAL LEADERS FUND CLASS A	'31428U847	FGFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTERNATIONAL LEADERS FUND CLASS R	'31428U599	FGFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTERNATIONAL LEADERS FUND CLASS R6 SHARES	'31428U581	FGRSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTERNATIONAL LEADERS FUND INST CL	'31428U623	FGFLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTERNATIONAL SMALL MID COMPANY FD CL A CLASS A	'31428U748	ISACX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTERNATIONAL STRATEGIC VALUE DIVIDEND FD CL R6	'31421N824	IVFLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED INTL SMALL-MID COMPANY FD CLASS IS	'31428U631	ISICX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED KAUFMANN SMALL-CAP FUND CLASS A	'314172636	FKASX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED KAUFMANN FUND CLASS A	'314172677	KAUAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED KAUFMANN FUND CLASS IS	'31421N873	KAUIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED KAUFMANN FUND CLASS R	'314172644	KAUFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED KAUFMANN LARGE CAP FUND CLASS A	'314172446	KLCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED KAUFMANN LARGE CAP FUND CLASS IS	'314172412	KLCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED KAUFMANN LARGE CAP FUND CLASS R	'314172420	KLCCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED KAUFMANN SMALL CAP FUND CLASS IS	'31421N402	FKAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED KAUFMANN SMALL CAP FUND CLASS R	'314172537	FKKSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED KAUFMANN SMALL CAP FUND CLASS R6	'31421N683	FKALX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MA MUNICIPAL CASH TRUST FD CASH SERIES	'608919882	FMCXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED MANAGED VOLATILITY STRATEGY PORTFOLIO	'31421P506	FMVFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MASS MUNICIPAL CASH TRUST INSTL SERVICE SHARES	'60934N518	MMCCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED MAX CAP INDEX FUND CLASS R	'31420E809	FMKXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MAX-CAP FUND (INSTITUTIONAL SERVICE SHARES)	'31420E403	FMSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MAX-CAP INDEX FUND CLASS IS	'31420E106	FISPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT ALL CAP CORE FD CL A	'31421R106	QAACX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT ALL CAP CORE FUND CL IS	'31421R304	QIACX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT BALANCED FD CL A	'31421R841	QAABX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT BALANCED FUND CLASS IS	'31421R825	QIBGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT LARGE CAP GROWTH FUND CL A	'31421R700	QALGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT LARGE CAP GROWTH FUND CL IS	'31421R882	QILGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT LARGE CAP VALUE FUND CLASS A	'314209206	FSTRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT LARGE CAP VALUE FUND CLASS IS	'314209701	FMSTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT LARGE CAP VALUE FUND CLASS SS	'314209800	FSTXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT MID CAP GROWTH FUND CL A	'314172107	FGSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT MID CAP GROWTH FUND CL IS	'314172198	FGSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT MID CAP GROWTH FUND CLASS R6	'314172529	FGSKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED MDT SMALL CAP CORE FUND CL IS	'31421R783	QISCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT SMALL CAP CORE FUND CLASS A	'31421R817	QASCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT SMALL CAP CORE FUND CLASS R6	'31421R627	QLSCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT SMALL CAP GROWTH FUND CL A	'31421R775	QASGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT SMALL CAP GROWTH FUND CL IS	'31421R759	QISGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MDT SMALL CAP GROWTH FUND CLASS R6	'31421R619	QLSGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MICHIGAN INTERM MUNI INCOME FUND CLASS A	'313923302	MMIFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MID-CAP INDEX FUND	'31420E205	FMDCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MID-CAP INDEX FUND CLASS IS	'31420E882	FMCRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MORTGAGE FUND	'31428Q804	FGFSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MORTGAGE FUND (INSTITUTIONAL SHARES)	'31428Q887	FGFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MORTGAGE STRATEGY PORTFOLIO CLASS A	'31421P407	FMBPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MUNI & STOCK ADVANTAGE FUND CLASS A	'31420C837	FMUAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MUNI AND STOCK ADVANTAGE FUND CLASS F	'31420C720	FMUFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MUNI AND STOCK ADVANTAGE FUND INSTITUTIONAL CLASS	'31420C654	FMUIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MUNI OBLIGATIONS FUND CLASS WS	'60934N658	MOFXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED MUNICIPAL BOND FUND CLASS A	'313913105	LMSFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FEDERATED FUNDS	FEDERATED MUNICIPAL BOND FUND CLASS F	'313913402	LMFFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MUNICIPAL BOND FUND INSTITUTIONAL CLASS	'313913600	LMBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MUNICIPAL HIGH YIELD ADVANTAGE FD CL IS	'313923815	FMYIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MUNICIPAL HIGH YIELD ADVANTAGE FUND CL A	'313923864	FMOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MUNICIPAL HIGH YIELD ADVANTAGE FUND CL F	'313923831	FHTFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MUNICIPAL OBLIGATION FUND SERVICE SHARES	'60934N641	MOSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED MUNICIPAL OBLIGATIONS FUND CASH SERIES	'608919650	MFSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MUNICIPAL OBLIGATIONS FUND CLASS CAP	'60934N633	MFCXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED MUNICIPAL ULTRASHORT FUND CL A	'31417P866	FMUUX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED MUNICIPAL ULTRASHORT FUND CLASS IS	'31417P858	FMUSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED NEW YORK MUNI CASH TRUST II	'60934N310	NYCXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED NEW YORK MUNI CASH TRUST INST. SVC SHARES	'60934N294	FNTXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED OHIO MUNICIPAL INCOME FUND CLASS A	'313923823	OMIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED OHIO MUNICIPAL INCOME FUND CLASS F	'313923609	OMIFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED PA MUNI CASH TRUST CLASS SS	'60934N542	FPAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED PA MUNICIPAL CASH TRUST FUND CLASS WS	'60934N534	PAMXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED PA MUNICIPAL INCOME FUND CLASS A	'313923708	PAMFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED PRIME CASH OBLIGATIONS FD INST'L CLASS SS	'60934N617	PRCXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED PRIME CASH OBLIGATIONS FUND CLASS AS	'608919627	PTAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED PRIME CASH OBLIGATIONS FUND CLASS CAP	'60934N591	PCCXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED PRIME CASH OBLIGATIONS FUND CLASS CII	'608919593	PCDXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED PRIME CASH OBLIGATIONS FUND CLASS TR	'608919619	PTTXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED PRIME CASH OBLIGATIONS FUND CLASS WS	'60934N625	PCOXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED PRUDENT BEAR FUND CLASS A	'31421N709	BEARX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED PRUDENT BEAR FUND CLASS IS	'31421N501	PBRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED REAL RETURN BOND FUND CLASS A	'31420C779	RRFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED REAL RETURN BOND FUND CLASS IS	'31420C753	RRFAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED SHORT -TERM INCOME FUND CLASS R6	'31420C563	FSILX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED SHORT INTERMEDIATE TOTAL RETURN BOND FD CL IS	'31420B607	FGCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED SHORT INTERMEDIATE TOTAL RETURN BOND FUND CLASS A	'31420B870	FGCAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED SHORT TERM INCOME FUND CLASS A	'31420C795	FTIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED SHORT- INTERMEDIATE DURATION MUNI TRUST FUND CLASS A	'313907305	FMTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED SHORT- INTERMEDIATE DURATION MUNI TRUST FUND INST CL	'313907107	FSHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED SHORT- INTERMEDIATE DURATION MUNI TRUST FUND SERVICE CL	'313907206	FSHSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED SHORT- INTERMEDIATE TOTAL RETURN BOND FUND CLASS SS	'31420B508	FGCSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED SHORT-TERM INCOME FUND CLASS IS	'31420C787	FSTYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED SHORT-TERM INCOME FUND CLASS SS	'31420C209	FSTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED STRATEGIC INCOME FUND CLASS A	'31417P502	STIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED STRATEGIC INCOME FUND CLASS F	'31417P809	STFSX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED STRATEGIC INCOME FUND CLASS R6	'31417P833	STILX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED STRATEGIC INCOME FUND INSTL CLASS	'31417P841	STISX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED STRATEGIC VALUE DIVIDEND FUND CL A	'314172586	SVAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED STRATEGIC VALUE DIVIDEND FUND CL IS	'314172560	SVAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED STRATEGIC VALUE DIVIDEND FUND CLASS R6	'31421N881	SVALX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED TAX FREE OBLIGATIONS FUND CLASS WS	'60934N401	TBIXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED TAX-FREE OBLIGATIONS FUND CLASS SS	'60934N880	TBSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED TOTAL RETURN BD FD CL R6	'31428Q739	FTRLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED TOTAL RETURN BOND FUND CLASS A	'31428Q820	TLRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED TOTAL RETURN BOND FUND CLASS R	'31428Q770	FTRKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED TOTAL RETURN BOND FUND CLASS SS	'31428Q507	FTRFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED TOTAL-RETURN BOND FUND (INSTITUTIONAL SHARES)	'31428Q101	FTRBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED TOTAL-RETURN U.S. GOVERNMENT BOND FUND (INST SHARES)	'31429A105	FTRGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED TOTAL-RETURN U.S. GOVT BOND FUND (INST SERVICE SHRS)	'31429A204	FTGSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED TREASURY OBLIGATIONS FUND CLASS AS	'608919726	TOAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED TREASURY OBLIGATIONS FUND CLASS SS	'60934N872	TOSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED TREASURY OBLIGATIONS FUND IS SHARES	'60934N500	TOIXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED TRUST FOR U.S. TREASURY OBLIGATIONS FUND	'608919551	TTIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED TRUST FOR U.S. TREASURY OBLIGATIONS FUND	'60934N799	TTOXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED U.S. GOVT SECURITIES FUND (1-3 YEARS INST)	'31428M209	FSGIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED U.S. GOVT SECURITIES FUND (1-3 YEARS)	'31428M100	FSGVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED U.S. GOVT SECURITIES FUND (2-5 YEARS INST)	'31428P202	FIGIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED U.S. GOVT SECURITIES FUND (2-5 YEARS)	'31428P103	FIGTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED U.S. TREASURY CASH RESERVES FD INST CL	'60934N682	UTIXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED U.S. TREASURY CASH RESERVES FUND (SERVICE SHARES)	'60934N674	TISXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED ULTRA SHORT BOND FUND CLASS A	'31428Q762	FULAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED ULTRA SHORT BOND FUND INSTITUTIONAL SHARES	'31428Q747	FULIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED ULTRA SHORT BOND FUND CLASS SS	'31428Q754	FULBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FEDERATED FUNDS	FEDERATED VIRGINIA MUNI CASH TRUST SERVICE SHARES	'60934N245	VACXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FEDERATED FUNDS	FEDERATED VIRGINIA MUNICIPAL CASH TRUST CS	'608919825	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY 500 INDEX FUND	'315911750	FXAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM 2065 FUND CL A	'315796821	FDVFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM 2065 FUND CL M	'315796771	FDVFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2005 FUND CL A	'315794487	FHAGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2005 FUND CL I	'315794453	FHADX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2005 FUND CL M	'315794479	FHAFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2010 FUND CL A	'315794438	FHABX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2010 FUND CL I	'315794396	FJAWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2010 FUND CL M	'315794420	FJAZZ	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2015 FUND CL A	'315794370	FJAUJ	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2015 FUND CL I	'315794347	FJQXJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2015 FUND CL M	'315794362	FJATX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2020 FUND CL A	'315794321	FJAOX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2020 FUND CL I	'315794289	FJAJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2020 FUND CL M	'315794313	FJANX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2025 FUND CL A	'315794263	FJAHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2025 FUND CL M	'315794255	FJAGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2030 FUND CL A	'315794214	FJAMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2030 FUND CL M	'315794198	FTYJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2035 FUND CL A	'315795104	FHJGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2035 FUND CL I	'315795401	FHGDJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2035 FUND CL M	'315795203	FHBCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2040 FUND CL A	'315795609	FHDEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2040 FUND CL I	'315795880	FHJFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2040 FUND CL M	'315795708	FHOEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2045 FUND CL A	'315795864	FHGFJ	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2045 FUND CL M	'315795856	FHEFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2050 FUND CL A	'315795815	FHKJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2050 FUND CL M	'315795799	FHYEJ	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2050 FUND CLASS I	'315795773	FHWEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2055 FUND CL A	'315795757	FHUEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2055 FUND CL I	'315795724	FHOEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2055 FUND CL M	'315795740	FHTEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2060 FUND CL A	'315795690	FHNEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2060 FUND CL I	'315795666	FHKEX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2060 FUND CL M	'315795682	FHMEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2065 CL A	'315796722	FAZAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2065 CL I	'315796680	FAFXJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2065 CL M	'315796714	FAXEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND INC FUND CL A	'315794545	FHAMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND INC FUND CL I	'315794511	FHAJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND INC FUND CL M	'315794537	FHALX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2025 FUND CL I	'315794230	FJADJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2030 FUND CL I	'315794172	FJEFJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADV FREEDOM BLEND 2045 FUND CL I	'315795831	FHCFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVANTAGE TOTAL INTERNATIONAL EQUITY FUND CLASS M	'315910331	FTTEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR (FOCUS) FINANCIAL SERVICES CLASS A	'315918813	FADFJ	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR (FOCUS) FINANCIAL SERVICES CLASS M	'315918797	FAFSX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR (FOCUS) FINANCIAL SERVICES FUND CLASS I	'315918789	FFSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR (FOCUS) HEALTH CARE CLASS A	'315918847	FACDJ	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR (FOCUS) HEALTH CARE CLASS M	'315918839	FACTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR (FOCUS) HEALTH CARE FUND CLASS I	'315918821	FHCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR (FOCUS) TECHNOLOGY CLASS A	'315918771	FADTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR (FOCUS) TECHNOLOGY CLASS M	'315918763	FATEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR (FOCUS) TECHNOLOGY FUND CLASS I	'315918755	FATIX	No/Low Load	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 30% FUND CLASS A	'316069715	FTAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 20% FUND CLASS A	'316069806	FTAWX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 20% FUND CLASS I	'316069855	FTIWX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 20% FUND CLASS M	'316069863	FTDWX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 20% FUND CLASS Z	'316069418	FIKVV	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 30% FUND CLASS I	'316069665	FTINX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 30% FUND CLASS M	'316069699	FTTNX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 30% FUND CLASS Z	'316069392	FIKWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 40% FUND CLASS A	'316069640	FFNAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 40% FUND CLASS I	'316069590	FFNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 40% FUND CLASS M	'316069632	FFNTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 40% FUND CLASS Z	'316069384	FIKYY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 50% FUND CLASS A	'316069848	FFAMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 50% FUND CLASS I	'316069798	FFIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 50% FUND CLASS M	'316069814	FFTMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 50% FUND CLASS Z	'316069376	FIKZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 60% FUND CLASS A	'316069574	FSAXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 60% FUND CLASS I	'316069533	FSNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 60% FUND CLASS M	'316069566	FSATX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 60% FUND CLASS Z	'316069368	FIQAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 70% FUND CLASS Z	'316069350	FIQBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 85% FUND CLASS A	'316069780	FEYAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 85% FUND CLASS I	'316069749	FEYIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 85% FUND CLASS M	'316069756	FEYTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ASSET MANAGER 85% FUND CLASS Z	'316069343	FIQCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR BALANCED CLASS A	'315807818	FABLX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FIDELITY FUNDS	FIDELITY ADVISOR BALANCED FUND CLASS I	'315807867	FAIOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR BALANCED FUND CLASS M	'315807404	FAIGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR BALANCED FUND CLASS Z	'315805192	FZAAZ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR BIOTECHNOLOGY FUND CLASS A	'315918516	FBTAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR BIOTECHNOLOGY FUND CLASS I	'315918466	FBTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR BIOTECHNOLOGY FUND CLASS M	'315918490	FBTTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR BIOTECHNOLOGY FUND CLASS Z	'315918243	FIJYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CALIFORNIA MUNI FUND CLASS A	'316061704	FCMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CALIFORNIA MUNI FUND CLASS I	'316061860	FCMQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CALIFORNIA MUNI FUND CLASS M	'316061803	FCMTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CALIFORNIA MUNICIPAL INCOME FUND CLASS Z	'316061845	FJNBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CANADA FUND CLASS A	'315910471	FACNX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CANADA FUND CLASS I	'315910430	FICCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CANADA FUND CLASS M	'315910448	FTCNX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CANADA FUND CLASS Z	'31618H333	FIQEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CAPITAL DEVELOPMENT FUND CLASS A	'316127406	FDTTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CAPITAL DEVELOPMENT FUND CLASS I	'316127851	FDEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CAPITAL DEVELOPMENT FUND CLASS M	'316127869	FDTZX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CAPITAL DEVELOPMENT FUND CLASS O	'316127208	FDETX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY ADVISOR CHINA REGION CLASS A	'315910174	FHKAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CHINA REGION FUND CLASS I	'315910133	FHKIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CHINA REGION FUND CLASS M	'315910141	FHKTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CHINA REGION FUND CLASS Z	'31618H325	FIQFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR COMM EQUIPMENT CLASS A	'315918458	FDMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR COMM EQUIPMENT CLASS M	'315918441	FDMTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR COMM EQUIPMENT FUND CLASS I	'315918417	FDMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR COMMUNICATION SERVICES FUND CLASS A	'316390145	FGDMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR COMMUNICATION SERVICES FUND CLASS M	'316390137	FGEMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR COMMUNICATION SVCS FUND CLASS I	'316391200	FGIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR COMMUNICATION SVCS FUND CLASS Z	'316391309	FGKMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CONSUMER DISCRETIONARY CLASS A	'315918706	FCNAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CONSUMER DISCRETIONARY CLASS M	'315918805	FACPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CONSUMER DISCRETIONARY FUND CLASS I	'315918888	FCNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CONSUMER DISCRETIONARY FUND CLASS Z	'315918235	FIJZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CONSUMER STAPLES FUND CLASS A	'316390434	FDAGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CONSUMER STAPLES FUND CLASS I	'316390384	FDIGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CONSUMER STAPLES FUND CLASS M	'316390392	FDTGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CONSUMER STAPLES FUND CLASS Z	'316390194	FIJCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CONVERTIBLE SECURITIES FUND CL A	'316145853	FACVX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CONVERTIBLE SECURITIES FUND CL M	'316145820	FTCVX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CONVERTIBLE SECURITIES FUND CLASS I	'316145812	FIQVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CONVERTIBLE SECURITIES FUND CLASS Z	'316145796	FIQVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CORPORATE BOND FUND CLASS A	'316146588	FCBAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CORPORATE BOND FUND CLASS I	'316146547	FCBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CORPORATE BOND FUND CLASS M	'316146554	FCBTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR CORPORATE BOND FUND CLASS Z	'31635V125	FIKOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR DIVERSIFIED INTERNATIONAL FUND CLASS I	'315920686	FDVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR DIVERSIFIED INTERNATIONAL FUND CLASS Z	'315920173	FZABX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR DIVERSIFIED INTL FUND CLASS A	'315920736	FDVAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR DIVERSIFIED INTL FUND CLASS M	'315920694	FADIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR DIVERSIFIED STOCK FUND CLASS A	'316127307	FDTOX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR DIVERSIFIED STOCK FUND CLASS I	'316127802	FDTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR DIVERSIFIED STOCK FUND CLASS M	'316127703	FDTEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR DIVERSIFIED STOCK FUND CLASS O	'316127109	FDESX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY ADVISOR DIVERSIFIED STOCK FUND CLASS Z	'316127844	FZACX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR DIVIDEND GROWTH FUND CLASS A	'315805648	FADAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR DIVIDEND GROWTH FUND CLASS I	'315805598	FDGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR DIVIDEND GROWTH FUND CLASS M	'315805630	FDGTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR DIVIDEND GROWTH FUND CLASS Z	'315805275	FZADX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING ASIA FUND CLASS A	'315920413	FEAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING ASIA FUND CLASS I	'315920454	FERIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING ASIA FUND CLASS M	'315920447	FEATX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING ASIA FUND CLASS Z	'31580A407	FIQPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING ASIA FUND CLASS Z	'31580A506	FIQQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING EUROPE MIDDLE EAST AFRICA FUND CLASS A	'315910240	FMEAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING EUROPE MIDDLE EAST AFRICA FUND CLASS I	'315910216	FIEMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING EUROPE MIDDLE EAST AFRICA FUND CLASS M	'315910190	FEMTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING MARKETS DISCOVERY FUND CLASS A	'31618H531	FEDAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING MARKETS DISCOVERY FUND CLASS I	'31618H499	FEDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING MARKETS DISCOVERY FUND CLASS M	'31618H515	FEDTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING MARKETS DISCOVERY FUND CLASS Z	'31618H317	FIQGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING MARKETS FUND CLASS A	'315920280	FAMKX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING MARKETS FUND CLASS I	'315920249	FIMKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING MARKETS FUND CLASS M	'315920256	FTMKX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EMERGING MARKETS FUND CLASS Z	'315920165	FZAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or 'Class A' Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FIDELITY FUNDS	FIDELITY ADVISOR ENERGY FUND CLASS A	'315916841	FANAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ENERGY FUND CLASS I	'315916866	FANIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ENERGY FUND CLASS M	'315916106	FAGNX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR ENERGY FUND CLASS Z	'315918227	FIKAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EQUITY GROWTH CL A	'315805853	EPGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EQUITY GROWTH FUND CLASS I	'315805101	EQPGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EQUITY GROWTH FUND CLASS M	'315805200	FAEGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EQUITY GROWTH FUND CLASS Z	'315805267	FZAFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EQUITY INCOME CL A	'315808402	FEIAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EQUITY INCOME FUND CLASS I	'315808105	EQPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EQUITY INCOME FUND CLASS M	'315808204	FEIRX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EQUITY INCOME FUND CLASS Z	'315805259	FZAGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EQUITY VALUE FUND CLASS A	'315805366	FAVAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EQUITY VALUE FUND CLASS I	'315805325	FAIVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EQUITY VALUE FUND CLASS M	'315805358	FAVTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EQUITY VALUE FUND CLASS Z	'315805150	FAEVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EUROPE FUND CLASS M	'31618H440	FHVJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EUROPE FUND CLASS Z	'31618H291	FIQHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EVENT DRIVEN OPPORTUNITIES FUND CLASS A	'315912741	FCHSX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EVENT DRIVEN OPPORTUNITIES FUND CLASS I	'315912717	FMRMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EVENT DRIVEN OPPORTUNITIES FUND CLASS M	'315912733	FJPDJ	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR EVENT DRIVEN OPPORTUNITIES FUND CLASS Z	'315911610	FJVJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FINANCIAL SERVICES FUND CLASS Z	'315918219	FIKBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FLOATING RATE HIGH INCOME FUND CLASS A	'315807594	FFRAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FLOATING RATE HIGH INCOME FUND CLASS I	'315807552	FFRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FLOATING RATE HIGH INCOME FUND CLASS M	'315807586	FFRTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FLOATING RATE HIGH INCOME FUND CLASS Z	'315806703	FIQSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FOUNDERS FUND CLASS A	'315911586	FIFOX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FOUNDERS FUND CLASS I	'315911560	FIFVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FOUNDERS FUND CLASS M	'315911552	FIFPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FOUNDERS FUND CLASS Z	'315911545	FIFWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2005 FUND CLASS A	'315792648	FFAVX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2005 FUND CLASS I	'315792598	FFVNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2005 FUND CLASS M	'315792614	FFTVX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2005 FUND CLASS Z	'315796102	FIJHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2010 CLASS A	'315792705	FACFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2010 FUND CLASS I	'315792861	FCFHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2010 FUND CLASS M	'315792879	FCFTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2010 FUND CLASS Z	'315796201	FIJXJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2015 FUND CLASS A	'315792580	FFVAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2015 FUND CLASS I	'315792549	FFVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2015 FUND CLASS M	'315792556	FFVTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2015 FUND CLASS Z	'315796300	FIJXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2020 FUND CLASS A	'315792853	FDAFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2020 FUND CLASS I	'315792812	FDIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2020 FUND CLASS M	'315792820	FDTFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2020 FUND CLASS Z	'315796409	FIJLJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2025 FUND CLASS A	'315792531	FATWX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2025 FUND CLASS I	'315792481	FITWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2025 FUND CLASS M	'315792499	FTTWX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2025 FUND CLASS Z	'315796508	FIJMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2030 FUND CLASS A	'315792796	FAFEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2030 FUND CLASS I	'315792754	FEFEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2030 FUND CLASS M	'315792762	FTFEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2035 FUND CLASS A	'315792473	FATHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2035 FUND CLASS I	'315792432	FITHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2035 FUND CLASS M	'315792440	FTTHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2035 FUND CLASS Z	'315796607	FIJNJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2035 FUND CLASS A	'315796706	FIOJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2040 CLASS M	'315792713	FTFFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2040 FUND CLASS A	'315792747	FAFFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2040 FUND CLASS I	'315792697	FIFFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2040 FUND CLASS M	'315796805	FIIJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2045 FUND CLASS A	'315792390	FFFZX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2045 FUND CLASS I	'315792358	FFFIJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2045 FUND CLASS M	'315792366	FFFTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2045 FUND CLASS Z	'315796888	FIIJQJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2050 FUND CLASS A	'315792341	FFFLX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2050 FUND CLASS I	'315792291	FFFPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2050 FUND CLASS M	'315792317	FFFOX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2050 FUND CLASS Z	'315796870	FIIJRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2055 FUND CLASS A	'315793844	FHFAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2055 FUND CLASS I	'315793786	FHFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2055 FUND CLASS M	'315793794	FHFXTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2055 FUND CLASS Z	'315796862	FIIJSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

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For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2060 FUND CLASS A	'315793760	FDKPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2060 FUND CLASS I	'315793737	FDDQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2060 FUND CLASS M	'315793752	FDTXT	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2060 FUND CLASS Z	'315796854	FJTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM 2065 FUND CLASS I	'315796755	FDFSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM INCOME CLASS M	'315792507	FTAFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM INCOME FUND CLASS A	'315792200	FAFAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM INCOME FUND CLASS I	'315792606	FIAFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR FREEDOM INCOME FUND CLASS Z	'315796847	FJUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL CAPITAL APPRECIATION FD CL A	'315920629	FGEAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL CAPITAL APPRECIATION FD CL M	'315920587	FGETX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL CAPITAL APPRECIATION FUND CLASS I	'315920579	FJUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL COMMODITY STOCK FUND CLASS A	'31618H101	FFGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL COMMODITY STOCK FUND CLASS I	'31618H507	FFGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL COMMODITY STOCK FUND CLASS M	'31618H408	FFGTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL COMMODITY STOCK FUND CLASS Z	'31618H218	FGRQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL CREDIT FUND CLASS A	'31638R873	FGBZX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL CREDIT FUND CLASS I	'31638R840	FGBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL CREDIT FUND CLASS M	'31638R865	FGBWX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL CREDIT FUND CLASS Z	'31638R691	FIOYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL EQUITY INCOME FUND CLASS A	'315920223	FBLYX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL EQUITY INCOME FUND CLASS I	'315920181	FBUSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL EQUITY INCOME FUND CLASS M	'315920215	FGABX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL HIGH INCOME FUND CLASS A	'31641Q805	FGHAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL HIGH INCOME FUND CLASS I	'31641Q862	FGHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL HIGH INCOME FUND CLASS M	'31641Q870	FGHTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL REAL ESTATE CLASS A	'315918284	FWRAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL REAL ESTATE CLASS I	'315918250	FWRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL REAL ESTATE CLASS M	'315918268	FWRTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GLOBAL REAL ESTATE FUND CLASS Z	'315918136	FIKXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GOLD FUND CLASS A	'316390376	FGDAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GOLD FUND CLASS I	'316390335	FGDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GOLD FUND CLASS M	'316390343	FGDTX	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GOLD FUND CLASS Z	'316390178	FJIDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GOVERNMENT INCOME FUND CLASS A	'31617K782	FVIAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GOVERNMENT INCOME FUND CLASS I	'31617K741	FVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GOVERNMENT INCOME FUND CLASS M	'31617K758	FVITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GOVERNMENT INCOME FUND CLASS Z	'31617L749	FIKXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GROWTH & INCOME FUND CLASS Z	'315805143	FGIZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GROWTH & INCOME CLASS M	'315805820	FGITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GROWTH AND INCOME CLASS A	'315805846	FGIRX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GROWTH AND INCOME FUND CLASS I	'315805812	FGIOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GROWTH OPPORTUNITIES CLASS A	'315807834	FAGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GROWTH OPPORTUNITIES FUND CLASS I	'315807883	FAGCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GROWTH OPPORTUNITIES FUND CLASS M	'315807206	FAGOX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR GROWTH OPPORTUNITIES FUND CLASS Z	'315805242	FZAHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR HIGH INCOME ADVANTAGE FUND CLASS A	'315807826	FAHDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR HIGH INCOME ADVANTAGE FUND CLASS I	'315807875	FAHCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR HIGH INCOME ADVANTAGE FUND CLASS M	'315807305	FAHYX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR HIGH INCOME ADVANTAGE FUND CLASS Z	'315806802	FIQTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR HIGH INCOME FUND CLASS A	'31641Q771	FGQMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR HIGH INCOME FUND CLASS I	'31641Q722	FGTMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR HIGH INCOME FUND CLASS M	'31641Q748	FGRMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR HIGH INCOME FUND CLASS Z	'31641Q714	FGUMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INDUSTRIALS CLASS A	'315918870	FCLAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INDUSTRIALS CLASS M	'315918862	FCLTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INDUSTRIALS FUND CLASS I	'315918854	FCLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INDUSTRIALS FUND CLASS Z	'315918185	FIKEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INT'L SMALL CAP OPPORTUNITIES CL A	'315910612	FOPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY ADVISOR INTERMEDIATE MUNI INCOME FUND CLASS A	'31638R402	FZIAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERMEDIATE MUNI INCOME FUND CLASS I	'31638R808	FZIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERMEDIATE MUNI INCOME FUND CLASS M	'31638R709	FZITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERMEDIATE MUNICIPAL INCOME FUND CLASS Z	'31638R683	FIQZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNAT'L CAPITAL APPRECIATION CL A	'315920843	FCPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNAT'L CAPITAL APPRECIATION CL M	'315920827	FIATX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL CAPITAL APPRECIATION FUND CLASS I	'315920819	FCPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL DISCOVERY FUND CL A	'315910661	FAIDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL DISCOVERY FUND CL M	'315910638	FTADX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL DISCOVERY FUND CLASS I	'315910620	FIADX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL DISCOVERY FUND CLASS Z	'31618H473	FZAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL GROWTH FUND CLASS I	'315910372	FIHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL GROWTH FUND CLASS M	'315910380	FIITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL GROWTH FUND CLASS Z	'31618H465	FZAJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL GRWTH FUND CLASS A	'315910422	FIAGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL REAL ESTATE FUND CLASS A	'316389634	FIRAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL REAL ESTATE FUND CLASS I	'316389584	FIRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL REAL ESTATE FUND CLASS M	'316389592	FIRTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL REAL ESTATE FUND CLASS Z	'316390152	FIKXL	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL SMALL CAP FUND CLASS A	'315910729	FIASX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL SMALL CAP FUND CLASS I	'315910679	FIKIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL SMALL CAP FUND CLASS M	'315910687	FTISX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL SMALL CAP FUND CLASS Z	'31618H283	FIQIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL SMALL CAP OPPORTUNITIES FUND CLASS I	'315910554	FOPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL SMALL CAP OPPORTUNITIES FUND CLASS M	'315910570	FOPTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL VALUE FUND CLASS A	'315910547	FIVMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL VALUE FUND CLASS I	'315910497	FIVQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL VALUE FUND CLASS M	'315910513	FIVPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONAL VALUE FUND CLASS Z	'31618H267	FIQKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTERNATIONALCAP APPRECIATION FUND CLASS Z	'315920157	FIDZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INTL SMALL CAP OPPORTUNITIES FUND CL Z	'31618H275	FIQIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY ADVISOR INVESTMENT GRADE BOND FUND CLASS A	'316146703	FGBAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INVESTMENT GRADE BOND FUND CLASS I	'316146869	FGBPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INVESTMENT GRADE BOND FUND CLASS M	'316146802	FGBTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR INVESTMENT GRADE BOND FUND CLASS Z	'31635T807	FIKQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR JAPAN FUND CLASS A	'31618H655	FPIAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR JAPAN FUND CLASS I	'31618H614	FPIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR JAPAN FUND CLASS M	'31618H622	FJPTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR JAPAN FUND CLASS Z	'31618H259	FIQLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LARGE CAP FUND CLASS A	'315805861	FALAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LARGE CAP FUND CLASS Z	'315805135	FIDLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LARGE CAP STOCK FUND CLASS M	'315805705	FALGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LARGE CAP STOCK FUND CLASS I	'315805887	FALIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LATIN AMERICA FUND CLASS A	'31618H713	FLFAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LATIN AMERICA FUND CLASS I	'31618H671	FLFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LATIN AMERICA FUND CLASS M	'31618H663	FLFTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LATIN AMERICA FUND CLASS Z	'31618H242	FIQMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LEVERAGED COMPANY STOCK FUND CLASS I	'315805374	FLVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LEVERAGED COMPANY STOCK FUND CLASS M	'315805416	FLSTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LEVERAGED COMPANY STOCK FUND CLASS Z	'315805226	FZAKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LIMITED TERM BOND CLASS A	'315809806	FDIAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LIMITED TERM BOND FUND CLASS I	'315809103	EFIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LIMITED TERM BOND FUND CLASS M	'315809202	FTBRX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LIMITED TERM BOND FUND CLASS Z	'315807446	FIKRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LIMITED TERM MUNI INCOME FUND CLASS I	'316203850	FISHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LIMITED TERM MUNICIPAL INCOME FUND CLASS A	'316203801	FASHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LIMITED TERM MUNICIPAL INCOME FUND CLASS M	'316203868	FTSHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR LIMITED TERM MUNICIPAL INCOME FUND CLASS Z	'316203751	FIWAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MANAGED RETIREMENT 2005 FUND CLASS I	'31617K410	FIQIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MANAGED RETIREMENT 2010 FUND CLASS I	'31617K295	FRQIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MANAGED RETIREMENT 2015 FUND CLASS I	'31617K188	FRASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MANAGED RETIREMENT 2020 FUND CLASS I	'31617L509	FIWIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MANAGED RETIREMENT 2025 FUND CLASS I	'31617L822	FIRFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MANAGED RETIREMENT 2030 FUND SHARE CLASS A	'31617L525	FMRBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MANAGED RETIREMENT 2030 FUND SHARE CLASS I	'31617L467	FMRDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MANAGED RETIREMENT INCOME FUND CLASS I	'31617K527	FRIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MATERIALS FUND CLASS A	'316390327	FMFAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MATERIALS FUND CLASS I	'316390277	FMFEX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MATERIALS FUND CLASS M	'316390285	FMFTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MATERIALS FUND CLASS Z	'316390160	FIFJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MEGA CAP STOCK FUND CLASS A	'31617F502	FGTAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MEGA CAP STOCK FUND CLASS I	'31617F882	FTRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MEGA CAP STOCK FUND CLASS M	'31617F809	FTGRX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MEGA CAP STOCK FUND CLASS Z	'31617F791	FZALX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MID CAP II FUND CLASS A	'315807537	FIHAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MID CAP II FUND CLASS I	'315807487	FIIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MID CAP II FUND CLASS M	'315807495	FITIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MID CAP II FUND CLASS Z	'315805218	FZAMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MID CAP VALUE FUND CLASS A	'316128875	FMPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MID CAP VALUE FUND CLASS I	'316128834	FMPQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MID CAP VALUE FUND CLASS M	'316128842	FMPTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MID CAP VALUE FUND CLASS Z	'316128511	FIDFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MORTGAGE SECURITIES CLASS A	'31617K402	FMGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MORTGAGE SECURITIES FUND CLASS I	'31617K709	FMSCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MORTGAGE SECURITIES FUND CLASS M	'31617K600	FMSAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MORTGAGE SECURITIES FUND CLASS Z	'315807438	FIKUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MULTI ASSET INCOME FUND CLASS A	'31638R766	FWATX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MULTI ASSET INCOME FUND CLASS I	'31638R733	FAYZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MULTI ASSET INCOME FUND CLASS M	'31638R741	FAZYX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MULTI ASSET INCOME FUND CLASS Z	'31638R675	FIWBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MUNICIPAL INCOME 2023 FUND CLASS A	'31635V208	FSODX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FIDELITY FUNDS	FIDELITY ADVISOR MUNICIPAL INCOME 2023 FUND CLASS I	'31635V307	FSWTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MUNICIPAL INCOME 2025 FUND CLASS I	'31635V364	FAMYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR MUNICIPAL INCOME FUND CLASS Z	'316203744	FIWEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR NEW INSIGHTS FUND CLASS A	'316071208	FINAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR NEW INSIGHTS FUND CLASS I	'316071604	FINSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR NEW INSIGHTS FUND CLASS M	'316071307	FNITX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR NEW INSIGHTS FUND CLASS Z	'316071869	FZANX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR NEW MARKETS INCOME FUND CLASS A	'31641Q698	FGVMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR NEW MARKETS INCOME FUND CLASS I	'31641Q763	FGZMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR NEW MARKETS INCOME FUND CLASS M	'31641Q680	FGWMM	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR NEW YORK MUNI FUND CLASS A	'316337807	FNMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR NEW YORK MUNI INCOME FUND CLASS I	'316337856	FEMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR NEW YORK MUNI INCOME FUND CLASS M	'316337880	FNYPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR NEW YORK MUNICIPAL INCOME FUND CLASS Z	'316337849	FIJAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR OVERSEAS CLASS A	'315918607	FAOAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR OVERSEAS CLASS M	'315918102	FAERX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR OVERSEAS FUND CLASS I	'315918508	FAOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR OVERSEAS FUND CLASS Z	'315920140	FAOSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR REAL ESTATE FUND CLASS A	'315918342	FHEAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR REAL ESTATE FUND CLASS I	'315918292	FHEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR REAL ESTATE FUND CLASS M	'315918318	FHETX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR REAL ESTATE FUND CLASS Z	'315918144	FIKIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR REAL ESTATE INCOME FUND CLASS I	'316389444	FRIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR REAL ESTATE INCOME FUND CLASS M	'316389451	FRIOX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR REAL ESTATE INCOME FUND CLASS Z	'316389311	FIKMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SEMICONDUCTOR FUND CLASS M	'315918383	FELTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SEMICONDUCTORS FUND CLASS A	'315918391	FELAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SEMICONDUCTORS FUND CLASS I	'315918359	FELIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SEMICONDUCTORS FUND CLASS Z	'315918177	FIKGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SHORT DURATION HIGH INCOME FUND CLASS A	'31641Q839	FSBHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SHORT DURATION HIGH INCOME FUND CLASS I	'31641Q797	FSFHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SHORT DURATION HIGH INCOME FUND CLASS M	'31641Q821	FSEHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SHORT DURATION HIGH INCOME FUND CLASS Z	'31641Q789	FIWXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SHORT TERM BOND FUND CLASS Z	'31635T880	FIKTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SHORT-TERM BOND FUND CLASS A	'31635V596	FBNAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SHORT-TERM BOND FUND CLASS I	'31635V562	FBNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SHORT-TERM BOND FUND CLASS M	'31635V588	FBNTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SMALL CAP FUND CLASS A	'315805697	FSCDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SMALL CAP FUND CLASS I	'315805655	FSCTX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SMALL CAP FUND CLASS M	'315805663	FSCTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SMALL CAP FUND CLASS Z	'315805234	FZAOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SMALL CAP GROWTH FUND CLASS Z	'316389360	FIDGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY ADVISOR SMALL CAP VALUE FUND CLASS Z	'316389295	FIKNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SMALL-CAP GROWTH FUND CLASS A	'316389758	FCAGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY ADVISOR SMALL-CAP GROWTH FUND CLASS I	'316389717	FCIGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY ADVISOR SMALL-CAP GROWTH FUND CLASS M	'316389725	FCFTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY ADVISOR SMALL-CAP VALUE FUND CLASS A	'316389824	FCVAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SMALL-CAP VALUE FUND CLASS I	'316389774	FCVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR SMALL-CAP VALUE FUND CLASS M	'316389782	FCVTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR ALL CAP FUND CLASS A	'316066786	FMAMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR ALL CAP FUND CLASS I	'316066778	FBRNX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR ALL CAP FUND CLASS M	'316066794	FSJHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR ALL CAP FUND CLASS Z	'316066760	FZAPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR LARGE CAP VALUE FUND CLASS I	'316128727	FLUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR LARGE CAP VALUE FUND CLASS Z	'316128529	FSCZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR LRG CAP VALUE FUND CL A	'316128768	FLUAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR LRG CAP VALUE FUND CL M	'316128735	FLUTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR MID CAP FUND CLASS A	'315805879	FMCDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR MID CAP FUND CLASS I	'315805606	FMCCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR MID CAP FUND CLASS M	'315805408	FMCAJ	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR MID CAP FUND CLASS Z	'315805127	FSLZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR SMALL CAP FUND CL A	'316066505	FCDAJ	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR SMALL CAP FUND CL M	'316066802	FCDTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR SMALL CAP FUND CLASS I	'316066885	FCDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STOCK SELECTOR SMALL CAP FUND CLASS Z	'316066752	FSSZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STRATEGIC DIVIDEND & INCOME FUND CLASS A	'316145408	FASDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STRATEGIC DIVIDEND & INCOME FUND CLASS I	'316145804	FSIDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STRATEGIC DIVIDEND & INCOME FUND CLASS M	'316145705	FTSDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STRATEGIC DIVIDEND & INCOME FUND CLASS Z	'31635T831	FIQWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STRATEGIC INCOME CLASS A	'315920850	FSTAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STRATEGIC INCOME CLASS M	'315920504	FSIAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STRATEGIC INCOME FUND CLASS I	'315920801	FSRFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STRATEGIC INCOME FUND CLASS Z	'315807420	FIWDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STRATEGIC INCOME FUND RETAIL CLASS	'315807461	FADMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STRATEGIC REAL RETURN FUND CLASS A	'315912873	FSRAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FIDELITY FUNDS	FIDELITY ADVISOR STRATEGIC REAL RETURN FUND CLASS I	'315912832	FSIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR STRATEGIC REAL RETURN FUND CLASS M	'315912840	FSRTR	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TECHNOLOGY FUND CLASS Z	'315918169	FIKHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TELECOMMUNICATIONS FUND CLASS A	'316390269	FTUAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TELECOMMUNICATIONS FUND CLASS I	'316390228	FTUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TELECOMMUNICATIONS FUND CLASS M	'316390236	FTUTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TELECOMMUNICATIONS FUND CLASS Z	'316390186	FIJGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TOTAL BOND FUND CLASS A	'31617K873	FEPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TOTAL BOND FUND CLASS I	'31617K832	FEPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TOTAL BOND FUND CLASS M	'31617K840	FEPTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TOTAL BOND FUND CLASS Z	'31617L798	FBKWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TOTAL EMERGING MARKETS FUND CLASS A	'31618H580	FTEDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TOTAL EMERGING MARKETS FUND CLASS I	'31618H556	FTEJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TOTAL EMERGING MARKETS FUND CLASS M	'31618H564	FTEHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TOTAL EMERGING MARKETS FUND CLASS Z	'31618H234	FIQNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TOTAL INTERNATIONAL EQUITY FUND CL A	'315910364	FTAEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TOTAL INTERNATIONAL EQUITY FUND CLASS I	'315910323	FTEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR TRATEGIC REAL RETURN FUND CLASS Z	'31635T872	FIQDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR UTILITIES FUND CLASS A	'315918748	FUGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR UTILITIES FUND CLASS I	'315918722	FUGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR UTILITIES FUND CLASS M	'315918730	FAUFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR UTILITIES FUND CLASS Z	'315918151	FIKIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR VALUE FUND CLASS A	'315916767	FAVFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR VALUE FUND CLASS I	'315916726	FVIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR VALUE FUND CLASS M	'315916734	FVTFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR VALUE FUND CLASS Z	'315805119	FVLZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR VALUE LEADERS FUND CLASS A	'315920348	FVLAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR VALUE LEADERS FUND CLASS I	'315920298	FVLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR VALUE LEADERS FUND CLASS M	'315920314	FVLTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR VALUE STRATEGIES CLASS A	'315920868	FSOAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR VALUE STRATEGIES CLASS M	'315918300	FASPX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR VALUE STRATEGIES FUND CLASS I	'315920884	FASOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR WOMEN'S LEADERSHIP FUND CLASS A	'31641Q656	FWOAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR WOMEN'S LEADERSHIP FUND CLASS I	'31641Q623	FWMNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR WOMEN'S LEADERSHIP FUND CLASS M	'31641Q649	FWOEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR WOMEN'S LEADERSHIP FUND CLASS Z	'31641Q615	FWOZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR WORLDWIDE FUND CLASS A	'31618H705	FWAFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR WORLDWIDE FUND CLASS I	'31618H861	FWIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR WORLDWIDE FUND CLASS M	'31618H879	FWTFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR WORLDWIDE FUND CLASS Z	'31618H226	FIQOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISORS REAL ESTATE INCOME FUND CLASS A	'316389477	FRINX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ARIZONA MUNICIPAL INCOME FUND	'316448885	FSAZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ARIZONA MUNICIPAL MONEY MARKET FUND	'316450105	FSAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY ASSET MANAGER 20% FUND	'316069400	FASIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ASSET MANAGER 30% FUND	'316069723	FTANX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ASSET MANAGER 40% FUND	'316069657	FFANX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ASSET MANAGER 50% FUND	'316069103	FASMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ASSET MANAGER 60% FUND	'316069582	FSANX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ASSET MANAGER 70% FUND	'316069301	FASGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ASSET MANAGER 70% FUND CLASS A	'316069525	FAASX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ASSET MANAGER 70% FUND CLASS I	'316069475	FAAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ASSET MANAGER 70% FUND CLASS M	'316069483	FTASX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY ASSET MANAGER 85% FUND	'316069707	FAMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY BALANCED FUND	'316345206	FBALX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY BLUE CHIP GROWTH FUND	'316389303	FBGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY BLUE CHIP VALUE FUND	'316389857	FBCVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CALIFORNIA AMT TAX FREE MNY MKT FD SERVICE CL	'31606Y207	FSSXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CALIFORNIA AMT TAX FREE MNY MKT FUND INST CLASS	'31606Y108	FSBXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CALIFORNIA LIMITED TERM TAX-FREE BOND FUND	'316061852	FCSTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CALIFORNIA MUNICIPAL INCOME FUND	'316061209	FCFTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CALIFORNIA MUNICIPAL MONEY MARKET FUND	'316061100	FCFXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY CANADA FUND	'315910307	FICDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CAPITAL AND INCOME FUND	'316062108	FAGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CAPITAL APPRECIATION FUND	'316066109	FDCAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CASH RESERVES FUND	'316067107	FDRXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CHINA REGION FUND	'315910778	FHKCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CONNECTICUT MUNICIPAL INCOME FD	'316089101	FICNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CONSERVATIVE INCOME BOND FUND	'316146539	FCONX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CONSERVATIVE INCOME BOND FUND INSTITUTIONAL CLASS	'316146521	FCNVX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CONSERVATIVE INCOME MUNICIPAL BOND FUND	'316203835	FCRDY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CONSERVATIVE INCOME MUNICIPAL BOND FUND INSTITUTIONAL CLASS	'316203843	FMNDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CONSUMER FINANCE PORTFOLIO	'316390723	FSVLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CONTRA FUND	'316071109	FCNTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CONVERTIBLE SECURITIES FUND	'316145200	FCVSY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY CORPORATE BOND FUND	'316146596	FCBFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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Expense Ratio, 12b1 and Return information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or "Class A" funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FIDELITY FUNDS	FIDELITY CT MUNI MONEY MARKET FUND	'316089408	FCMXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY DISCIPLINED EQUITY FUND	'316066208	FDEQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY DIVERSIFIED INTERNATIONAL FUND	'315910802	FDIVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY DIVIDEND GROWTH FUND	'316389402	FDGFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EMERGING ASIA FUND	'315910851	FSEAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EMERGING EUROPE MIDDLE EAST AFRICA FUND	'315910182	FEMEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EMERGING MARKET INDEX FUND	'316146331	FPADX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EMERGING MARKETS DISCOVERY FUND	'31618H549	FEDDX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EMERGING MARKETS FUND	'315910869	FEMKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EQUITY DIVIDEND INCOME FUND	'316145101	FEQTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EQUITY INCOME FUND	'316138106	FEQIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EUROPE FUND	'316343300	FIEUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EUROPE FUND CLASS A	'31618H457	FHIJUX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EUROPE FUND CLASS I	'31618H416	FHIJMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EVENT DRIVEN OPPORTUNITIES FUND	'315912758	FARNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EXPORT & MULTINATIONAL FUND	'316448877	FEXPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY EXTENDED MARKET INDEX FUND	'315911743	FSMAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FLOATING RATE HIGH INCOME FUND	'315916783	FFRHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FOCUS STOCK FUND	'316066406	FTQGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FOCUSED HIGH INCOME FUND	'316146794	FHIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FOUNDERS FUND	'315911594	FIFNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FOUR IN ONE INDEX FUND	'31634R109	FFNOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM 2005 FUND	'315792689	FFVFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM 2015 FUND	'315792671	FFVFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM 2020 FUND	'31617R605	FFDFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM 2025 FUND	'315792663	FFTWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM 2035 FUND	'315792655	FFTHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM 2040 FUND	'315792101	FFFFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM 2045 FUND	'315792424	FFFGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM 2060 FUND	'315793729	FDKVV	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM 2065 FUND	'315796797	FFSFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2005 FUND	'315794677	FHAZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2010 FUND	'315794669	FHAYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2015 FUND	'315794651	FHAWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2020 FUND	'315794644	FHAVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2025 FUND	'315794636	FHAUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2030 FUND	'315794628	FHATX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2035 FUND	'315794610	FHASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2040 FUND	'315794594	FHARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2045 FUND	'315794586	FHAQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2050 FUND	'315794578	FHAPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2055 FUND	'315794560	FHAOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2060 FUND	'315794552	FHANX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND 2065 FUND	'315796789	FFBSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM BLEND INC FUND	'315794685	FHBZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM FUND 2010	'31617R506	FFFCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM FUND 2050	'315792416	FFFHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM FUND 2055	'315793851	FDEEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INCOME FUND	'31617R308	FFFAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2005 FUND INVESTOR CLASS	'315793208	FJIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2010 FUND INVESTOR CLASS	'315793307	FKIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2015 FUND INVESTOR CLASS	'315793406	FLIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2020 FUND INVESTOR CLASS	'315793505	FPFIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2025 FUND INVESTOR CLASS	'315793604	FQIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2030 FUND INVESTOR CLASS	'315793703	FXIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2035 FUND INVESTOR CLASS	'315793802	FHIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2040 FUND INVESTOR CLASS	'315793885	FBIFX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2045 FUND INVESTOR CLASS	'315793877	FIOFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2050 FUND INVESTOR CLASS	'315793869	FIPFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2055 FUND INVESTOR CLASS	'315793828	FDEWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2060 FUND INVESTOR CLASS	'315793695	FDKIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2065 FUND INVESTOR CLASS	'315796839	FFIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX 2065 INSTL PREMIUM FUND	'315796615	FFIKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM INDEX INCOME FUND INVESTOR CLASS	'315792150	FIKFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FREEDOM TWENTY THIRTY FUNDS	'31617R704	FFFEF	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FUND	'316153105	FFDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY FUNDS TREASURY PORTFOLIO INSTITUTIONAL FUND CLASS	'31607A885	FRBXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY GLOBAL COMMODITY STOCK FUND	'31618H606	FFGCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY GLOBAL CREDIT FUND	'31638R881	FGBFX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY GLOBAL EQUITY INCOME FUND	'31618H481	FGILX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY GLOBAL EX U.S. INDEX FUND	'316146315	FSGGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY GLOBAL HIGH INCOME FUND	'31641Q854	FGHNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY GNMA FUND	'31617K105	FGMNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY GOVERNMENT INCOME FUND	'316172105	FGOVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY GOVERNMENT MONEY MARKET FD CAPITAL RESERVES CL	'31617H508	FZAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or "Class A" Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FIDELITY FUNDS	FIDELITY GOVERNMENT MONEY MARKET FUND	'31617H102	SPAXX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY GOVERNMENT MONEY MARKET FUND ADVISOR CLASS M	'31617H870	FZGXX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY GOVERNMENT MONEY MARKET FUND DAILY MONEY CLASS	'31617H607	FZBXX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY GOVERNMENT MONEY MARKET FUND PREMIUM CLASS	'31617H706	FZCXX	No/Low Load	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY GOVERNMENT PORTFOLIO INSTITUTIONAL FUND CLASS	'31607A703	FRGXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY GROWTH & INCOME FUND	'316389204	FGRIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY GROWTH COMPANY	'316200104	FDGRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY GROWTH DISCOVERY FUND	'31617F205	FDSVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY GROWTH STRATEGIES FUND	'316200203	FDEGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY HIGH INCOME FUND	'316146406	SPHIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INCOME REPLACEMENT 2024 FUND	'31617K519	FIRNX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY INCOME REPLACEMENT 2028 FUND	'31617K394	FIRPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY INCOME REPLACEMENT 2032 FUND	'31617K387	FIRRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY INCOME REPLACEMENT 2036 FUND	'31617K170	FIRUX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY INCOME REPLACEMENT 2040 FUND	'31617L608	FIRWX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY INDEPENDENCE FUND	'316145309	FDDFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INFLATION PROTECTED BOND INDEX FUND	'31635T104	FIPDX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INT'L SMALL CAP OPPORTUNITIES FUND	'315910562	FSCOX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY INT'L SUSTAINABILITY INDEX FUND	'31635V349	FNIDX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INTERMED BOND FUND	'315912105	FTHRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INTERMEDIATE GOVERNMENT FUND	'31617K303	FSTGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INTERMEDIATE MUNICIPAL INCOME FD	'31638R204	FLTMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INTERMEDIATE TREASURY BOND INDEX FUND	'31635V257	FUAMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INTERNATIONAL DISCOVERY FUND	'315910208	FIGRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INTERNATIONAL GROWTH FUND	'315910315	FIGFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INTERNATIONAL INDEX FUND	'315911727	FSPSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INTERNATIONAL REAL ESTATE FUND	'316389840	FIREX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INTERNATIONAL SMALL CAP FUND	'315910737	FISMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INTERNATIONAL VALUE FUND	'315910489	FIVLX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INTERNL ENHANCED INDEX FUND	'31606X407	FIENX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INTL CAPITAL APPRECIATION FUND	'315910810	FIWFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENT GRADE BOND	'316146109	FBNDX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS GOV'T PORT SELECT CL	'192826303	FGEXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS GOV'T PORT CL II	'316175850	FCVXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS MMY MKT PORT CL I	'316175207	FMPXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS MMY MKT PORT CL II	'316175843	FCIXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TAX-EXEMPT PORT CL II	'316176205	FEXXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TAX-EXEMPT PORT CL III	'316176304	FETXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TREAS ONLY PORT CL I	'23809300	FSIXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TREAS ONLY PORT CL II	'23809805	FOXXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TREAS ONLY PORT CL III	'23809888	FOIXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TREAS PORT CL I	'316175504	FISXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS GOVERNMENT PORTFOLIO CLASS I	'316175108	FIGXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS GOVERNMENT PORTFOLIO CLASS III	'316175603	FCGXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS MNY MKT PORTFOLIO CLASS III	'316175702	FCOXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS MNY MKT PORTFOLIO SELECT CL	'192826501	FMYXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TAX-EXEMPT PORTFOLIO CLASS I	'316176106	FTCXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TAX-EXEMPT PORTFOLIO SELECT CL	'192826600	FSXXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TREAS ONLY PORT SELECT CL	'192826105	FTYXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TREASURY ONLY PORTFOLIO CLASS IV	'31607A505	FOPXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TREASURY PORTFOLIO CLASS II	'316175835	FCEXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TREASURY PORTFOLIO CLASS III	'316175884	FCSXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TREASURY PORTFOLIO CLASS IV	'31607A406	FVXXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MONEY MARKET PORTFOLIO INSTITUTIONAL CLASS	'31607A109	FNSXX	No/Low Load	Initial: 999999.99; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY JAPAN FUND	'315910885	FJPNX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY JAPAN SMALL COMPANIES FUND	'315910760	FJSCX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LARGE CAP CORE ENHANCED INDEX FUND	'31606X100	FLCEX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LARGE CAP GROWTH ENHANCED INDEX FUND	'31606X308	FLGEX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LARGE CAP GROWTH INDEX FUND	'31635V729	FSPGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LARGE CAP STOCK FUND	'315912402	FLCSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LARGE CAP VALUE ENHANCED INDEX FUND	'31606X209	FLVEX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LARGE CAP VALUE INDEX FUND	'31635V679	FLCOX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LATIN AMERICA FUND	'315910844	FLATX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LEVERAGED COMPANY STOCK FUND	'316389873	FLVCX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LIMITED TERM BOND FUND	'315916718	FJRLX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LIMITED TERM GOVERNMENT FUND	'315809400	FFXSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LIMITED TERM MUNICIPAL INCOME FUND	'316203207	FSTFX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LONG TERM TREASURY BOND INDEX FUND	'31635V232	FNBGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY LOW PRICED STOCK FUND	'316345305	FLPSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY MA AMT TAX FREE MNY MKT FD SERVICE CLASS	'315902502	FMHXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY MA AMT TAX FREE MONEY MARKET FUND	'315902304	FMSXX	No/Low Load	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY MA MUNICIPAL INCOME FUND	'315902205	FDMXX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY MAGELLAN FUND	'316184100	FMAXG	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY MANAGED RETIREMENT 2030 FUND	'31617L533	FMRAX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY MARYLAND MUNICIPAL INCOME FUND	'316448604	SMDMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus. Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or "Class A" funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FIDELITY FUNDS	FIDELITY MASS AMT TAX-FREE MONEY MKT INSTITUTIONAL CLASS	'315902403	FMAXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY MEGA CAP STOCK FUND	'31617F403	FGRTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MI MUNICIPAL MONEY MARKET FUND	'316201508	FMIXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY MICHIGAN MUNICIPAL INCOME FUND	'316412204	FMHTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MID CAP ENHANCED INDEX FUND	'31606X605	FMEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MID CAP GROWTH INDEX	'31635T815	FMDGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MID CAP STOCK FUND	'316128404	FMCSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MID CAP VALUE FUND	'316128701	FSMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MID CAP VALUE INDEX	'31635T799	FIMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MIDCAP INDEX FUND	'316146265	FSMDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MINNESOTA MUNICIPAL INCOME FUND	'316412303	FIMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MONEY MARKET FUND PREMIUM CLASS	'31617H805	FZDXX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MORTGAGE SECURITIES FUND	'31617K204	FMSFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MULTI ASSET INCOME FUND	'31638R717	FMSDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MUNICIPAL BOND INDEX	'31635T765	FMBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MUNICIPAL INCOME 2021 FUND	'316146414	FOCFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MUNICIPAL INCOME 2021 FUND CLASS A	'316146398	FOMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MUNICIPAL INCOME 2021 FUND CLASS I	'316146380	FOMIX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MUNICIPAL INCOME 2023 FUND	'31635V109	FCHPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MUNICIPAL INCOME FUND	'316089507	FHIGX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MUNICIPAL INCOME FUND CLASS A	'316203793	FHUGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MUNICIPAL INCOME FUND CLASS I	'316203769	FROGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY MUNICIPAL INCOME FUND CLASS M	'316203785	FLUVX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY NASDAQ COMPOSITE INDEX FUND	'315912709	FNCMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY NEW INCOME FUND CLASS Z	'31641Q755	FGBMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY NEW JERSEY AMT TAX FREE MNY MKT FD SERVICE CL	'316090505	FNNXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY NEW JERSEY AMT TAX FREE MNY MKT FUND INSTL CL	'316090406	FSKXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY NEW JERSEY MUNI MONEY MARKET FUND	'316089309	FNJXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY NEW MARKETS INCOME	'315910836	FNMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY NEW MILLENNIUM FUND	'316200302	FMLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY NEW YORK AMT TAX FREE MNY MKT FD SERVICE CL	'316338201	FN0XX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY NEW YORK AMT TAX FREE MNY MKT FUND INSTL CL	'316338102	FNKXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY NEW YORK MUNICIPAL INCOME FUND	'316337203	FTFMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY NJ AMT TAX FREE MONEY MARKET FUND	'316048206	FSJXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY NJ MUNICIPAL INCOME FUND	'316089200	FNJHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY NORDIC FUND	'315910752	FNORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY NY AMT TAX FREE MONEY MARKET FUND	'316337500	FSNXX	No/Low Load	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY OHIO MUNICIPAL INCOME FUND	'316412105	FOHFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY OHIO MUNICIPAL MONEY MARKET FUND	'316203108	FOMXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY OTC PORTFOLIO	'316389105	FOCPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY OVERSEAS FUND	'316343102	FOSFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY PA MUNICIPAL INCOME FUND	'316344209	FPXTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY PACIFIC BASIN FUND	'316343201	FPBFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY PENNSYLVANIA MUNI MONEY MARKET FUND	'316344100	FPPTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY PRIME RESERVES PORTFOLIO FUND CLASS I	'31607A877	FDPXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY PRIME RESERVES PORTFOLIO FUND CLASS II	'31607A869	FEPPX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY PRIME RESERVES PORTFOLIO FUND CLASS III	'31607A851	FFPPX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY PRIME RESERVES PORTFOLIO INSTITUTIONAL FUND CLASS	'31607A836	FHPXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY PRIME RESERVES PORTFOLIO SELECT FUND CLASS	'31607A844	FGPXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY PURITAN FUND	'316345107	FPURX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY REAL ESTATE INCOME FUND	'316389865	FRIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY REAL ESTATE INDEX FUND	'316146232	FSRNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY REAL ESTATE INVESTMENT PORTFOLIO	'316138205	FRESX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT AIR TRANSPORTATION FUND	'316390798	FSAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT AUTO FUND	'316390699	FSAVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT BANKING PORTFOLIO	'316390640	FSRBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT BIOTECHNOLOGY FUND	'316390772	FBIOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT BROKERAGE MANAGEMENT FUND	'316390855	FSLBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT CHEMICAL PORTFOLIO FUND	'316390889	FSCHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT COMMUNICATION SERVICES PORTFOLIO	'316390681	FBMPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT COMMUNICATIONS EQUIPMENT PORTFOLIO	'316390566	FSDCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT COMPUTER FUND	'316390871	FDCPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT CON- STRUCTION & HOUSING FUND	'316390616	FSHOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT CONS UMER PRODUCTS FUND	'316390558	FSCPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT CONSUMER STAPLES FUND	'316390848	FDFAV	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT CYCLICAL INDUSTRIES	'316390517	FCVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT DEFENSE & AEROSPACE FUND	'316390806	FSOAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT ENERGY PORTFOLIO	'316390103	FSENX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT ENERGY SERVICES FUND	'316390764	FSESX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT ENVI RONMENTAL SERVICES FUND	'316390574	FSLEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT FINANCIAL SERVICES PORTFOLIO FUND	'316390608	FIDSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT GOLD FUND	'316390780	FSAGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT HEALTH CARE FUND	'316390301	FSPHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT HEALTH CARE SERVICES PORTFOLIO	'316390665	FSCHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT INSURANCE FUND	'316390541	FSPCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FIDELITY FUNDS	FIDELITY SELECT IT SERVICES	'316390483	FB5OX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT LEISURE PORTFOLIO FD	'316390707	FDL5X	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT MATERIALS	'316390590	FSDPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT MEDICAL EQUIPMENT & SYSTEMS FUND	'316390475	FSMEX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY SELECT NATURAL GAS FUND	'316390525	FSNGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT NATURAL RESOURCES	'316390491	FNARX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT PHARMACEUTICALS PORTFOLIO	'316390442	FPHAX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT RETAILING FUND	'316390731	FSRPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT SEMICONDUCTORS PORTFOLIO	'316390863	FSELX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT SOFTWARE AND IT SERVICES PORTFOLIO	'316390822	FSCSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT TECH NOLOGY PORTFOLIO FD	'316390202	FSPTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT TELE COMMUNICATIONS PORTFOLIO FUND	'316390830	FSTCX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT TRANSPORTATION FUND	'316390582	FSRFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT UTILITIES PORTFOLIO FUND	'316390509	FSUTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SELECT WIRELESS PORTFOLIO	'316390459	FWRLX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SHORT DURATION HIGH INCOME FUND	'31641Q847	FSAXH	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SHORT TERM BOND INDEX FUND	'31635V273	FNSOX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SHORT-TERM BOND PORTFOLIO FUND	'316146208	FSHBX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SHORT-TERM TREASURY BOND INDEX FUND	'31635V216	FUMBX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SIMPLICITY RMD 2025 FUND	'31617L475	FMRHX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SMALL CAP DISCOVERY FUND	'315912600	FSCRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY SMALL CAP ENHANCED INDEX FUND	'31606X506	FCPEX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SMALL CAP GROWTH INDEX	'31635T781	FCGFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SMALL CAP INDEX FUND	'316146182	FSSNX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SMALL CAP VALUE INDEX	'31635T773	FISVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SMALL-CAP GROWTH FUND	'316389766	FCPGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY SMALL-CAP STOCK FUND	'315912501	FSLCX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SMALL-CAP VALUE FUND	'316389832	FCPVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY STOCK SELECTOR ALL CAP FUND	'316066307	FDSSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY STOCK SELECTOR LARGE CAP VALUE FUND	'316128602	FDLVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY STOCK SELECTOR MID CAP FUND	'315805283	FSSMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY STOCK SELECTOR SMALL CAP FUND	'315912303	FDSCX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY STRATEGIC DIVIDEND & INCOME FUND	'316145887	FDIDX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY STRATEGIC REAL RETURN FUND	'315912881	FSRRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY SUSTAINABILITY BOND INDEX FUND	'31635T401	FND5X	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TAX EXEMPT MONEY MARKET FUND CAPITAL RESERVES CLASS	'650914302	FERXX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY TAX EXEMPT MONEY MARKET FUND PREMIUM CLASS	'316341403	FZEXX	No/Low Load	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
FIDELITY FUNDS	FIDELITY TAX FREE BOND FUND	'316128503	FTABX	No/Low Load	Initial: 25000.0; Sub: 1000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TAX-EXEMPT MONEY MARKET FUND DAILY MONEY CLASS	'238816107	FDEXX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TELECOM AND UTILITIES FUND	'316128107	FUIUX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TOTAL BOND FUND	'31617K881	FTBFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TOTAL EMERGING MARKETS FUND	'31618H598	FTEMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TOTAL INTERNATIONAL EQUITY FUND	'315910299	FTIEX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TOTAL INTERNATIONAL INDEX FUND	'31635V638	FTIHX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TOTAL MARKET INDEX FUND	'315911693	FSKAX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TREASURY MONEY MARKET FUND	'316341304	FZFXX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TREASURY MONEY MARKET FUND CAPITAL RESERVES CLASS	'650914104	FSRXX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TREASURY MONEY MARKET FUND DAILY MONEY CLASS	'238809201	FDUXX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TREASURY ONLY MONEY MARKET FUND	'31617H300	FDLXX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TREASURY ONLY PORTFOLIO INSTITUTIONAL FUND CLASS	'31607A802	FRSXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY TREND FUND	'316423102	FTNRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY U.S. BOND INDEX FUND	'316146356	FXNAX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY U.S. SUSTAINABILITY INDEX FUND	'31635V398	FITLX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY VALUE DISCOVERY FUND	'316345503	FVDFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY VALUE FUND	'316464106	FDVLX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY VALUE STRATEGIES FUND	'316401108	FSL5X	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY WOMEN'S LEADERSHIP FUND	'31641Q664	FWOMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY WORLDWIDE FUND	'315910505	FWWFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY ADVISOR HEALTH CARE FUND CLASS Z	'315918193	FIKXC	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIDELITY FUNDS	FIDELITY INVESTMENTS MMY MKT FDS TREAS PORT SELECT CL	'192826204	FTUXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST AMERICAN FUNDS	FIRST AMERICAN GOV'T OBLIGATION FD CLASS A	'31846V849	FAAXX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST AMERICAN FUNDS	FIRST AMERICAN RETAIL TAX FREE OBLIGATIONS FUND CLASS A	'31846V872	FTAXX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE COVERED CALL STRATEGY FUND CLASS A	'24611D102	FRCCX	Load; FundVest Institutional	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE COVERED CALL STRATEGY FUND CLASS R6	'24611D300	FRCEX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE COVERED CALL STRATEGY FUND INSTITUTIONAL CLASS	'24611D201	FRCDX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE EQUITY INCOME FUND CLASS A	'24611D409	FUIUX	Load; FundVest Institutional	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE EQUITY INCOME FUND CLASS R6	'24611D607	FUIVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE EQUITY INCOME FUND INSTITUTIONAL CLASS	'24611D508	FUIUX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE FLOATING RATE II FUND CLASS A	'24611D615	FRFDX	Load; FundVest Institutional	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE FLOATING RATE II FUND CLASS R6	'24611D581	FRFNX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE FLOATING RATE II FUND INSTITUTIONAL CLASS	'24611D599	FRFEX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE FUND FOR INCOME CLASS A	'24611D573	FIFIX	Load; FundVest Institutional	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE FUND FOR INCOME CLASS R6	'24611D557	FIFLX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE FUND FOR INCOME INSTITUTIONAL CLASS	'24611D565	FIFXX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE GLOBAL EQUITY FUND CLASS A	'24611D706	FII5X	Load; FundVest Institutional	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FIRST INVESTORS FUNDS	DELAWARE GLOBAL EQUITY FUND CLASS R6	24611D888	FILUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE GLOBAL EQUITY FUND INSTITUTIONAL CLASS	24611D805	FIIITX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE GROWTH AND INCOME FUND CLASS A	24611D870	FGINX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE GROWTH AND INCOME FUND CLASS R6	24611D854	FGIQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE GROWTH AND INCOME FUND INSTITUTIONAL CLASS	24611D862	FGIPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE GROWTH EQUITY FUND CLASS A	24611D714	FICGX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE GROWTH EQUITY FUND CLASS R6	24611D680	FICIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE GROWTH EQUITY FUND INSTITUTIONAL CLASS	24611D698	FICHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE HEDGED U.S. EQUITY OPPORTUNITIES FUND CLASS A	24611D847	FHEJX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE HEDGED U.S. EQUITY OPPORTUNITIES FUND OPPORTUNITIES FUND	24611D839	FHEKX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE INTERNATIONAL FUND CLASS A	24611D813	FIINX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE INTERNATIONAL FUND CLASS R6	24611D789	FIIOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE INTERNATIONAL FUND INSTITUTIONAL CLASS	24611D797	FIIPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE INTERNATIONAL OPPORTUNITIES BOND FUND CLASS A	24611D524	FIOBX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE INTERNATIONAL OPPORTUNITIES BOND FUND CLASS R6	24611D490	FIOEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE INTERNATIONAL OPPORTUNITIES BOND FUND INSTITUTIONAL CLASS	24611D516	FIODX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE INVESTMENT GRADE FUND CLASS A	24611D482	FIIGX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE INVESTMENT GRADE FUND CLASS R6	24611D466	FIIXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE INVESTMENT GRADE FUND INSTITUTIONAL CLASS	24611D474	FIIUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE LIMITED DURATION BOND CLASS R6	24611D433	FLOMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE LIMITED DURATION BOND FUND CLASS A	24611D458	FLDKX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE LIMITED DURATION BOND FUND INSTITUTIONAL CLASS	24611D441	FLDLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE OPPORTUNITY FUND CLASS A	24611D771	FIIUX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE OPPORTUNITY FUND CLASS R6	24611D755	FIVVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE OPPORTUNITY FUND INSTITUTIONAL CLASS	24611D763	FIVUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE PREMIUM INCOME FUND CLASS A	24611D748	FPIKX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE PREMIUM INCOME FUND CLASS R6	24611D722	FPIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE PREMIUM INCOME FUND INSTITUTIONAL CLASS	24611D730	FPIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE SPECIAL SITUATIONS FUND CLASS A	24611D672	FISXS	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE SPECIAL SITUATIONS FUND CLASS R6	24611D656	FISUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE SPECIAL SITUATIONS FUND INSTITUTIONAL CLASS	24611D664	FISTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE STRATEGIC INCOME II FUND CLASS A	24611D425	FSIFX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE STRATEGIC INCOME II FUND INSTITUTIONAL CLASS	24611D417	FSIHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TAX-EXEMPT INCOME FUND CLASS A	245912878	FIITX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TAX-EXEMPT INCOME FUND INSTITUTIONAL CLASS	245912860	FIITX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TAX-EXEMPT OPPORTUNITIES FUND CLASS A	245912845	EIITX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TAX-EXEMPT OPPORTUNITIES FUND INSTITUTIONAL CLASS	245912837	EIIAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TAX-FREE CALIFORNIA II FUND CLASS A	245912811	FICAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TAX-FREE CALIFORNIA II FUND INSTITUTIONAL CLASS	245912795	FICIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TAX-FREE NEW JERSEY FUND CLASS A	245912779	FINIX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TAX-FREE NEW JERSEY FUND INSTITUTIONAL CLASS	245912761	FINLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TAX-FREE NEW YORK II FUND CLASS A	245912746	FNIFX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TAX-FREE NEW YORK II FUND INSTITUTIONAL CLASS	245912738	FNHXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TAX-FREE OREGON FUND CLASS A	245912712	FTORX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TAX-FREE OREGON FUND INSTITUTIONAL CLASS	245912696	FTOTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TOTAL RETURN FUND CLASS A	24611D649	FITRX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TOTAL RETURN FUND CLASS R6	24611D623	FITVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST INVESTORS FUNDS	DELAWARE TOTAL RETURN FUND INSTITUTIONAL CLASS	24611D631	FITUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST TRUST FUNDS	FIRST TRUST PREF SECURITIES & INCOME FUND CLASS A	33738A107	FPEAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST TRUST FUNDS	FIRST TRUST PREF SECURITIES & INCOME FUND CLASS F	33738A123	FPEFX	Load	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST TRUST FUNDS	FIRST TRUST PREF SECURITIES & INCOME FUND CLASS I	33738A131	FPEIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST TRUST FUNDS	FIRST TRUST PREF SECURITIES & INCOME FUND CLASS R3	33738A149	FPERX	Load	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST TRUST FUNDS	FIRST TRUST SHORT DURATION HIGH INCOME FUND CLASS A	33738F601	FDHAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST TRUST FUNDS	FIRST TRUST SHORT DURATION HIGH INCOME FUND CLASS I	33738F882	FDHIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST TRUST FUNDS	FIRST TRUST/ CONFLUENCE SM CAP VALUE FUND CLASS A	33731W106	FOVAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST TRUST FUNDS	FIRST TRUST/ CONFLUENCE SM CAP VALUE FUND CLASS I	33731W130	FOVIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRST TRUST FUNDS	FIRST TRUST/ CONFLUENCE SM CAP VALUE FUND CLASS R3	33731W148	FOVRX	Load	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRSTHAND FUNDS	FIRSTHAND ALTERNATIVE ENERGY FUND	337941827	ALTEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FIRSTHAND FUNDS	FIRSTHAND TECHNOLOGY OPPORTUNITIES FUND	337941504	TEFOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FMI FUNDS	FMI COMMON STOCK FUND	302933403	FMIIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FMI FUNDS	FMI COMMON STOCK FUND INSTITUTIONAL CLASS	302933601	FMIUXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FMI FUNDS	FMI INTERNATIONAL FUND INSTITUTIONAL CLASS	302933700	FMIYIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FMI FUNDS	FMI INTERNATIONAL FUND INVESTOR CLASS	302933304	FMIJIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FMI FUNDS	FMI LARGE CAP FUND	302933205	FMIHXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FMI FUNDS	FMI LARGE CAP FUND INSTITUTIONAL CLASS	302933502	FMIQXX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FORESIDE FUNDS	BRADDOCK MULTI STRATEGY INCOME FUND CLASS A	46141Q618	BDKAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FORESIDE FUNDS	BRADDOCK MULTI STRATEGY INCOME FUND CLASS I	46141Q584	BDKNX	No/Low Load	Initial : 1000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FORESIDE FUNDS	ROBINSON OPPORTUNISTIC INCOME FUND CLASS A	46141Q576	RBNAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FORESIDE FUNDS	ROBINSON OPPORTUNISTIC INCOME FUND CLASS I	46141Q550	RBNNX	No/Low Load	Initial : 1000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FORESIDE FUNDS	ROBINSON TAX ADVANTAGED INCOME FUND CLASS A	46141Q105	ROBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FORESIDE FUNDS	ROBINSON TAX ADVANTAGED INCOME FUND INSTITUTIONAL CLASS	46141Q303	ROBNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FORESIDE FUNDS	WEST LOOP REALTY FUND CLASS A	46141P446	REIAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FORESIDE FUNDS	WEST LOOP REALTY FUND CLASS I	46141P420	REIIX	No/Low Load	Initial : 1000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FOUNDRY PARTNERS FUNDS	FOUNDRY PARTNERS FUNDAMENTAL SMALL CAP VALUE FUND INSTITUTIONAL CLASS	92046L668	DRISX	No/Low Load	Initial : 1000000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FOUNDRY PARTNERS FUNDS	FOUNDRY PARTNERS FUNDAMENTAL SMALL CAP VALUE FUND RETAIL CLASS	92046L650	DRSVX	No/Low Load	Initial : 2500.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FPA FUNDS	FPA CAP FUND INC.	302539101	FPPTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FPA FUNDS	FPA CRESCENT PORTFOLIO	302541759	FPACX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FPA FUNDS	FPA FLEXIBLE FIXED INCOME FUND	302541718	FPFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FPA FUNDS	FPA INTERNATIONAL VALUE FUND	302541726	FPVIX	No/Low Load	Initial : 1500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FPA FUNDS	FPA NEW INCOME INC COM	302544101	FPNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FPA FUNDS	FPA PARAMOUNT FUND INC	302546106	FPFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FPA FUNDS	FPA U.S. VALUE FUND	302548102	FPFPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN ADJUSTABLE U.S. GOVERNMENT SECURITIES FD CL A1	353612476	FAUGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN ADJUSTABLE U.S. GOVERNMENT SECURITIES FUND ADVISOR CLASS	353612625	FAUZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN ADJUSTABLE U.S. GOVT SECS FUND CLASS A	353612302	FISAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN ALABAMA TAX-FREE INCOME FUND ADVISOR CLASS	354724601	FALZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN ALABAMA TAX-FREE INCOME FUND CLASS A	354726101	FALQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN ALABAMA TAX-FREE INCOME FUND CLASS A1	354723884	FRALX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN ALABAMA TAX-FREE INCOME FUND CLASS R6	354724551	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN ARIZONA TAX-FREE INCOME FUND CLASS A1	354723876	FTAZX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN ARIZONA TAX-FREE INCOME FUND ADVISOR CLASS	354723256	FAZZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN ARIZONA TAX-FREE INCOME FUND CLASS A	354726200	FAZQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN ARIZONA TAX-FREE INCOME FUND CLASS R6	354724452	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN BALANCE SHEET FUND ADVISOR CLASS	355148859	FBSAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN BALANCE SHEET FUND CLASS A	355148107	FRBSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN BALANCE SHEET INVESTMENT FUND CLASS R	355148842	FBSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN BALANCE SHEET INVESTMENT FUND CLASS R6	355148693	FBSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN BALANCED FUND CLASS R	353612666	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN BIOTECH DISCOVERY FUND ADVISOR CLASS	354713398	FTDZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN BIOTECHNOLOGY DISCOVERY FUND CL A	354713844	FBIDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN BIOTECHNOLOGY DISCOVERY FUND CLASS R6	354713380	FRBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CA HIGH YIELD MUNICIPAL CLASS A1	354025306	FCAMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN CALIFORNIA HIGH YIELD MUNI FUND ADVISOR CLASS	354025801	FVCAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CALIFORNIA HIGH YIELD MUNICIPAL FUND CLASS A	354025835	FCQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CALIFORNIA HIGH YIELD MUNICIPAL FUND CLASS R6	354025850	FCQAQ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CALIFORNIA INTER-TERM TAX-FREE FUND CLASS A1	352519300	FKCIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN CALIFORNIA INTERMEDIATE TERM TAX FREE INC FD CL R6	352519847	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CALIFORNIA INTERMEDIATE-TERM TAX-FREE FD ADVISOR CLASS	352519888	FRCCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CALIFORNIA INTERMEDIATE-TERM TAX-FREE INCOME FUND CLASS A	352519813	FCQOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CALIFORNIA TAX FREE INCOME FUND CLASS A1	352518104	FKTFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN CALIFORNIA TAX-FREE INCOME FUND ADVISOR CLASS	352518401	FCAVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CALIFORNIA TAX-FREE INCOME FUND CLASS A	352518807	FTFQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CALIFORNIA TAX-FREE INCOME FUND CLASS R6	352518609	FKTOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN COLORADO TAX FREE INCOME FUND CLASS A1	354723868	FRCOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN COLORADO TAX-FREE INCOME FUND ADVISOR CLASS	354724205	FCOZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN COLORADO TAX-FREE INCOME FUND CLASS A	354726309	FCOOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN COLORADO TAX-FREE INCOME FUND CLASS R6	354724445	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CONN TAX-FREE INCOME FUND ADVISOR CLASS	354724304	FCNZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CONNECTICUT TAX FREE INCOME FUND CLASS A	354726408	FCQTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CONNECTICUT TAX FREE INCOME FUND CLASS R6	354724437	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CONNECTICUT TAX-FREE INCOME FUND CLASS A1	354723744	FCXTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN CONSERVATIVE ALLOCATION FD ADVISOR CL	35472P851	FTCZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CONSERVATIVE ALLOCATION FUND CL A	35472P109	FTCIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CONSERVATIVE ALLOCATION FD CL R	35472P703	FTCRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN CONVERTIBLE SECS FUND CLASS A	353612104	FISCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN CONVERTIBLE SECURITIES FD ADVISOR CLASS	353612641	FCSZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN CONVERTIBLE SECURITIES FUND CLASS R6	353612484	FCSKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN COREFOLO ALLOCATION FUND ADVISOR CLASS	35472P745	FCAZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN COREFOLO ALLOCATION FUND CL R	35472P752	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN COREFOLO ALLOCATION FUND CLASS A	35472P786	FTCOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN COREFOLO ALLOCATION FUND CLASS R6	35473A630	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN DYNATECH FUND ADVISOR CLASS	353496680	FDYZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN DYNATECH FUND CLASS A	353496201	FDKNX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN DYNATECH FUND CLASS R	353496672	FDNRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN DYNATECH FUND CLASS R6	353496656	FDRTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN EMERGING MARKET DEBT OPPORTUNITIES FUND	353533813	FEMDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN EQUITY INCOME FUND ADVISOR CLASS	353612633	FEFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN EQUITY INCOME FUND CLASS A	353612401	FISEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN EQUITY INCOME FUND CLASS R	353612740	FREIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN EQUITY INCOME FUND CLASS R6	353612567	FEIQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FEDERAL INTER TERM TAX-FREE FUND CLASS A1	354723710	FKITX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN FEDERAL INTERMEDIATE-TERM TAX-FREE INCOME FUND ADVISOR CLASS	354723215	FITZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FEDERAL INTERMEDIATE-TERM TAX-FREE INCOME FUND CLASS A	354726507	FKQTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FEDERAL INTERMEDIATE-TERM TAX-FREE INCOME FUND CLASS R6	354724619	FITQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FEDERAL LIMITED TERM TAX FREE INCOME FUND CLASS A	354726606	FFLQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FEDERAL LIMITED-TERM TAX FREE FUND CLASS A1	354723280	FFTFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN FEDERAL LIMITED-TERM TAX FREE INC FD ADVISOR CLASS	354723132	FTFZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FEDERAL LIMITED-TERM TAX FREE INCOME FUND CLASS R6	354724593	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FEDERAL TAX FREE INCOME FUND CLASS A1	353519101	FKTIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN FEDERAL TAX-FREE INCOME FUND CLASS	353519408	FAFTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FRANKLIN TEMPLETON FUNDS	FRANKLIN FEDERAL TAX-FREE INCOME FUND CLASS A	353519804	FFOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FEDERAL TAX-FREE INCOME FUND CLASS R6	353519606	FFTQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FLEXIBLE ALPHA BOND FUND ADVISOR CLASS	354713182	FZBAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN FLEXIBLE ALPHA BOND FUND CLASS A	354713232	FABFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN FLEXIBLE ALPHA BOND FUND CLASS R	354713216	FABMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FLEXIBLE ALPHA BOND FUND CLASS R6	354713190	FABNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN FLOATING RATE DAILY ACCESS FUND ADVISOR CLASS	353612781	FDAAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FLOATING RATE DAILY ACCESS FUND CLASS A	353612823	FAFRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FLOATING RATE DAILY ACCESS FUND CLASS R6	353612559	FFRDY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FLORIDA TAX FREE INCOME CLASS A1	354723850	FRFLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN FLORIDA TAX-FREE INCOME FUND ADVISOR CLASS	354724700	FFTZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FLORIDA TAX-FREE INCOME FUND CLASS A	354726705	FQFLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FLORIDA TAX-FREE INCOME FUND CLASS R6	354724544	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FOUNDING ALLOCATION CLASS A	35472P844	FFALX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FOUNDING ALLOCATION FUND CLASS R	35472P810	FFARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FOUNDING FUNDS ALLOCATION FUND ADVISOR CLASS	35472P794	FFAAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN FOUNDING FUNDS ALLOCATION FUND CLASS R6	35473A622	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GEORGIA TAX FREE INCOME FUND CLASS A1	354723843	FTGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN GEORGIA TAX-FREE INCOME FUND ADVISOR CLASS	354724809	FGFZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GEORGIA TAX-FREE INCOME FUND CLASS A	354726804	FGAQQ	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GEORGIA TAX-FREE INCOME FUND CLASS R6	354724536	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GLOBAL LISTED INFRASTRUCTURE FUND ADVISOR CLASS	353533573	FLGZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN GLOBAL LISTED INFRASTRUCTURE FUND CLASS A	353533623	FLGIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN GLOBAL LISTED INFRASTRUCTURE FUND CLASS R	353533599	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN GOLD AND PRECIOUS METALS FUND ADVISOR CLASS	353535305	FGADY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GOLD AND PRECIOUS METALS FUND CLASS A	353535107	FKRCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GOLD AND PRECIOUS METALS FUND CLASS R6	353535503	FGPMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GROWTH ALLOCATION FUND ADVISOR CLASS	35472P877	FGTZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GROWTH ALLOCATION FUND CLASS A	35472P505	FGTIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GROWTH ALLOCATION FUND CLASS R	35472P802	FGTRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GROWTH FUND ADVISOR CLASS	353496839	FCGAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GROWTH FUND CLASS A	353496508	FKGRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GROWTH FUND CLASS R	353496730	FGSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GROWTH OPPORTUNITIES FUND ADVISOR CLASS	354713729	FRAAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GROWTH OPPORTUNITIES FUND CLASS A	354713687	FGRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GROWTH OPPORTUNITIES FUND CLASS R	354713513	FKARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GROWTH OPPORTUNITIES FUND CLASS R6	354713356	FOPPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN GROWTH SERIES CLASS R6	353496649	FIFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN HIGH INCOME FUND ADVISOR CLASS	353538309	FVHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN HIGH INCOME FUND CLASS A	353538887	FHQRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN HIGH INCOME FUND CLASS A1	353538101	FHAIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN HIGH INCOME FUND CLASS R	353538507	FHIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN HIGH INCOME FUND CLASS R6	353538606	FHRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN HIGH YIELD TAX FREE INCOME FUND ADVISOR CLASS	354723272	FHYVY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN HIGH YIELD TAX-FREE INCOME FUND CLASS A	354726887	FHYQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN HIGH YIELD TAX-FREE INCOME FUND CLASS R6	354724585	FHYRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN HIGH-YIELD TAX-FREE INCOME FUND CLASS A1	354723702	FRHIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN INCOME FUND ADVISOR CLASS	353496847	FRIAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN INCOME FUND CLASS A	353496490	FKIQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN INCOME FUND CLASS A1	353496300	FKINX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN INCOME FUND CLASS R	353496722	FISRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN INCOME FUND CLASS R6	353496631	FNCFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN INT'L SMALL CAP GROWTH FUND ADVISOR CLASS	353533888	FKSCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN INTERNATIONAL GROWTH FUND ADV CL	353533698	FNGZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN INTERNATIONAL GROWTH FUND CLASS A	353533730	FNGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN INTERNATIONAL GROWTH FUND CLASS R	353533714	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN INTERNATIONAL GROWTH FUND CLASS R6	353533649	FILRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN INTERNATIONAL SMALL CAP GROWTH FD CL R	353533748	FISDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN INTERNATIONAL SMALL CAP GROWTH FD CL R6	353533631	FCAPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN INTERNATIONAL SMALL CAP GROWTH FUND CL A	353533763	FINAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN K2 ALTERNATIVE STRATEGIES FUND ADVISOR CLASS	35241W500	FABZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN K2 ALTERNATIVE STRATEGIES FUND CLASS A	35241W104	FAAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN K2 ALTERNATIVE STRATEGIES FUND CLASS R	35241W302	FSKXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN K2 ALTERNATIVE STRATEGIES FUND CLASS R6	35241W401	FASRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN K2 LONG SHORT CREDIT FUND ADVISOR CLASS	35241W823	FKLZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN K2 LONG SHORT CREDIT FUND CLASS A	35241W864	FKLSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN K2 LONG SHORT CREDIT FUND CLASS R	35241W849	FKLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN K2 LONG SHORT CREDIT FUND CLASS R6	35241W831	FKLQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN KENTUCKY TAX-FREE INCOME FUND ADVISOR CLASS	354724882	FKTZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN KENTUCKY TAX-FREE INCOME FUND CLASS A	354726879	FRKQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN KENTUCKY TAX-FREE INCOME FUND CLASS A1	354723728	FRKYX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN KENTUCKY TAX-FREE INCOME FUND CLASS R6	354724528	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2015 RETIREMENT TARGET FUND CLASS R6	35472P398	FLMTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2020 RETIREMENT TARGET FUND ADVISOR CLASS	35472P315	FLROX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2020 RETIREMENT TARGET FUND CLASS A	35472P356	FLRMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus. Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2020 RETIREMENT TARGET FUND CLASS R	35472P331	FLRVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2020 RETIREMENT TARGET FUND CLASS R6	35472P323	FRTSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2025 RETIREMENT TARGET FUND ADV	35472P570	FLRFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2025 RETIREMENT TARGET FUND CLASS A	35472P612	FTRTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2025 RETIREMENT TARGET FUND CLASS R	35472P588	FRELX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2025 RETIREMENT TARGET FUND CLASS R6	35472P380	FTLMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2030 RETIREMENT TARGET FUND ADVISOR CLASS	35472P257	FLRZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2030 RETIREMENT TARGET FUND CLASS A	35472P299	FLRSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2030 RETIREMENT TARGET FUND CLASS R	35472P273	FLRWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2030 RETIREMENT TARGET FUND CLASS R6	35472P265	FLERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2035 RETIREMENT TARGET FUND ADVISOR CLASS	35472P539	FLRHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2035 RETIREMENT TARGET FUND CLASS A	35472P562	FRTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2035 RETIREMENT TARGET FUND CLASS R	35472P547	FLRGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2035 RETIREMENT TARGET FUND CLASS R6	35472P372	FMTLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2040 RETIREMENT TARGET FUND ADVISOR CLASS	35472P190	FLSHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2040 RETIREMENT TARGET FUND CLASS A	35472P240	FLADX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2040 RETIREMENT TARGET FUND CLASS R	35472P224	FLSGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2040 RETIREMENT TARGET FUND CLASS R6	35472P216	FLREX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2045 RETIREMENT TARGET FUND ADVISOR CLASS	35472P489	FLRLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2045 RETIREMENT TARGET FUND CLASS A	35472P521	FTTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2045 RETIREMENT TARGET FUND CLASS R	35472P497	FLRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2045 RETIREMENT TARGET FUND CLASS R6	35472P364	FMLTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2050 RETIREMENT TARGET FUND ADVISOR CLASS	35472P141	FLSOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2050 RETIREMENT TARGET FUND CLASS A	35472P182	FLSIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2050 RETIREMENT TARGET FUND CLASS R	35472P166	FLSNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2050 RETIREMENT TARGET FUND CLASS R6	35472P158	FLREX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2055 RETIREMENT TARGET FUND ADVISOR CLASS	35473A507	FLTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2055 RETIREMENT TARGET FUND CLASS A	35473A101	FLTFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART 2055 RETIREMENT TARGET FUND CLASS R	35473A309	FLSBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART RETIREMENT INCOME FUND ADVISOR CL	35472P620	FLRDZ	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART RETIREMENT INCOME FUND CLASS A	35472P653	FTRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART RETIREMENT INCOME FUND CLASS R	35472P638	FBRLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LIFESMART TM 2055 RETIREMENT TARGET FUND CLASS R6	35473A408	FLSZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LOUISIANA TAX-FREE INCOME FUND ADVISOR CLASS	354724874	FLTZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LOUISIANA TAX-FREE INCOME FUND CLASS A	354726861	FQLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LOUISIANA TAX-FREE INCOME FUND CLASS A1	354723827	FKLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN LOUISIANA TAX-FREE INCOME FUND CLASS R6	354724510	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LOW DURATION TOTAL RETURN FUND ADV CL	353612617	FLDZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LOW DURATION TOTAL RETURN FUND CLASS A	353612690	FLDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN LOW DURATION TOTAL RETURN FUND CLASS R6	353612534	FLRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MANAGED INCOME FUND ADVISOR CLASS	353612658	FBFZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MANAGED INCOME FUND CLASS A	353612682	FBLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MANAGED INCOME FUND CLASS R6	353612575	FBFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MARYLAND TAX-FREE INCOME FUND ADVISOR CLASS	354723140	FMDZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MARYLAND TAX-FREE INCOME FUND CLASS A	354726853	FQMDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MARYLAND TAX-FREE INCOME FUND CLASS A1	354723736	FMDTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN MARYLAND TAX-FREE INCOME FUND CLASS R6	354724494	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MASS TAX-FREE INCOME FUND CLASS A1	354723207	FMI5X	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN MASSACHUSETTS TAX FREE INCOME FUND CLASS A	354726846	FMAQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MASSACHUSETTS TAX FREE INCOME FUND CLASS R6	354724577	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MASSACHUSETTS TAX-FREE INCOME FUND ADVISOR CLASS	354723199	FMAHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MICHIGAN TAX-FREE INCOME FUND ADVISOR CLASS	354723249	FMTFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MICHIGAN TAX-FREE INCOME FUND CLASS A	354726838	FMTQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MICHIGAN TAX-FREE INCOME FUND CLASS A1	354723306	FTTMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN MICHIGAN TAX-FREE INCOME FUND CLASS R6	354724429	FKTNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MICRO CAP VALUE FUND ADVISOR CLASS	355148750	FVRMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MICROCAP VALUE CLASS A	355148206	FRMCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MICROCAP VALUE FUND CLASS R6	355148677	FMCVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MINNESOTA TAX-FREE INCOME FUND ADVISOR CLASS	354723181	FMNZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MINNESOTA TAX-FREE INCOME FUND CLASS A	354726820	FMNQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MINNESOTA TAX-FREE INCOME FUND CLASS A1	354723405	FMINX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN MINNESOTA TAX-FREE INCOME FUND CLASS R6	354724411	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MISSOURI TAX-FREE INCOME FUND ADVISOR CLASS	354723165	FRMZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MISSOURI TAX-FREE INCOME FUND CLASS A	354726812	FMQQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MISSOURI TAX-FREE INCOME FUND CLASS A1	354723819	FRMQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN MISSOURI TAX-FREE INCOME FUND CLASS R6	354724486	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MODERATE ALLOCATION FUND CLASS R	35472P885	FTMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MODERATE ALLOCATION FUND ADVISOR CLASS	35472P869	FMTZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MODERATE ALLOCATION FUND CLASS A	35472P907	FMTIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL BEACON CLASS A	628380875	TEBIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL BEACON CLASS Z	628380305	BEGRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL BEACON FUND CLASS R	354026858	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL BEACON FUND CLASS R6	354026817	FMBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL EUROPEAN CLASS A	628380834	TEMIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL EUROPEAN CLASS Z	628380503	MEURX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL EUROPEAN FUND CLASS R6	354026791	FMEUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL FINANCIAL SERVICES FUND CL Z	354026304	TEFAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL FINANCIAL SERVICES FUND CLASS A	354026106	TFSEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL FINANCIAL SERVICES FUND CLASS R6	354026783	FMFVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL GLOBAL DISCOVERY FUND CLASS A	628380859	TEDIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL GLOBAL DISCOVERY FUND CLASS R	354026601	TEDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL GLOBAL DISCOVERY FUND CLASS R6	354026775	FMDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL GLOBAL DISCOVERY FUND CLASS Z	628380404	MDISX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL INTERNATIONAL FUND CLASS A	354026700	FMIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL INTERNATIONAL FUND CLASS R	354026882	FRMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL INTERNATIONAL FUND CLASS R6	354026767	FIMFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL INTERNATIONAL FUND CLASS Z	354026874	FMIZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL QUEST FUND CLASS A	628380800	TEQIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL QUEST FUND CLASS R	354026866	FMQSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL QUEST FUND CLASS R6	354026759	FMQRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL QUEST FUND CLASS Z	628380206	MQIFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL SHARES CLASS A	628380602	TESIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL SHARES CLASS Z	628380107	MUTHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL SHARES FUND CLASS R	354026502	TESRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN MUTUAL SHARES FUND CLASS R6	354026742	FMSHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN N.C. TAX-FREE INCOME FUND ADVISOR CLASS	354723173	FNCZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NATURAL RESOURCES FUND ADVISOR CLASS	354713851	FNRRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NATURAL RESOURCES FUND CLASS A	354713604	FRNRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEW JERSEY TAX-FREE INCOME FUND ADVISOR CLASS	354723231	FNJZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEW JERSEY TAX-FREE INCOME FUND CLASS A	354726796	FNJQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEW JERSEY TAX-FREE INCOME FUND CLASS A1	354723751	FRNJX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEW JERSEY TAX-FREE INCOME FUND CLASS R6	354724569	FNJRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEW YORK INTER TERM TAX FREE CLASS A1	354128308	FKNIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEW YORK INTER-TERM TAX-FREE INCOME FD ADVISOR CL	354128704	FNYZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEW YORK INTERMEDIATE-TERM TAX-FREE INCOME FUND CLASS A	354128860	FKNQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEW YORK INTERMEDIATE-TERM TAX-FREE INCOME FUND CLASS R6	354128878	FKNRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEW YORK TAX-FREE INCOME FUND ADVISOR CLASS	354130403	FNVAQ	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEW YORK TAX-FREE INCOME FUND CLASS A	354130809	FNVOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEW YORK TAX-FREE INCOME FUND CLASS A1	354130106	FNVTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEW YORK TAX-FREE INCOME FUND CLASS R6	354130601	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEXTSTEP CONSERVATIVE FUND ADVISOR CLASS	35473A119	FNVCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEXTSTEP CONSERVATIVE FUND CLASS A	35473A762	FNCAQ	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEXTSTEP GROWTH FUND ADVISOR CLASS	35473A135	FNGVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEXTSTEP GROWTH FUND CLASS A	35473A747	FNGBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEXTSTEP MODERATE FUND ADVISOR CLASS	35473A127	FNMMZ	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NEXTSTEP MODERATE FUND CLASS A	35473A721	FNMDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NORTH CAROLINA TAX-FREE INCOME FUND CLASS A	354726788	FQNCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN NORTH CAROLINA TAX-FREE INCOME FUND CLASS A1	354723793	FXNCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN NORTH CAROLINA TAX-FREE INCOME FUND CLASS R6	354724478	FNCOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN OHIO TAX FREE INCOME FUND CLASS A	354726770	FOHOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN OHIO TAX FREE INCOME FUND CLASS R6	354724395	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN OHIO TAX-FREE INCOME FUND ADVISOR CLASS	354723223	FROZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN OHIO TAX-FREE INCOME FUND CLASS A1	354723504	FTOIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN OREGON TAX FREE INCOME FUND CLASS A	354726762	FOROX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN OREGON TAX -FREE INCOME FUND CLASS A1	354723785	FRORX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN OREGON TAX-FREE INCOME FUND ADVISOR CLASS	354724502	FOFZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN OREGON TAX-FREE INCOME FUND CLASS R6	354724387	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN PAYOUT 2019 FUND ADVISOR CLASS	35473A879	N/A	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN PAYOUT 2020 FUND ADVISOR CLASS	35473A853	N/A	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN PAYOUT 2021 FUND ADVISOR CLASS	35473A838	N/A	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN PAYOUT 2022 FUND ADVISOR CLASS	35473A812	FPQOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN PENN TAX FREE INCOME FUND CLASS A1	354723801	FRPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN PENNSYLVANIA TAX FREE INCOME FUND CLASS A	354726754	FPAQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN PENNSYLVANIA TAX FREE INCOME FUND CLASS R6	354724379	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN PENNSYLVANIA TAX-FREE INCOME FUND ADVISOR CLASS	354724403	FPFZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN REAL ESTATE SECURITIES FUND ADVISOR CLASS	354602302	FRLAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN REAL ESTATE SECURITIES FUND CLASS A	354602104	FREEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN REAL ESTATE SECURITIES FUND CLASS R6	354602500	FSERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN REAL RETURN FUND ADVISOR CLASS	353612716	FARRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN REAL RETURN FUND CLASS A	353612724	FRRRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN REAL RETURN FUND CLASS R6	353612526	FRRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN RISING DIVIDENDS FD CLASS A	353825102	FRDPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN RISING DIVIDENDS FUND ADVISOR CLASS	353825805	FRDAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN RISING DIVIDENDS FUND CLASS R	353825706	FRDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN RISING DIVIDENDS FUND CLASS R6	353825888	FRISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN SELECT U.S. EQUITY FUND ADVISOR CLASS	354713414	FCEZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN SELECT U.S. EQUITY FUND CLASS A	354713448	FCEQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN SELECT U.S. EQUITY FUND CLASS R	354713422	FCERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN SELECT U.S. EQUITY FUND CLASS R6	354713364	FEFCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN SMALL CAP GROWTH FUND CLASS A	354713620	FSGRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FRANKLIN TEMPLETON FUNDS	FRANKLIN SMALL CAP GROWTH FUND CLASS R6	354713349	FSMLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN SMALL CAP VALUE FUND CLASS R	355148826	FVFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN SMALL CAP VALUE FUND CLASS R6	355148669	FRCSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN SMALL-CAP GROWTH FUND ADVISOR CLASS	354713653	FSSAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN SMALL-CAP GROWTH FUND CLASS R	354713539	FSSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN SMALL-CAP VALUE FUND ADVISOR CLASS	355148503	FVADX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN SMALL-CAP VALUE FUND CLASS A	355148305	FRVLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN SMALL-MID CAP GROWTH FUND ADVISOR CLASS	354713869	FSGAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN SMALL-MID CAP GROWTH FUND CLASS A	354713109	FRSGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN SMALL-MID CAP GROWTH FUND CLASS R	354713547	FSMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN SMALL-MID CAP GROWTH FUND CLASS R6	354713331	FMGGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN STRATEGIC INCOME FUND ADVISOR CLASS	354713737	FKSAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN STRATEGIC INCOME FUND CLASS A	354713505	FRSTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN STRATEGIC INCOME FUND CLASS R	354713554	FKSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN STRATEGIC INCOME FUND CLASS R6	354713323	FGKNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN STRATEGIC MORTGAGE FUND CLASS A	35471H207	FSFMF	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN STRATEGIC MORTGAGE FUND CLASS A1	35471H108	FSMIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN STRATEGIC MORTGAGE PORTFOLIO CLASS R6	35471H603	FSMQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN STRATEGIC MORTGAGE PORTFOLIO FUND ADVISOR CLASS	35471H405	FSMZJ	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN TEMPLETON CHINA WORLD FUND CLASS A	88018X201	TCWAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN TEMPLETON U.S. GOVERNMENT MONEY FUND CLASS R	354902306	FMRXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN TENNESSEE MUNICIPAL BOND FD CLASS A1	354025405	FRITX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN TENNESSEE MUNICIPAL BOND FUND ADVISOR CLASS	354025884	FTMZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN TENNESSEE MUNICIPAL BOND FUND CLASS A	354025827	FTQMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN TENNESSEE MUNICIPAL BOND FUND CLASS R6	354025843	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN TOTAL RETURN FUND ADVISOR CLASS	353612849	FBDAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN TOTAL RETURN FUND CLASS A	353612856	FKBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN TOTAL RETURN FUND CLASS R	353612773	FTRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN TOTAL RETURN FUND CLASS R6	353612518	FRFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN U.S. GOVERNMENT MONEY FUND CLASS A	354014102	FMFXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN U.S. GOVERNMENT MONEY FUND CLASS R6	354014201	FRFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN U.S. GOVERNMENT SECURITIES FUND CLASS A	353496482	FKFSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN U.S. GOVERNMENT SECURITIES FUND CLASS A1	353496607	FKUSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN U.S. GOVERNMENT SECURITIES FUND CLASS R	353496714	FUSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN U.S. GOVERNMENT SECURITIES FUND CLASS R6	353496623	FGORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN U.S. GOVT SECS FUND ADVISOR CLASS	353496821	FUSAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN UTILITIES FUND ADVISOR CLASS	353496854	FRUAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN UTILITIES FUND CLASS A	353496474	FKUQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN UTILITIES FUND CLASS A1	353496409	FKUTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN UTILITIES FUND CLASS R	353496698	FRURX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN UTILITIES FUND CLASS R6	353496615	FURFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN VIRGINIA TAX-FREE INCOME FUND ADVISOR CLASS	354723157	FRVZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN VIRGINIA TAX-FREE INCOME FUND CLASS A	354726747	FVAQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	FRANKLIN VIRGINIA TAX-FREE INCOME FUND CLASS A1	354723769	FRVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	FRANKLIN VIRGINIA TAX-FREE INCOME FUND CLASS R6	354724460	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON CHINA WORLD FUND ADVISOR CLASS	88018X102	TACWX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON CHINA WORLD FUND CLASS R6	88018X607	FCWRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON DEVELOPING MARKETS TRUST CLASS R	88018W500	TDMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON DEVELOPING MARKETS TRUST CLASS R6	88018W609	FDEVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON DEVELOPING MARKETS TRUST FUND ADVISOR	88018W302	TDADX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON DEVELOPING MARKETS TRUST FUND CLASS A	88018W104	TEDMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON EMERGING MARKETS BOND FUND ADVISOR CLASS	880208780	FEMZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON EMERGING MARKETS BOND FUND CLASS A	880208830	FEMGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON EMERGING MARKETS BOND FUND CLASS R	880208814	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON EMERGING MARKETS SMALL CAP FUND ADVISOR CLASS	88019R690	TEMLZ	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON EMERGING MARKETS SMALL CAP FUND CLASS A	88019R732	TEMMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON EMERGING MARKETS SMALL CAP FUND CLASS R	88019R716	FTESX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON EMERGING MARKETS SMALL CAP FUND CLASS R6	88019R385	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON FRONTIER MARKETS FUND ADVISOR CLASS	88019R641	FRFRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	TEMPLETON FRONTIER MARKETS FUND CLASS A	88019R674	TFFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	TEMPLETON FRONTIER MARKETS FUND CLASS R	88019R658	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	TEMPLETON FRONTIER MARKETS FUND CLASS R6	88019R526	FFMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL BALANCED FUND ADVISOR CLASS	88019R765	TZINX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL BALANCED FUND CLASS A	88019R583	TAGBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL BALANCED FUND CLASS A1	88019R799	TINCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL BALANCED FUND CLASS R	88019R773	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL BALANCED FUND CLASS R6	88019R518	FGGBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL BOND FUND ADVISOR CLASS	880208400	TGBAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL BOND FUND CLASS A	880208103	TPINX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL BOND FUND CLASS R	880208848	FGBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL BOND FUND CLASS R6	880208772	FBNRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL SMALLER COMPANIES FUND ADVISOR CLASS	88022L300	TGSAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL SMALLER COMPANIES FUND CLASS A	88022L102	TEMGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL SMALLER COMPANIES FUND CLASS R6	88022L508	FBOGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL TOTAL RETURN FUND ADVISOR CLASS	880208855	TTRZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL TOTAL RETURN FUND CLASS A	880208889	TGRTRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL TOTAL RETURN FUND CLASS R	880208863	FRRGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GLOBAL TOTAL RETURN FUND CLASS R6	880208764	FTRTRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GROWTH FUND ADVISOR CLASS	880199302	TGADGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GROWTH FUND CLASS A	880199104	TEPLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GROWTH FUND CLASS R	880199500	TEGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON GROWTH FUND CLASS R6	880199609	FTGFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON INTERNATIONAL BOND FUND ADVISOR CLASS	880208806	FIBZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON INTERNATIONAL BOND FUND CLASS A	880208509	TBOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON INTERNATIONAL BOND FUND CLASS R	880208707	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON INTERNATIONAL BOND FUND CLASS R6	880208715	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON WORLD FUND ADVISOR CLASS	880196886	TWDAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON WORLD FUND CLASS A	880196100	TEMWX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TEMPLETON WORLD FUND CLASS R6	880196860	FTWRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TIF GLOBAL EQUITY SERIES INSTITUTIONAL CLASS	880210851	TGESX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRANKLIN TEMPLETON FUNDS	TIF INTERNATIONAL EQUITY SERIES PRIMARY SHARES	880210505	TFEQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRONTIER FUNDS	FRONTIER MFG CORE INFRASTRUCTURE FUND INSTITUTIONAL CLASS	35908Y807	FIMGIX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRONTIER FUNDS	FRONTIER MFG CORE INFRASTRUCTURE FUND SERVICE CLASS	35908Y849	FCVIX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRONTIER FUNDS	FRONTIER MFG GLOBAL EQUITY FUND INSTITUTIONAL CLASS	35908Y708	FMGEX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRONTIER FUNDS	FRONTIER MFG GLOBAL PLUS FUND INSTITUTIONAL CLASS	35908Y880	FMGPX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
FRONTIER FUNDS	FRONTIER MFG GLOBAL PLUS FUND SERVICE CLASS	35908Y781	FMPX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRONTIER FUNDS	FRONTIER PHOCAS SMALL CAP VALUE FUND INSTITUTIONAL CLASS	35908Y500	FPSVX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FRONTIER FUNDS	FRONTIER PHOCAS SMALL CAP VALUE FUND SERVICE CLASS	35908Y815	FPSVX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST CREDIT FUND CLASS A	359246832	FCFBX	Load	Initial : 1000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST CREDIT FUND INSTITUTIONAL CLASS	359246824	FCFIC	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST CREDIT FUND INVESTOR CLASS	359246816	FCFAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST GROWTH EQUITY FUND INSTITUTIONAL CLASS	359246105	FICEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST GROWTH EQUITY FUND INVESTOR CLASS	359246204	FACEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST LOW DURATION BOND FUND INSTITUTIONAL CLASS	359246709	FILDXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST LOW DURATION BOND FUND INVESTOR CLASS	359246808	FADLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST MID CAP EQUITY FUND INSTITUTIONAL CLASS	359246501	FIKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST MID CAP EQUITY FUND INVESTOR CLASS	359246600	FAKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST MUNICIPAL BOND FUND INSTITUTIONAL CLASS	359246881	FIMUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST MUNICIPAL BOND FUND INVESTOR CLASS	359246873	FAUMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST TOTAL RETURN BOND FUND CLASS A	359246865	FAJEX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST TOTAL RETURN BOND FUND INSTITUTIONAL CLASS	359246857	FJEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST TOTAL RETURN BOND FUND INVESTOR CLASS	359246840	FATRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST VALUE EQUITY FUND INSTITUTIONAL CLASS	359246303	FIDVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FROST FUNDS	FROST VALUE EQUITY FUND INVESTOR CLASS	359246402	FADVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FULLER & THALER FUNDS	FULLER & THALER BEHAVIORAL MICRO- CAP EQUITY FUND INSTITUTIONAL CLASS	14064D634	FTMSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FULLER & THALER FUNDS	FULLER & THALER BEHAVIORAL MID-CAP VALUE FUND INSTITUTIONAL CLASS	14064D758	FTVSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FULLER & THALER FUNDS	FULLER & THALER BEHAVIORAL MID-CAP VALUE FUND INVESTOR CLASS	14064D766	FTVNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FULLER & THALER FUNDS	FULLER & THALER BEHAVIORAL SMALL CAP EQUITY FUND CLASS R6	14064D873	FTHFH	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FULLER & THALER FUNDS	FULLER & THALER BEHAVIORAL SMALL CAP EQUITY FUND INSTITUTIONAL CLASS	14064D865	FTHSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FULLER & THALER FUNDS	FULLER & THALER BEHAVIORAL SMALL CAP EQUITY FUND INVESTOR CLASS	14064D881	FTHNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FULLER & THALER FUNDS	FULLER & THALER BEHAVIORAL SMALL- CAP GROWTH FUND INSTITUTIONAL CLASS	14064D782	FTSXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FULLER & THALER FUNDS	FULLER & THALER BEHAVIORAL SMALL- CAP GROWTH FUND INVESTOR CLASS	14064D790	FTNXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FULLER & THALER FUNDS	FULLER & THALER BEHAVIORAL SMALL- MID CORE EQUITY FUND INSTL CLASS	14064D667	FTSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FULLER & THALER FUNDS	FULLER & THALER BEHAVIORAL SMALL-CAP EQUITY FUND CLASS A	14064D717	FTHAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FULLER & THALER FUNDS	FULLER & THALER BEHAVIORAL SMALL-CAP GROWTH FUND CLASS A	14064D683	FTXAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FULLER & THALER FUNDS	FULLER & THALER BEHAVIORAL UNCONSTRAINED EQUITY FUND INSTL CLASS	14064D659	FTZIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUND*X FUNDS	FUNDX AGGRESSIVE UPGRADER FUND	360876403	HOTFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUND*X FUNDS	FUNDX CONSERVATIVE UPGRADER FUND	360876304	RELAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUND*X FUNDS	FUNDX FLEXIBLE INCOME FUND	360876205	INCMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUND*X FUNDS	FUNDX SUSTAINABLE IMPACT FUND	360876700	SRIEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUND*X FUNDS	FUNDX UPGRADER FUND	360876106	FUNDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	ARABESQUE SYSTEMATIC USA FUND INSTL CLASS	360875298	ASUIX	No/Low Load	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	DUPONT CAPITAL EMERGING MARKETS DEBT FUND CLASS I	360873228	DCDEX	No/Low Load	Initial : 3000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	DUPONT CAPITAL EMERGING MARKETS FUND CLASS I	360873673	DCMEX	No/Low Load	Initial : 3000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	EIC VALUE FUND CLASS A	360873293	EICVX	Load; FundVest Institutional	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	EIC VALUE FUND CLASS I	360873277	EICIX	No/Low Load	Initial : 1000000.0; Sub : 7.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM ABSOLUTE 500 FUND INSTITUTIONAL CLASS	360875660	GFVIX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM ABSOLUTE CORE 500 FUND INSTITUTIONAL CLASS	360875421	GACFX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM ABSOLUTE RETURN FUND INSTITUTIONAL CLASS	360873137	GARIX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM DEFENSIVE LONG 500 FUND INSTITUTIONAL CLASS	360875355	GDLFX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM DEFENSIVE LONG FUND INSTITUTIONAL CLASS	360875363	GDLIX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM ENHANCED 500 FUND INSTITUTIONAL CLASS	360875652	GENFX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM ENHANCED CORE 500 FUND INSTITUTIONAL CLASS	360875413	GEFCX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM ENHANCED INDEX PLUS FUND INSTITUTIONAL CLASS	360875389	GENDX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM ENHANCED RETURN FUND INSTITUTIONAL CLASS	360873129	GENIX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM ENHANCED S&P 500 INDEX FUND INSTITUTIONAL CLASS	360875322	GSPFX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM ESG LARGE VALUE FUND INSTITUTIONAL CLASS	360871874	GESGX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM HEDGED CORE FUND INSTITUTIONAL CLASS	360875397	GCHDX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM HEDGED PLUS FUND INSTITUTIONAL CLASS	360875462	GHPX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM INDEX PLUS ALL CAP FUND INSTITUTIONAL CLASS	360875132	GANDX	No/Low Load	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
FUNDVANTAGE TRUST FUNDS	GOTHAM INDEX PLUS FUND INSTITUTIONAL CLASS	360875579	GINDX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM INDEX PLUS FUND INVESTOR CLASS	360875157	GNNDX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM LARGE VALUE FUND INSTITUTIONAL CLASS	360875470	GVALX	No/Low Load	Initial : 100000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM MASTER INDEX PLUS FUND INSTITUTIONAL CLASS	360875215	GMIDX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM MASTER NEUTRAL FUND INSTITUTIONAL CLASS	360875199	GMNFX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM NEUTRAL 500 FUND INSTITUTIONAL CLASS	360875371	GONFX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM NEUTRAL FUND INSTITUTIONAL CLASS	360873111	GONIX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM SHORT STRATEGIES FUND INSTL CLASS	360875181	GSSFX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM TOTAL RETURN FUND INSTITUTIONAL CLASS	360875587	GTRFX	No/Low Load	Initial : 250000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	GOTHAM TOTAL RETURN FUND INVESTOR CLASS (FOF)	360875140	GTRNX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	LATEEF FOCUSED GROWTH FUND CLASS A	360873103	LIMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	LATEEF FOCUSED GROWTH FUND CLASS I	360873301	LIMAX	No/Low Load	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	POLEN GLOBAL GROWTH FUND INSTITUTIONAL CLASS	360875645	PGIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	POLEN GLOBAL GROWTH FUND INVESTOR CLASS	360875637	PGIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	POLEN GROWTH FUND INSTITUTIONAL CLASS	360873657	POLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	POLEN GROWTH FUND INVESTOR CLASS	360873665	POLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	POLEN INTERNATIONAL GROWTH FUND INSTITUTIONAL CLASS	360875330	POIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	POLEN INTERNATIONAL GROWTH FUND INVESTOR CLASS	360875348	POIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	POLEN INTERNATIONAL SMALL COMPANY GROWTH FUND INSTITUTIONAL CLASS	360877882	PBIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	POLEN INTERNATIONAL SMALL COMPANY GROWTH FUND INVESTOR CLASS	360877809	PBIRX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	POLEN U.S. SMALL COMPANY FUND INSTITUTIONAL CLASS	360875165	PBSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	POLEN U.S. SMALL COMPANY GROWTH FUND INVESTOR CLASS	360875173	PBSRX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	PRIVATE CAPITAL MANAGEMENT VALUE FUND CLASS A	360873848	VFPAX	Load	Initial : 5000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	PRIVATE CAPITAL MANAGEMENT VALUE FUND CLASS I	360873822	VFPIX	No/Low Load	Initial : 750000.0; Sub : 38.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
FUNDVANTAGE TRUST FUNDS	SIRIOS LONG/SHORT FUND INSTITUTIONAL CLASS	360877304	SLHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	COMSTOCK PARTNERS CAPITAL VALUE FUND CLASS A	205763402	DRVCX	Load	Initial : 0.0; Sub : 0.0	DRVCX	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	COMSTOCK PARTNERS CAPITAL VALUE FUND CLASS I	205763709	CPCRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL ABC FUND ADVISOR CLASS	36239V207	GADVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL ABC FUND CLASS AAA	36239V108	GABCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
GABELL FUNDS	GABELL ASSET FUND CLASS AAA	362395105	GABAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL ASSET FUND CLASS I	362395501	GABIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL COMSTOCK CAPITAL VALUE FUND CLASS AAA	205671109	COMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL DIVIDEND GROWTH FUND CLASS A	36240D204	GBCAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL DIVIDEND GROWTH FUND CLASS AAA	36240D105	GABBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL DIVIDEND GROWTH FUND CLASS I	36240D501	GBCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL ENTERPRISE MERG & ACQUISITIONS FUND CLASS AAA	362402109	EAAAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL ENTERPRISE MERGERS AND ACQUISITIONS FD CL A	29372K625	EMAAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL ENTERPRISE MERGERS AND ACQUISITIONS FUND CLASS Y	29372K583	EMAYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL EQUITY INCOME FUND CLASS AAA	36239T202	GABEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL EQUITY INCOME FUND CLASS I	36239T848	GCIEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL ESG FUND CLASS A	362401200	ESGHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL ESG FUND CLASS I	362401408	ESGKX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL FOCUS FIVE FUND CLASS A	36239T400	GWSAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL FOCUS FIVE FUND CLASS AAA	36239T301	GWSVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL FOCUS FIVE FUND CLASS I	36239T822	GWSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GLOBAL FINANCIAL SERVICES FUND CLASS A	36239T764	N/A	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GLOBAL FINANCIAL SERVICES FUND CLASS AAA	36239T772	GAFSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GLOBAL FINANCIAL SERVICES FUND INSTITUTIONAL CLASS	36239T749	GFSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GLOBAL GROWTH FUND CLASS A	36464T836	GGGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GLOBAL MINI MITES FUND CLASS A	36464T737	GMNAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GLOBAL MINI MITES FUND CLASS AAA	36464T745	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GLOBAL MINI MITES FUND INSTITUTIONAL CLASS	36464T711	GGMMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GLOBAL RISING INCOME AND DIVIDEND FUND CLASS A	36464T877	GAGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GLOBAL RISING INCOME AND DIVIDEND FUND CLASS AAA	36464T885	GAGCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GLOBAL RISING INCOME AND DIVIDEND FUND CLASS I	36464T760	GAGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GOLD FUND CLASS A	36239R206	GLDAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GOLD FUND CLASS AAA	36239R107	GOLDX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL GOLD FUND CLASS I	36239R503	GLDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL MEDIA MOGUL FUND CLASS I	36256H107	MOGLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL PET PARENTS FUND CLASS I	36256H206	PETZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL SMALL CAP GROWTH FUND CLASS I	36239T830	GACIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL SMALL-CAP GROWTH FUND	36239T103	GABSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL UTILITIES FUND CLASS A	36240E202	GAUAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL UTILITIES FUND CLASS AAA	36240E103	GABUX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL UTILITIES FUND CLASS I	36240E806	GAUIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL VALUE 25 FUND CLASS A	36240H106	GABVX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL VALUE 25 FUND CLASS AAA	36240H502	GVCAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GABELL VALUE 25 FUND CLASS I	36240H403	GVCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GAMCO GLOBAL GROWTH FUND CLASS AAA	36464T844	GICPX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GAMCO GLOBAL GROWTH FUND CLASS I	36464T786	GGGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GAMCO GROWTH FUND CLASS A	36464V203	GGCAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GAMCO GROWTH FUND CLASS AAA	36464V104	GABGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GAMCO GROWTH FUND CLASS I	36464V500	GGCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GAMCO INTERNATIONAL GROWTH FUND CLASS AAA	364645101	GIGRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELL FUNDS	GAMCO INTERNATIONAL GROWTH FUND CLASS I	364645507	GIGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
GABELLI FUNDS	GAMCO INTL GROWTH FUND INC CLASS A	364645200	GALGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	KEELEY MID CAP DIVIDEND VALUE FUND CLASS A	487300840	KMDVX	Load; FundVest Institutional	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	KEELEY MID CAP DIVIDEND VALUE FUND CLASS I	487300832	KMDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	KEELEY SMALL CAP DIVIDEND VALUE FUND CLASS A	487300881	KSDVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	KEELEY SMALL CAP DIVIDEND VALUE FUND CLASS I	487300873	KSDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	KEELEY SMALL-MID CAP VALUE FUND CLASS A	487300303	KSMVX	Load; FundVest Institutional	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	KEELEY SMALL-MID CAP VALUE FUND CLASS I	487300402	KSMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON CONVERTIBLE SECURITIES FUND CLASS A	88166L819	WEIAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON CONVERTIBLE SECURITIES FUND CLASS AAA	88166L793	WESRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON CONVERTIBLE SECURITIES FUND INSTITUTIONAL CLASS	88166L801	WESIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD BALANCED FUND CLASS A	88166L603	WEBCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD BALANCED FUND CLASS AAA	88166L504	WEBAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD BALANCED FUND CLASS INSTITUTIONAL	88166L868	WBBIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD EQUITY FUND CLASS A	88166L207	WEECX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD EQUITY FUND CLASS AAA	88166L108	WESWX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD EQUITY FUND CLASS I	88166L843	WEEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD INTERMEDIATE BOND FUND CLASS A	88166L769	WEAIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD INTERMEDIATE BOND FUND CLASS AAA	88166L751	WEIBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD INTERMEDIATE BOND FUND INSTITUTIONAL CLASS	88166L702	WEIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD MIGHTY MITES FUND CLASS A	88166L660	WMMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD MIGHTY MITES FUND CLASS AAA	88166L652	WEMMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD MIGHTY MITES FUND CLASS I	88166L876	WEIMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD SMALL CAP EQUITY FUND CLASS A	88166L710	WWSAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD SMALL CAP EQUITY FUND CLASS AAA	88166L694	WESCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	TETON WESTWOOD SMALLCAP EQUITY FUND CLASS INSTITUTIONAL	88166L884	WWSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	THE GABELLI ASSET FUND CLASS A	362395204	GATAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	THE GABELLI EQUITY INCOME FUND CLASS A	362397707	GCAEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	THE GABELLI ESG FUND CLASS AAA	362401101	ESGGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	THE GABELLI GLOBAL CONTENT & CONNECTIVITY FUND CLASS A	36464T208	GTACX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	THE GABELLI GLOBAL CONTENT & CONNECTIVITY FUND CLASS AAA	36464T109	GABTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	THE GABELLI GLOBAL CONTENT & CONNECTIVITY FUND CLASS I	36464T794	GTITX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	THE GABELLI INTERNATIONAL SMALL CAP FUND CLASS A	36464T604	GOCAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	THE GABELLI INTERNATIONAL SMALL CAP FUND CLASS AAA	36464T505	GABOX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	THE GABELLI INTERNATIONAL SMALL CAP FUND CLASS I	36464T778	GLOIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	THE GABELLI SMALL CAP GROWTH FUND CLASS A	36239T871	GCA5X	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GABELLI FUNDS	THE GABELLI U.S. TREASURY MONEY MARKET FUND	36239W106	GABXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE CORE-FIXED INCOME PORTFOLIO	378690309	GTCCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE FUND MID CAP EQUITY FUND ADVISOR CLASS	378690671	GMQAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE LARGE CAP CORE FUND INSTITUTIONAL CLASS	378690648	GTILX	No/Low Load	Initial : 9999999.99; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE LARGE CAP CORE PORTFOLIO	378690788	GTLOX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE LARGE CAP GROWTH FUND INSTITUTIONAL CLASS	378690655	GTILX	No/Low Load	Initial : 9999999.99; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE LARGE CAP GROWTH PORTFOLIO	378690770	GTLLX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE LARGE CAP VALUE PORTFOLIO	378690887	GTIMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE LONG/SHORT PORTFOLIO	378690762	GTAPX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE QUANTITATIVE U.S. LONG/SHORT EQUITY FUND INSTITUTIONAL CLASS	378690531	GTLSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE RESPONSIBLE ESG U.S. EQUITY FUND ADVISOR CLASS	378690614	RESGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE SECURED OPTIONS PORTFOLIO	378690747	GTSOX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE SECURED OPTIONS PORTFOLIO INSTITUTIONAL CLASS	378690580	GLSOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE SMALL CAP EQUITY FUND CLASS A	378690606	GTCSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
GLENMEDE FUNDS	GLENMEDE SMALL CAP EQUITY INSTITUTIONAL CLASS	378690820	GTSCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
GLENMEDE FUNDS	GLENMEDE STRATEGIC EQUITY PORTFOLIO FUND	378690507	GTCCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE TOTAL MARKET 130/30 PORTFOLIO	378690754	GTMTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GLENMEDE FUNDS	GLENMEDE WOMEN IN LEADERSHIP FUND ADVISOR CLASS	378690622	GWILX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ABSOLUTE RETURN TRACKER FD INSTL CL	38145N220	GJRTX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ABSOLUTE RETURN TRACKER FUND CLASS A	38145N246	GARTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ABSOLUTE RETURN TRACKER FUND INVESTOR CLASS	38145N113	GSRTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ALTERNATIVE PREMIA FUND CLASS A	38145L505	GDAFX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ALTERNATIVE PREMIA FUND INSTITUTIONAL CLASS	38145L885	GDFIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ALTERNATIVE PREMIA FUND INVESTOR CLASS	38145L802	GDFHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ASIA EQUITY FUND CLASS A	38141W570	GSAGX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ASIA EQUITY FUND CLASS I	38141W455	GSAXX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ASIA EQUITY FUND INVESTOR CLASS	38147X804	GSAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS BALANCED STRATEGY CLASS A	38142V688	GIPAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS BALANCED STRATEGY FUND CLASS I	38142V548	GIPIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS BALANCED STRATEGY PORT FUND INVESTOR CLASS	38145N790	GIPTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS BLUE CHIP FUND CLASS A	38144N288	GAGVX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS BLUE CHIP FUND INSTITUTIONAL CLASS	38144N247	GINGX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS BLUE CHIP FUND INVESTOR CLASS	38144N254	GIRGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS BOND FUND CLASS A	38143H449	GSFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS BOND FUND CLASS I	38143H415	GSNIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS BOND FUND INVESTOR CLASS	38145N295	GSNTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS BOND FUND SERVICE CLASS	38143H399	GSNSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS CAPITAL GROWTH FUND CLASS A	38141W638	GSCGX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS CAPITAL GROWTH FUND INVESTOR CLASS	38144N452	GSPTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS CAPITAL GROWTH FUND SERVICE SHARES	38142B138	GSPSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
GOLDMAN SACHS FUNDS	GOLDMAN SACHS COMMODITY STRATEGY FD CLASS A	38143H373	GSCAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS COMMODITY STRATEGY FUND INSTL CLASS	38143H381	GCICX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS COMMODITY STRATEGY FUND INVESTOR CLASS	38145N386	GCCTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS CONCENTRATED GROWTH FUND CLASS A "MER" 38142Y187 EFF7/28/17	38142Y187	GCAGX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS CONCENTRATED GROWTH FUND INSTL CLASS	38142Y153	GCRIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS CONCENTRATED GROWTH FUND INVESTOR CLASS	38145N667	GCCTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS CORE FIXED INCOME FUND CLASS A	38142B419	GCPIX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS CORE FIXED INCOME FUND CLASS R6	38147X333	GCFOX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS CORE FIXED INCOME FUND INSTITUTIONAL CLASS	38141W810	GSFIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS CORE FIXED INCOME FUND INVESTOR CLASS	38145N329	GDFTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS CORE FIXED INCOME FUND SERVICE CLASS	38141W786	GSCSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS DYNAMIC GLOBAL EQUITY FUND CLASS A	38142V571	GAPAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS DYNAMIC GLOBAL EQUITY FUND INSTITUTIONAL CLASS	38142V472	GAPIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS DYNAMIC GLOBAL EQUITY FUND INVESTOR CLASS	38145N733	GAPTZ	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS DYNAMIC GLOBAL EQUITY FUND SERVICE CLASS	38142V464	GAPXS	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS DYNAMIC MUNICIPAL INCOME FUND INST CLASS	38142V746	GSMTX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS DYNAMIC U.S. EQUITY FUND CLASS A	38141W588	GSGRX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS DYNAMIC U.S. EQUITY FUND SERVICE CLASS	38141W422	GSGSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EMERGING MARKETS DEBT FD INVESTOR CL	38144N171	GSIRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EMERGING MARKETS DEBT FUND CLASS A	38143H803	GSDAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EMERGING MARKETS DEBT FUND INSTL CL	38143H886	GSDIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EMERGING MARKETS EQUITY FUND CLASS A	38142B450	GEMAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EMERGING MARKETS EQUITY FUND INSTITUTIONAL CLASS	38142B369	GEMIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EMERGING MARKETS EQUITY FUND INVESTOR CLASS	38145C596	GIRMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EMERGING MARKETS EQUITY INSIGHTS FD CLASS I	38144N569	GERIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EMERGING MARKETS EQUITY INSIGHTS FD INVESTOR CL	38145C562	GIRPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EMERGING MARKETS EQUITY INSIGHTS FUND CLASS A	38144N585	GERAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EMERGING MARKETS EQUITY INSIGHTS FUND CLASS R6	38147X259	GERUX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ENHANCED DIVIDEND GBL EQUITY INSTL CL	38143H175	GIDGX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ENHANCED DIVIDEND GLOBAL EQUITY FUND CLASS A	38143H167	GADGX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ENHANCED INCOME (ADMIN CLASS)	38142Y526	GEADX	No/Low Load	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ENHANCED INCOME FD INSTITUTIONAL CLASS	38142Y518	GEIIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ENHANCED INCOME FUND CLASS A	38142Y534	GEIAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ENHANCED INCOME FUND INVESTOR CLASS	38145L877	GHIRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EQUITY DIVIDEND AND PREMIUM FUND CLASS A	38143H712	GSPAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EQUITY DIVIDEND AND PREMIUM FUND CLASS I	38143H720	GSPKX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EQUITY INCOME FUND INSTITUTIONAL CLASS	38141W414	GSIIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS EQUITY INCOME FUND INVESTOR CLASS	38144N437	GRGTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ESG EMERGING MARKETS EQUITY FUND CLASS A	38150C861	GEBAZ	Load	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ESG EMERGING MARKETS EQUITY FUND CLASS R	38150C820	GEBRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS ESG EMERGING MARKETS EQUITY FUND INSTL CLASS	38150C864	GEBIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS FINANCIAL SQUARE PRIME OBLIGATIONS FUND INST SHARES	38141W364	FPOXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS FINANCIAL SQUARE TREASURY INST. FUND	38142B500	FTIIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS FINANCIAL SQUARE TREASURY SOLUTIONS FUND INSTL CLASS	38142B880	FEDXX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS FINANCIAL SQUARED FUND INST CLASS	38141W273	FTGTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS FLEXIBLE CAP FUND CLASS A	38145C109	GALLX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS FLEXIBLE CAP FUND INSTITUTIONAL CLASS	38145C307	GILLX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS FLEXIBLE CAP FUND INVESTOR CLASS	38145C505	GSLIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS FOCUSED VALUE FUND CLASS A	38147X689	GFVAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS FOCUSED VALUE FUND CLASS R	38147X655	GFVRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS FOCUSED VALUE FUND INSTITUTIONAL CLASS	38147X630	GFVSX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS FSQ FEDERAL INSTRUMENTS FUND INSTITUTIONAL CLASS	38148U692	FIRRX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GLOBAL INCOME FUND CLASS A	38141W109	GSGIX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GLOBAL INCOME FUND INSTITUTIONAL CLASS	38141W737	GSLGX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GLOBAL INCOME FUND INVESTOR CLASS	38144N155	GBRIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GLOBAL INCOME SERVICE SHARES	38141W729	GGISX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GLOBAL INFRASTRUCTURE FUND CLASS A	38148U833	GGIAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GLOBAL INFRASTRUCTURE FUND CLASS R	38148U783	GGIEX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GLOBAL INFRASTRUCTURE FUND INSTITUTIONAL CLASS	38148U817	GGIDX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GLOBAL INFRASTRUCTURE FUND INVESTOR CLASS	38148U791	GGINX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GLOBAL REAL ESTATE SECURITIES FD CL A	38148U767	GARGX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GLOBAL REAL ESTATE SECURITIES FD CL R	38148U726	GARHX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GLOBAL REAL ESTATE SECURITIES FD INSTL CL	38148U742	GARSX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GOVERNMENT INCOME FUND CLASS A	38141W604	GSGOX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GOVERNMENT INCOME FUND CLASS I	38142V761	GSOIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GOVERNMENT INCOME FUND CLASS R6	38147X572	GSOUX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GOVERNMENT INCOME FUND INVESTOR CLASS	38145N345	GSOTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GOVERNMENT INCOME FUND SERVICE CLASS	38142V753	GSO SX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GQG PARTNERS INTERNATIONAL OPPTY FUND INVESTOR CLASS	38147N285	GSINX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GQG PARTNERS INTL OPP FUND INSTL CLASS	38147N293	GSIMX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GQG PARTNERS INTL OPPORTUNITIES FUND CLASS A	38147N327	GSIHX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GQG PARTNERS INTL OPPORTUNITIES FUND CLASS R	38147N277	GSIQX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GROWTH & INCOME STRAT FD INSTL CL	38142V522	GOIIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GROWTH & INCOME STRATEGY PORTFOLIO CLASS A	38142V654	GOIAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GROWTH & INCOME STRATEGY PORTFOLIO FUND INVESTOR CLASS	38145N774	GPIXX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus. Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or "Class A" Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GROWTH OPP FUND CLASS R	38144N353	GGORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GROWTH OPP FUND INVESTOR CLASS	38144N346	GGOTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GROWTH OPPORT FD CLASS A	38142Y104	GGOAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GROWTH OPPORTUNITIES FUND SERVICE SHARES	38142Y500	GGOSX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GROWTH OPPORTUNITY FUND CLASS I	38142Y401	GGIOX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GROWTH STRATEGY FUND CLASS I	38142V498	GGISX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GROWTH STRATEGY PORTFOLIO CLASS A	38142V621	GGSAV	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GROWTH STRATEGY PORTFOLIO FUND INVESTOR CLASS	38145N758	GGSTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS GRWTH INCOME PRFLD FV SERVICE CL	38142V514	GOISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH QUALITY FLOATING RATE FUND CLASS A	38141W703	GSAMX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH QUALITY FLOATING RATE FUND INSTL CL	38141W208	GSARX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH QUALITY FLOATING RATE FUND INVESTOR CLASS	38145N378	GTATX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH QUALITY FLOATING RATE FUND SERVICE CLASS	38141W877	GSASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH YIELD FLOATING RATE FUND CLASS A	38145C471	GFRAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL CLASS	38145C455	GSFRX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH YIELD FLOATING RATE FUND INVESTOR CLASS	38145C448	GFRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH YIELD FUND CL A	38141W653	GSHAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH YIELD FUND INSTL SHARES	38141W679	GSHIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH YIELD FUND INVESTOR CLASS	38145N279	GSHTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH YIELD MUNICIPAL FD CLASS A	38142Y625	GHYAV	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH YIELD MUNICIPAL FUND INST SHARES	38142Y583	GHYIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS HIGH YIELD MUNICIPAL FUND INVESTOR CLASS	38144N213	GYIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS IMPRINT EMERGING MARKETS OPPORTUNITIES FD INSTITUTIONAL CLASS	38145L844	GSYIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS IMPRINT EMERGING MARKETS OPPORTUNITIES FD INVESTOR CLASS	38145L836	GSYRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS IMPRINT EMERGING MARKETS OPPORTUNITIES FUND CLASS A	38145L869	GSYAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INCOME BUILDER FUND CLASS A	38141W562	GSBFX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INCOME BUILDER FUND INSTITUTIONAL CLASS	38142B161	GSBIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INCOME BUILDER FUND INVESTOR CLASS	38145C497	GKIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INFLATION PROTECTED SECURITIES FD CL A	38144N866	GSAPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INFLATION PROTECTED SECURITIES FD INSTL CLASS	38144N841	GSIPX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INFLATION PROTECTED SECURITIES FUND CLASS R	38145N261	GSRPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INFLATION PROTECTED SECURITIES FUND INVESTOR CLASS	38145N253	GSTPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INT'L EQUITY DIVIDEND & PREMIUM FUND INVESTOR CLASS	38145C547	GIRVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INT'L EQUITY DIVIDEND AND PREMIUM FUND CL A	38144N486	GIDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INT'L REAL ESTATE SECURITIES FUND INVESTOR CLASS	38145N410	GIRTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INT'L TAX-MANAGED EQUITY FUND CLASS A	38144N528	GATMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INT'L TAX-MANAGED EQUITY FUND CLASS I	38144N536	GHTMX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL EQUITY ESG FUND CLASS A	38141W596	GSIFX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL EQUITY ESG FUND INSTL CLASS	38141W448	GSIEX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL EQUITY ESG FUND INVESTOR CLASS	38145C588	GIRNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL EQUITY INCOME FUND CLASS A	38144N502	GSAXX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL EQUITY INCOME FUND INSTL CLASS	38144N809	GSIXX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL EQUITY INCOME FUND INVESTOR CLASS	38145N444	GSITX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL EQUITY INSIGHTS FD CL I	38142V878	GCIAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL EQUITY INSIGHTS FD CL A	38142V845	GCIIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL EQUITY INSIGHTS FUND INVESTOR CLASS	38145N519	GCIYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL EQUITY INSIGHTS FUND SERVICE CLASS	38142V837	GCI5X	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL REAL ESTATE SEC FD CL A	38143H589	GIRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL SMALL CAP INSIGHTS FD CL A	38144N627	GICAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL SMALL CAP INSIGHTS FUND CLASS I	38144N593	GICIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL SMALL CAP INSIGHTS FUND CLASS R	38147X234	GICUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTERNATIONAL TAX MANAGED EQUITY FUND INVESTOR CLASS	38145C539	GITRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTL EQUITY DIVIDEND AND PREMIUM FD INSTL CL	38144N494	GIDHX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INTL REAL ESTATE SEC. FUND INSTL CL	38143H563	GIRIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INVESTMENT GRADE CREDIT FUND CLASS A	38143H852	GSGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INVESTMENT GRADE CREDIT FUND CLASS I	38143H845	GSGDX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INVESTMENT GRADE FUND INVESTOR CLASS	38144N189	GTIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INVESTOR MONEY MARKET FUND INSTITUTIONAL CLASS	38148U577	FMJXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS INVESTOR TAX-EXEMPT MONEY MARKET FUND INSTITUTIONAL CLASS	38141W182	FTXXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LARGE CAP GROWTH INSIGHTS FUND CLASS A	38142B435	GLCGX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LARGE CAP GROWTH INSIGHTS FUND CLASS I	38142B385	GCIXX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LARGE CAP GROWTH INSIGHTS FUND INVESTOR CLASS	38145N592	GLCTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LARGE CAP VALUE FD CLASS A	38142Y815	GSLLX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LARGE CAP VALUE FUND INSTITUTIONAL CLASS	38142Y773	GSLLX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LARGE CAP VALUE FUND INVESTOR CLASS	38144N411	GSVTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LARGE CAP VALUE INSIGHTS FUND CLASS A	38142V225	GCVAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LARGE CAP VALUE INSIGHTS FUND CLASS I	38142V183	GCVIY	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LARGE CAP VALUE INSIGHTS FUND INVESTOR CLASS	38145N626	GCVTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LOCAL EMERGING MARKETS DEBT FUND CLASS A	38145N105	GAMDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LOCAL EMERGING MARKETS DEBT FUND INVESTOR CLASS	38144N163	GURX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LOCAL EMERGING MARKETS DEBT INSTITUTIONAL CLASS	38145N303	GIMDX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LONG SHORT CREDIT STRATEGIES FD CL A	38145L273	GSAUX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LONG SHORT CREDIT STRATEGIES FUND CLASS R	38145L232	GSAXZ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LONG SHORT CREDIT STRATEGIES FUND INSTITUTIONAL CLASS	38145L257	GSAWX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS LONG SHORT CREDIT STRATEGIES FUND INVESTOR CLASS	38145L240	GSAYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MANAGED FUTURES STRATEGY FUND CL I	38145C398	GMSSX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MANAGED FUTURES STRATEGY FUND CLASS A	38145C422	GMSAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MANAGED FUTURES STRATEGY FUND INVESTOR CLASS	38145C380	GFRFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MID - CAP VALUE FUND INSTITUTIONAL CLASS	38141W398	GSMCX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MID CAP EQUITY FUND SERVICE CLASS	38141W380	GSMSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MID CAP VALUE FD CLASS A	38142V720	GCMAF	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MID CAP VALUE FUND INVESTOR CLASS	38144N361	GCMTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MLP & ENERGY FUND CLASS A	38148U262	GLEAX	Load	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MLP & ENERGY FUND CLASS R	38148U247	GLERX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MLP & ENERGY FUND INSTITUTIONAL CLASS	38148U221	GLEPX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MLP & ENERGY FUND INVESTOR CLASS	38148U213	GLEIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MLP ENERGY INFRASTRUCTURE FUND CLASS A	38145C257	GLPAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MLP ENERGY INFRASTRUCTURE FUND INSTITUTIONAL CLASS	38145C232	GMLPX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MLP ENERGY INFRASTRUCTURE FUND INVESTOR CLASS	38145C216	GLPIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MULTI-MANAGER ALTERNATIVES FUND CLASS A	38147N103	GMAMX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MULTI-MANAGER ALTERNATIVES FUND INSTITUTIONAL CLASS	38147N301	GSMNX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS MULTI-MANAGERS ALTERNATIVES FUND INVESTOR CLASS	38147N400	GIMMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS REAL ESTATE SECS FD INST'L CLASS	38142V787	GREIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS REAL ESTATE SECURITIES FUND CLASS A	38142V829	GREAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS REAL ESTATE SECURITIES FUND INVESTOR CLASS	38145N428	GRETX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS REAL ESTATE SECURITIES FUND SERVICE CLASS	38142V779	GRESX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS RISING DIVIDEND GROWTH FUND CLASS A	38145C315	GSRAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS RISING DIVIDEND GROWTH FUND CLASS I	38145C281	GSRLX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS RISING DIVIDEND GROWTH FUND CLASS R	38145C265	GSRRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS RISING DIVIDEND GROWTH FUND INVESTOR CLASS	38145C273	GSRIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SATELLITE STRAT FUND SERVICE CLASS	38145L406	GXSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SATELLITE STRATEGIES PORT FUND INVESTOR CLASS	38145N683	GKSTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SATELLITE STRATEGIES PORTFOLIO FD CLASS A	38143H357	GXSAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SATELLITE STRATEGY PORTFOLIO INST CLASS	38143H332	GXSIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT DURATION GOVERNMENT FUND INSTL SHARES	38141W307	GSTGX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT DURATION GOVERNMENT FUND INVESTOR CLASS	38145N360	GTDTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT DURATION GOVERNMENT FUND SERVICE CLASS	38141W869	GSDSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT DURATION GOVT FUND CLASS A	38142B476	GSSDX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT DURATION INCOME FUND CLASS A	38145L646	GDIAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT DURATION INCOME FUND INSTITUTIONAL CLASS	38145L620	GDFIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT DURATION INCOME FUND INVESTOR CLASS	38145L612	GSSRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT DURATION TAX FREE FUND CLASS A	38142B492	GSDTX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT DURATION TAX FREE FUND INSTL SHARES	38141W406	GSDUX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT DURATION TAX-FREE FUND INVESTOR CLASS	38144N239	GDIRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT TERM CONSERVATIVE INCOME FD INVESTOR CL	38147X218	GPPDX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT TERM CONSERVATIVE INCOME FUND ADMIN CLASS	38147X606	GPPAX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT TERM CONSERVATIVE INCOME FUND INSTITUTIONAL CLASS	38147X705	GPPIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SHORT- TERM CONSERVATIVE INCOME FUND CLASS A	38148U288	GPAPX	Load	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP EQUITY INSIGHTS FUND CLASS A	38142V506	GCSAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP EQUITY INSIGHTS FUND CLASS I	38142V803	GCSIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP EQUITY INSIGHTS FUND INVESTOR CLASS	38145N576	GDSIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP EQUITY INSIGHTS FUND SERVICE CLASS	38142V886	GCSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP GROWTH INSIGHTS FUND CLASS A	38143H225	GSAOX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP GROWTH INSIGHTS FUND CLASS I	38143H183	GSOIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP GROWTH INSIGHTS FUND INVESTOR CLASS	38145N535	GSTOX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP VALUE FUND CLASS A	38141W612	GSSMX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP VALUE FUND CLASS R	38144N312	GSQRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP VALUE FUND CLASS R6	38147X424	GSSUX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP VALUE FUND INSTITUTIONAL CLASS	38142V209	GSSIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP VALUE FUND INVESTOR CLASS	38144N296	GSQTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP VALUE FUND SERVICE CLASS	38142V308	GSSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP VALUE INSIGHTS FUND CL A	38143H282	GSATX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP VALUE INSIGHTS FUND CL I	38143H241	GSITX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL CAP VALUE INSIGHTS FUND INVESTOR CLASS	38145N550	GTTTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL MID CAP VALUE FUND CLASS A	38147X101	GMVAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL MID-CAP GROWTH FUND CLASS A	38143H779	GSMAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL/MID-CAP GROWTH FUND CLASS I	38143H746	GSMYX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS SMALL/MID CAP GROWTH FUND INVESTOR CLASS	38144N320	GTMTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS STRATEGIC GROWTH FD CLASS A	38142Y609	GGRAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS STRATEGIC GROWTH FUND INSTITUTIONAL CLASS	38142Y880	GSTIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS STRATEGIC GROWTH FUND INVESTOR CLASS	38144N387	GSTTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS STRATEGIC INCOME BOND FUND CLASS R6	38147X531	GSZUX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS STRATEGIC INCOME FUND CLASS A	38145C661	GSZAX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS STRATEGIC INCOME FUND CLASS I	38145C646	GSZIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS STRATEGIC INCOME FUND CLASS R	38145C620	GSZRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS STRATEGIC INCOME FUND INVESTOR CLASS	38145C638	GZIRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS STRATEGIC MUNICIPAL INCOME FD INVESTOR CL	38144N221	GUIRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS STRATEGIC MUNICIPAL INCOME FUND CLASS A	38141W828	GSMIX	Load; FundVest Institutional	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS STRUCTURED INT'L SMALL CAP FUND INVESTOR CLASS	38145C554	GIRLX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2020 FUND CLASS A	38147N855	GTAHX	Load	Initial: 250.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2020 FUND CLASS R	38147N814	GTRHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2020 FUND INSTITUTIONAL CLASS	38147N848	GTHX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2020 FUND SERVICE CLASS	38147N830	GTVHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2020 PORTFOLIO FUND INVESTOR CLASS	38147N822	GTMHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2025 FUND CLASS A	38147N780	GTADX	Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2025 FUND CLASS R	38147N749	GTRDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2025 FUND INSTITUTIONAL CLASS	38147N772	GTIFX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2025 FUND SERVICE CLASS	38147N764	GTVFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2025 PORTFOLIO FUND INVESTOR CLASS	38147N756	GTMFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2030 FUND CLASS A	38147N723	GTAJX	Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2030 FUND CLASS R	38147N673	GTRJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2030 FUND INSTITUTIONAL CLASS	38147N715	GTIUX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2030 FUND SERVICE CLASS	38147N699	GTVJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2030 PORTFOLIO FUND INVESTOR CLASS	38147N681	GTMJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2035 FUND CLASS A	38147N657	GTALX	Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2035 FUND CLASS R	38147N616	GTROX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2035 FUND INSTITUTIONAL CLASS	38147N640	GTOIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2035 FUND SERVICE CLASS	38147N632	GTVOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2035 PORTFOLIO FUND INVESTOR CLASS	38147N624	GTMXP	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2040 FUND CLASS A	38147N582	GTAMX	Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2040 FUND CLASS R	38147N541	GTRMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2040 FUND INSTITUTIONAL CLASS	38147N574	GTIMX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2040 FUND SERVICE CLASS	38147N566	GTVMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2040 PORTFOLIO FUND INVESTOR CLASS	38147N558	GTMXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2045 FUND CLASS A	38147N525	GTAQX	Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2045 FUND CLASS R	38147N475	GTREX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2045 FUND INSTITUTIONAL CLASS	38147N517	GTIQX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2045 FUND SERVICE CLASS	38147N491	GTVEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2050 FUND CLASS A	38147N459	GTASX	Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2050 FUND CLASS R	38147N418	GTRSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2050 FUND INSTITUTIONAL CLASS	38147N442	GTIPX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2050 FUND SERVICE CLASS	38147N434	GTVSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2055 FUND INSTL CLASS	38147N376	GTIWX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2055 FUND SERVICE CLASS	38147N368	GTVIJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2055 PORTFOLIO FUND CLASS A	38147N384	GTANX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2060 PORTFOLIO FUND CLASS A	38147N194	GTBAX	Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2060 PORTFOLIO FUND CLASS R	38147N160	GTBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2060 PORTFOLIO FUND INSTITUTIONAL CLASS	38147N186	GTBCX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TARGET DATE 2060 PORTFOLIO FUND INVESTOR CLASS	38147N145	GTBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TAX ADVANTAGE GLOBAL EQUITY PORT FD CL A	38142B120	TAGGX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TAX ADVANTAGE GLOBAL EQUITY FUND INSTL CLASS	38142B112	TIGGX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TECHNOLOGY OPPORTUNITIES FUND CLASS A	38142Y823	GITAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TECHNOLOGY OPPORTUNITIES FUND INST CLASS	38142Y856	GITIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TECHNOLOGY OPPORTUNITIES FUND INVESTOR CLASS	38145C489	GISTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TECHNOLOGY OPPORTUNITIES FUND SERVICE CLASS	38142Y864	GITSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TRUST CAP GROWTH FUND INSTITUTIONAL CLASS	38142B146	GSPIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS TRUST U.S. MORTGAGES FUND INSTL CLASS	38143H860	GSUIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS U.S. EQUITY DIVIDEND & PREMIUM FUND INVESTOR CLASS	38145C513	GVIJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS U.S. EQUITY INSIGHTS FUND CL A	38141W620	GSSOX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS U.S. EQUITY INSIGHTS FUND CL I	38141W372	GSELX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS U.S. EQUITY INSIGHTS FUND CLASS R	38145N659	GSURX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS U.S. EQUITY INSIGHTS FUND INVESTOR CLASS	38145N642	GSUTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS U.S. EQUITY INSIGHTS FUND SERVICE CLASS	38141W463	GSEX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS U.S. MORTGAGE FUND CLASS A	38143H878	GSUAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS U.S. MORTGAGES FUND INVESTOR CLASS	38144N197	GGIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS U.S. TAX-MANAGED EQUITY FD INST	38142Y641	GCTIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS U.S. TAX-MANAGED EQUITY FUND CLASS A	38142Y674	GCTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GOLDMAN SACHS U.S. TAX-MANAGED EQUITY FUND INVESTOR CLASS	38145C521	GOIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GS EMERGING MARKETS DEBT FUND CLASS R6	38148U882	GSUIX	No/Low Load	Initial : 5000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GS FINANCIAL SQUARE TREASURY OBLIGATIONS FUND INSTITUTIONAL CLASS	38141W323	FTOXX	No/Low Load	Initial : 9999999.99; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GS INVESTMENT GRADE CREDIT FUND SEPARATE ACCOUNT INSTITUTIONAL CLASS	38143H829	GSCPX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GS SMALL/MID CAP VALUE FUND INSTITUTIONAL CLASS	38147X309	GSMVX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GS U.S. MORTGAGE FUND SEPARATE ACCOUNT INSTL CL	38143H837	GSPUX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOLDMAN SACHS FUNDS	GS VIT HIGH QUALITY FLOATING RATE FUND INSTITUTIONAL CLASS	380987644	N/A	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOOD HARBOR FUNDS	GOOD HARBOR TACTICAL CORE U.S. FUND CLASS A	66538E762	GHUAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOOD HARBOR FUNDS	GOOD HARBOR TACTICAL CORE U.S. FUND CLASS I	66538E747	GHIUX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOOD HARBOR FUNDS	GOOD HARBOR TACTICAL SELECT FD CLASS A	66538G486	GHSAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOOD HARBOR FUNDS	GOOD HARBOR TACTICAL SELECT FUND CLASS I	66538G460	GHSIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOOD HARBOR FUNDS	LELAND REAL ASSET OPPORTUNITIES FUND CLASS A	66538E432	GHTAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOOD HARBOR FUNDS	LELAND REAL ASSET OPPORTUNITIES FUND CLASS I	66538E416	GHTIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOOD HARBOR FUNDS	LELAND THOMSON REUTERS PRIVATE EQUITY BUYOUT INDEX FUND CLASS A	66538G528	LDPAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOOD HARBOR FUNDS	LELAND THOMSON REUTERS PRIVATE EQUITY BUYOUT INDEX FUND CLASS I	66538G494	LDPIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOOD HARBOR FUNDS	LELAND THOMSON REUTERS VENTURE CAPITAL INDEX FUND CLASS A	66538G387	LDVAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOOD HARBOR FUNDS	LELAND THOMSON REUTERS VENTURE CAPITAL INDEX FUND CLASS I	66538G361	LDVIX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GOODHAVEN FUNDS	GOODHAVEN FUND	38217G103	GOODX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
GPS I FUNDS	GUIDEMARK CORE FIXED INCOME FUND SERVICE CLASS	36191K868	GMCOX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GPS I FUNDS	GUIDEMARK EMERGING MARKETS FUND SERVICE CLASS	36191K306	GMLVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GPS I FUNDS	GUIDEMARK LARGE CAP CORE FUND SERVICE CLASS	36191K108	GMLGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GPS I FUNDS	GUIDEMARK SMALL/MID CAP CORE FUND SERVICE CLASS	36191K504	GMSMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GPS I FUNDS	GUIDEMARK TAX-EXEMPT FIXED INCOME FUND SERVICE CLASS	36191K843	GMTFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GPS I FUNDS	GUIDEMARK WORLD EX-U.S. FUND SERVICE CLASS	36191K702	GMWEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GRANT PARK FUNDS	GRANT PARK ALTERNATIVE STRATEGIES FUND CLASS A	665388768	GPAAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GRANT PARK FUNDS	GRANT PARK ALTERNATIVE STRATEGIES FUND CLASS I	665388743	GPAIX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GRANT PARK FUNDS	GRANT PARK ALTERNATIVE STRATEGIES FUND CLASS N	665388735	GPANX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GRANT PARK FUNDS	GRANT PARK MANAGED FUTURES STRATEGY FUND CLASS W	66537X696	GPFWX	No/Low Load	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GREEN CENTURY FUNDS	GREEN CENTURY BALANCED FUND INDIVIDUAL INVESTOR CLASS	392768107	GCELB	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GREEN CENTURY FUNDS	GREEN CENTURY EQUITY FUND INDIVIDUAL INVESTOR CLASS	392768305	GCEQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GREEN CENTURY FUNDS	GREEN CENTURY EQUITY FUND INSTITUTIONAL CLASS	392768602	GCEUX	No/Low Load	Initial : 250000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GREEN CENTURY FUNDS	GREEN CENTURY MSCI INTERNATIONAL INDEX FUND INDIVIDUAL INVESTOR CLASS	392768404	GCINX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GREEN CENTURY FUNDS	GREEN CENTURY MSCI INTERNATIONAL INDEX FUND INSTITUTIONAL CLASS	392768503	GCIXF	No/Low Load	Initial : 250000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GREENSPRING FUNDS	GREENSPRING FUND	395724107	GRSPX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM ALPHA OPPORTUNITY FUND CLASS A	40168W285	SAOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM ALPHA OPPORTUNITY FUND CLASS P	40169J309	SAOSP	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM ALPHA OPPORTUNITY FUND INSTITUTIONAL CLASS	40168W269	SAOIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM DIRECTIONAL ALLOCATION FD CL A	89386C662	TVRAX	Load; FundVest Institutional	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM DIRECTIONAL ALLOCATION FD CL I	89386C639	TVRIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM DIRECTIONAL ALLOCATION FD CL P	89386C647	TVFRX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM DIVERSIFIED INCOME FUND CLASS A	40169J770	GUDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM DIVERSIFIED INCOME FUND CLASS P	40169J739	GUDPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM DIVERSIFIED INCOME FUND INSTITUTIONAL CLASS	40169J754	GUDIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM FLOATING RATE FUND CLASS P	40169J408	GIFPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM FLOATING RATE STRATEGIES FUND CLASS A	40168W731	GIFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM FLOATING RATE STRATEGIES FUND INSTITUTIONAL CLASS	40168W715	GIFIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM HIGH YIELD FUND CLASS A	40168W699	SIHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM HIGH YIELD FUND CLASS P	40169J507	SIHPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM HIGH YIELD FUND INSTITUTIONAL CLASS	40168W665	SIHYX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM INVESTMENT GRADE BOND FUND CLASS A	40168W657	SIUSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM INVESTMENT GRADE BOND FUND CLASS P	40169J606	SIUPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM INVESTMENT GRADE BOND FUND INSTITUTIONAL CLASS	40168W624	GIUSX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM LARGE CAP VALUE FUND CLASS A	40168W475	SECIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM LARGE CAP VALUE FUND CLASS P	40169J853	SEGPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM LARGE VALUE FUND INSTITUTIONAL CLASS	40168W442	GILCX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM LIMITED DURATION FUND CLASS A	40168W517	GILDX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM LIMITED DURATION FUND CLASS P	40169J705	GILPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM LIMITED DURATION FUND INSTITUTIONAL CLASS	40168W483	GILHX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM LONG SHORT EQUITY FUND CLASS A	78355E510	RYAMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM LONG SHORT EQUITY FUND CLASS P	78355E833	RYSRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM LONG SHORT EQUITY FUND INST CLASS	78356C687	RYQTX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MACRO OPPORTUNITIES FUND CLASS P	40169J804	GIOPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MACRO OPPORTUNITIES FUND FUND CLASS A	40168W616	GIOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MACRO OPPORTUNITIES FUND INSTITUTIONAL CLASS	40168W582	GIOIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MANAGED FUTURES STRATEGY FD INSTITUTIONAL CLASS	78356A145	RYFX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MANAGED FUTURES STRATEGY FUND CLASS A	78356A517	RYMTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MANAGED FUTURES STRATEGY FUND CLASS P	78356A491	RYMFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MARKET NEUTRAL REAL ESTATE FD INSTITUTIONAL CL	40169J713	GUMNX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MARKET NEUTRAL REAL ESTATE FUND CLASS A	40169J689	GUMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MARKET NEUTRAL REAL ESTATE FUND CLASS P	40169J697	GUMPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MID CAP VALUE FUND CLASS A	40168W749	SEVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MID CAP VALUE FUND CLASS P	40169J846	SEVPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MID CAP VALUE FUND INSTITUTIONAL CLASS	40168W830	SVUIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MULTI-HEDGE STRATEGIES FD INSTL CLASS	78356A137	RYIMX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MULTI-HEDGE STRATEGIES FUND CL A	78356A855	RYMQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MULTI-HEDGE STRATEGIES FUND CL P	78356A780	RYMSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MUNICIPAL INCOME FUND CLASS A	40168W574	GIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MUNICIPAL INCOME FUND CLASS P	40169J887	GIJPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM MUNICIPAL INCOME FUND INSTITUTIONAL CLASS	40168W558	GIJIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RBP DIVIDEND FUND CL A	89386C696	TVEAX	Load; FundVest Institutional	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RBP DIVIDEND FUND CL I	89386C712	TVEIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RBP DIVIDEND FUND CL P	89386C670	TVEFX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RBP LARGE-CAP DEFENSIVE FUND CLASS A	89386C308	TVDAX	Load; FundVest Institutional	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RBP LARGE-CAP DEFENSIVE FUND CLASS I	89386C886	TVDIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RBP LARGE-CAP DEFENSIVE FUND CLASS P	89386C407	TVDFX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RBP LARGE-CAP MARKET FUND CLASS A	89386C506	TVMAX	Load; FundVest Institutional	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RBP LARGE-CAP MARKET FUND CLASS I	89386C860	TVIMX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RBP LARGE-CAP MARKET FUND CLASS P	89386C605	TVFMX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RBP LARGE-CAP VALUE FUND CLASS A	89386C753	TVVAX	Load; FundVest Institutional	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RBP LARGE-CAP VALUE FUND CLASS I	89386C720	TVVIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RBP LARGE-CAP VALUE FUND CLASS P	89386C738	TVVFX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RISK MANAGED REAL ESTATE FUND CLASS A	40168W384	GURAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM RISK MANAGED REAL ESTATE FUND CLASS P	40169J838	GURPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
GUGGENHEIM FUNDS	GUGGENHEIM RISK MANAGED REAL ESTATE FUND INSTITUTIONAL CLASS	40168W368	GURIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM SMALL CAP VALUE FUND CLASS A	40168W855	SSUAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM SMALL CAP VALUE FUND CLASS P	40169J820	SSUPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM SMALL CAP VALUE FUND INSTITUTIONAL CLASS	40168W848	SSUIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM STYLEPLUS LARGE CORE FUND CLASS A	40168W103	SECEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM STYLEPLUS LARGE CORE FUND CLASS P	40169J812	SFEFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM STYLEPLUS LARGE CORE FUND INSTITUTIONAL CLASS	40168W608	GILIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM STYLEPLUS MID CAP GROWTH FUND CLASS A	40168W434	SECUX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM STYLEPLUS MID GROWTH FUND CLASS P	40169J796	SEUPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM STYLEPLUS MID GROWTH FUND INSTITUTIONAL CLASS	40168W392	GILUX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM TOTAL RETURN BOND FUND CLASS A	40168W541	GIBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM TOTAL RETURN BOND FUND CLASS P	40169J879	GIBLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM TOTAL RETURN BOND FUND INSTITUTIONAL CLASS	40168W525	GIBIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM ULTRA SHORT DURATION FUND CLASS A	40169J549	GIYAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM ULTRA SHORT DURATION FUND INSTITUTIONAL CLASS	40169J523	GIYIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM WORLD EQUITY INCOME FUND CLASS A	40168W707	SEQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM WORLD EQUITY INCOME FUND CLASS P	40169J788	SEOPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	GUGGENHEIM WORLD EQUITY INCOME FUND INSTITUTIONAL CLASS	40168W806	SEWIX	No/Low Load; FundVest Institutional	Initial : 2000000.0; Sub : 100000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX BANKING FUND (INVESTOR CLASS)	783554868	RYKIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX BANKING FUND CLASS A	78355E379	RYBKX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX BANKING FUND CLASS H	783554876	RYKAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX BASIC MATERIALS FUND (INVESTOR CLASS)	783554843	RYBIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX BASIC MATERIALS FUND CLASS A	78355E361	RYBMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX BASIC MATERIALS FUND CLASS H	783554850	RYBAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX BIOTECHNOLOGY FUND (INVESTOR CLASS)	783554827	RYOIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX BIOTECHNOLOGY FUND CLASS A	78355E353	RYBOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX BIOTECHNOLOGY FUND CLASS H	783554835	RYOAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX COMMODITIES STRATEGY FUND CLASS A	78356A301	RYMEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX COMMODITIES STRATEGY FUND CLASS H	78356A509	RYMBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 03:30 PM; Red : 03:30 PM; Exch : 03:30 PM	
GUGGENHEIM FUNDS	RYDEX CONSUMER PRODUCTS FUND (INVESTOR CLASS)	783554793	RYCIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX CONSUMER PRODUCTS FUND CLASS A	78355E346	RYDPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX CONSUMER PRODUCTS FUND CLASS H	783554819	RYCAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX DOW 2X STRATEGY FUND CLASS H	78355Y201	RYCVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX DOW JONES INDUSTRIAL AVERAGE FUND CLASS A	78356C539	RYDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX DOW JONES INDUSTRIAL AVERAGE FUND CLASS H	78356C513	RYDHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX DYNAMIC DOW 2X STRATEGY FUND CLASS A	78355Y888	RYLDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX DYNAMIC RUSSELL 2000 2X STRAT FUND CLASS A	78356A756	RYRUX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX DYNAMIC S&P 500 2X STRATEGY FUND CLASS A	78355Y508	RYTTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX DYNAMIC STRENGTH DOLLAR 2X STRATEGY FUND CL A	78356A608	RYSDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX DYNAMIC WEAKENING DOLLAR 2X STRATEGY FUND CL A	78356A889	RYWDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX ELECTRONICS FUND (INVESTOR CLASS)	783554777	RYSIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX ELECTRONICS FUND CLASS A	78355E338	RYELX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX ELECTRONICS FUND CLASS H	783554785	RYSAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX EMERGING MARKETS BOND STRATEGY FUND CLASS A	78356C653	RYEIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX EMERGING MARKETS BOND STRATEGY FUND CLASS H	78356C646	RYGTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX ENERGY FUND (INVESTOR CLASS)	783554751	RYEIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX ENERGY FUND CLASS A	78355E320	RYENX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX ENERGY FUND CLASS H	783554769	RYEAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX ENERGY SERVICES FUND (INVESTOR CLASS)	783554736	RYVIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX ENERGY SERVICES FUND CLASS A	78355E130	RYESX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX ENERGY SERVICES FUND CLASS H	783554744	RYVAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX EUROPE 1.25X STRATEGY FUND CLASS A	78355E692	RYAEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX EUROPE 1.25X STRATEGY FUND CLASS H	783554447	RYEUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX FINANCIAL SERVICES FUND (INVESTOR CLASS)	783554710	RYFIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX FINANCIAL SERVICES FUND CLASS A	783554728	RYFAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX FINANCIAL SERVICES FUND CLASS H	78355E312	RYFNX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX GOVERNMENT LONG BOND 1.2X STRAT FD INVEST CL	783554504	RYGBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX GOVERNMENT LONG BOND 1.2X STRATEGY FUND CL A	78355E460	RYABX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX GOVERNMENT LONG BOND 1.2X STRATEGY FUND CLASS H	78356C588	RYHDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX HEALTH CARE FUND (INVESTOR CLASS)	783554686	RYHIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX HEALTH CARE FUND CLASS A	78355E296	RYHEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX HEALTH CARE FUND CLASS H	783554694	RYHAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX HIGH YIELD STRATEGY FUND CLASS A	78356A483	RYHDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX HIGH YIELD STRATEGY FUND CLASS H	78356A442	RYHGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INDEX NOVA FUND (INVESTOR CLASS)	783554108	RYNVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INTERNET FUND (INVESTOR CLASS)	783554496	RYIIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INTERNET FUND CLASS A	78355E288	RYINX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INTERNET FUND CLASS H	783554488	RYIAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE DOW 2X STRATEGY FUND CLASS A	78355Y870	RYIDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE DOW 2X STRATEGY FUND CLASS H	78355Y409	RYCWX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE GOVERN LONG BOND STRATEGY FD CL A	78355E429	RYAQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE GOVERN LONG BOND STRATEGY FD INVST CL	783554702	RYJUX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE GOVT LONG BOND STRATEGY FUND CLASS H	78356C570	RYHJX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE HIGH YIELD STRATEGY FUND CLASS A	78356A475	RYLIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE HIGH YIELD STRATEGY FUND CLASS H	78356A434	RYHXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
GUGGENHEIM FUNDS	RYDEX INVERSE MID CAP STRATEGY FUND CLASS A	78355E627	RYAGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE MID CAP STRATEGY FUND CLASS H	78355E593	RYMHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE NASDAQ 2X STRATEGY FUND CLASS A	78355Y805	RYVTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE NASDAQ-100 2X STRATEGY FD CLASS H	783554397	RYVNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE NASDAQ-100 STRATEGY FUND CLASS A	78355E437	RYAPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE NASDAQ-100 STRATEGY FUND CLASS H	78355C596	RYALX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE NASDAQ-100 STRATEGY INVESTOR CLASS	783554512	RYAIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE RUSSELL 2000 2X STRATEGY FUND CL A	78356A723	RYIUX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE RUSSELL 2000 2X STRATEGY FUND CL H	78356A699	RYIRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE RUSSELL 2000 STRATEGY FUND CL A	78355E544	RYAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE RUSSELL 2000 STRATEGY FUND CL H	78355E528	RYSHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE S&P 500 2X STRATEGY FUND CL H	783554421	RYTPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE S&P 500 2X STRATEGY FUND CLASS A	78355Y607	RYTMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE S&P 500 STRATEGY FUND CLASS A	78355E718	RYARX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE S&P 500 STRATEGY FUND CLASS H	78356C620	RYUHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX INVERSE S&P 500 STRATEGY FUND INVESTOR CLASS	783554405	RYURX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX JAPAN 2X STRATEGY FUND CLASS H	78356A293	RYJHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX LEISURE FUND (INVESTOR CLASS)	783554660	RYLIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX LEISURE FUND CLASS A	78355E270	RYLSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX LEISURE FUND CLASS H	783554678	RYLAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX MID CAP 1.5X STRATEGY FUND CLASS A	78355E486	RYAHX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX MID CAP 1.5X STRATEGY FUND CLASS H	78355E882	RYMDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX MONTHLY REBALANCE NASDAQ 100 2X STRATEGY FUND CLASS A	78356C562	RMQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX MONTHLY REBALANCE NASDAQ 100 2X STRATEGY FUND CLASS H	78356C547	RMQHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX NASDAQ-100 2X STRATEGY FUND CLASS A	78355Y706	RYVLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX NASDAQ-100 2X STRATEGY FUND CLASS H	783554413	RYVYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX NASDAQ-100 FUND CLASS A	78355E445	RYATX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX NASDAQ-100 FUND CLASS H	78356C612	RYHOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX NASDAQ-100 FUND INVESTOR CLASS	783554603	RYOCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX NOVA FUND CLASS A	78355E452	RYANX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX NOVA FUND CLASS H	78356C638	RYNHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX PRECIOUS METALS FUND (INVESTOR CLASS)	783554207	RYPMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX PRECIOUS METALS FUND CLASS A	78355E262	RYMNX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX PRECIOUS METALS FUND CLASS H	78355E858	RYMPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX REAL ESTATE FUND CLASS A	78355E254	RYREX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX REAL ESTATE FUND CLASS H	78355E387	RYRHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX RETAILING FUND (INVESTOR CLASS)	783554645	RYRIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX RETAILING FUND CLASS A	78355E247	RYRTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX RETAILING FUND CLASS H	783554652	RYRAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX RUSSELL 2000 1.5X STRATEGY FUND CLASS A	78355E478	RYAKX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX RUSSELL 2000 1.5X STRATEGY FUND CLASS H	783554389	RYMKX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX RUSSELL 2000 2X STRATEGY FUND CLASS H	78356A731	RYRSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX RUSSELL 2000 FUND CLASS H	78356A665	RYRHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P 500 2X STRATEGY FUND CLASS H	783554439	RYTNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P 500 FUND CLASS H	78356A632	RYSPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P 500 PURE GROWTH FUND CLASS A	78355E189	RYLGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P 500 PURE GROWTH FUND CLASS H	78355E650	RYAWX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P 500 PURE VALUE FUND CLASS A	78355E171	RYVLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P 500 PURE VALUE FUND CLASS H	78355E676	RYZAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P MIDCAP 400 PURE GROWTH FUND CLASS A	78355E742	RYMGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P MIDCAP 400 PURE GROWTH FUND CLASS H	78355E726	RYBHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P MIDCAP 400 PURE VALUE FUND CLASS A	78355E163	RYMVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P MIDCAP 400 PURE VALUE FUND CLASS H	78355E635	RYAVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P SMALLCAP 600 PURE GROWTH FUND CLASS A	78355E148	RYSGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P SMALLCAP 600 PURE GROWTH FUND CLASS H	78355E551	RYWAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P SMALLCAP 600 PURE VALUE FUND CLASS A	78355E155	RYSVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX S&P SMALLCAP 600 PURE VALUE FUND CLASS H	78355E577	RYAZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX SERIES FUNDS RUSSELL 2000 FUND CLASS A	78356A681	RYRRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX SERIES FUNDS S&P 500 FUND CLASS A	78356A657	RYSOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX SGI EMERGING MARKETS 2X STRATEGY FUND CLASS A	78356C760	RYWTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX SGI EMERGING MARKETS 2X STRATEGY FUND CLASS H	78356C794	RYWVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX SGI INVERSE EMERGING MARKETS 2X STRATEGY FUND CL A	78356C745	RYWVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX SGI INVERSE EMERGING MARKETS 2X STRATEGY FUND CL H	78356C786	RYWYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX SRS TR. JAPAN 2X STRATEGY FUND CLASS A	78356A368	RYJSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX STRENGTHENING DOLLAR 2X STRATEGY FUND CLASS H	78356A806	RYSBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX TECHNOLOGY FUND (INVESTOR CLASS)	783554629	RYTIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX TECHNOLOGY FUND CLASS A	78355E239	RYTHX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX TECHNOLOGY FUND CLASS H	783554637	RYTAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX TELECOMMUNICATIONS FUND (INVESTOR CLASS)	783554595	RYMIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX TELECOMMUNICATIONS FUND CLASS A	78355E221	RYTLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX TELECOMMUNICATIONS FUND CLASS H	783554611	RYMAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX TRANSPORTATION FUND (INVESTOR CLASS)	783554579	RYPIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX TRANSPORTATION FUND CLASS A	78355E213	RYTSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX TRANSPORTATION FUND CLASS H	783554587	RYPAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX U.S. GOVERNMENT MONEY MARKET FUND MONEY MARKET CLASS	78356C679	RYLFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
GUGGENHEIM FUNDS	RYDEX U.S. GOVERNMENT MONEY MARKET FUND MONEY MARKET CLASS A	78355E395	RYAXX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX UTILITIES FUND (INVESTOR CLASS)	783554470	RYUIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX UTILITIES FUND CLASS A	78355E197	RYUTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX UTILITIES FUND CLASS H	783554462	RYAUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUGGENHEIM FUNDS	RYDEX WEAKENING DOLLAR 2X STRATEGY FUND CLASS H	78356A863	RYWBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE AGGRESSIVE ALLC FUND INVESTOR CLASS	40171W876	GGBZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE DEFENSIVE MARKET STRATEGIES FUND INVESTOR CLASS	40171W181	GDMZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE EMERGING MARKETS EQUITY FUND INVESTOR CLASS	40171W124	GEMZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE EQUITY INDEX FUND INVESTOR CLASS	40171W611	GEQZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE EXTENDED-DURATION BOND FUND INVESTOR CLASS	40171W652	GEDZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE GLOBAL BOND FUND INVESTOR CLASS	40171W231	GGFBX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE GROWTH ALLOCATION FUND INVESTOR CLASS	40171W702	GCOZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE GROWTH EQUITY FUND INVESTOR CLASS	40171W520	GGEZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE INTERNATIONAL EQUITY FUND INVESTOR CLASS	40171W439	GIEZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE LOW DURATION BOND FUND INVESTOR CLASS	40171W744	GLDZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE MEDIUM-DURATION BOND FUND INVESTOR CLASS	40171W694	GMDZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE MONEY MARKET FUND INVESTOR CLASS	40171W785	GMZXX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE MY DESTINATION 2025 FUND INVESTOR CLASS	40171W330	GMWZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE MY DESTINATION 2045 INVESTOR CLASS	40171W264	GMFZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE MYDESTINATION 2055 FUND INVESTOR CLASS	40171W173	GMGZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE REAL ESTATE SECURITIES FUND INVESTOR CLASS	40171W223	GREZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE SMALL CAP EQUITY FUND INVESTOR CLASS	40171W470	GSCZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE STRATEGIC ALTERNATIVE FUND INVESTOR CLASS	40171Y823	GFSZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUIDESTONE FUNDS	GUIDESTONE VALUE EQUITY FUND INVESTOR CLASS	40171W561	GVEZX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUINNESS ATKINSON FUNDS	GUINNESS ATKINSON DIVIDEND BUILDER FUND	402031801	GAINX	No/Low Load	Initial : 5000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUINNESS ATKINSON FUNDS	GUINNESS ATKINSON ALTERNATIVE ENERGY FUND	402031504	GAEXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUINNESS ATKINSON FUNDS	GUINNESS ATKINSON ASIA FOCUS FUND	402031108	IASMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUINNESS ATKINSON FUNDS	GUINNESS ATKINSON ASIA PACIFIC DIVIDEND BUILDER FUND	402031603	GAADX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUINNESS ATKINSON FUNDS	GUINNESS ATKINSON CHINA AND HONG KONG	402031207	ICHKX	No/Low Load	Initial : 1000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUINNESS ATKINSON FUNDS	GUINNESS ATKINSON GLOBAL ENERGY FUND	402031405	GAGEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUINNESS ATKINSON FUNDS	GUINNESS ATKINSON GLOBAL INNOVATORS FUND	402031306	IWRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUINNESS ATKINSON FUNDS	GUINNESS ATKINSON GLOBAL INNOVATORS FUND INSTITUTIONAL CLASS	402031884	GINNX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
GUINNESS ATKINSON FUNDS	GUINNESS ATKINSON RENMINBI YUAN & BOND FUND	402031702	GARBX	No/Low Load	Initial : 5000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	DIVERSIFIED INCOME FUND INSTITUTIONAL CLASS	41012R670	HIIHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON BURKENROAD SMALL CAP FD INST'L CL	00766Y216	HIBUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON BURKENROAD SMALL CAP FUND INVESTOR CLASS	41012R829	HIBUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON DIVERSIFIED INCOME FUND INVESTOR CLASS	41012R662	HIIAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON DIVERSIFIED INTERNATIONAL FUND INVESTOR CLASS	41012R779	HHDAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON DIVERSIFIED INTL FUND TRUST CLASS	41012R787	HHDTX	No/Low Load	Initial : 1000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON DYNAMIC ASSET ALLOCATION FUND INSTITUTIONAL CLASS	41012R597	HDAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON DYNAMIC ASSET ALLOCATION FUND INVESTOR CLASS	41012R589	HDAAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON FAMILY BURKENROAD FUND CLASS D	41012R811	HYBUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON INTERNATIONAL SMALL CAP FUND INSTITUTIONAL CLASS	41012R563	HICIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON INTERNATIONAL SMALL CAP FUND INVESTOR CLASS	41012R555	HISAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON LOUISIANA TAX-FREE INCOME FUND INVESTOR CLASS	41012R712	HHLAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON LOUISIANA TAX-FREE INCOME FUND TRUST CL	41012R720	HHLTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON MICROCAP FUND INSTITUTIONAL CLASS	41012R530	HMIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON MICROCAP FUND INVESTOR CLASS	41012R522	HMIAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON MISSISSIPPI TAX-FREE INCOME FUND INST CLASS	41012R696	HHMTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON MISSISSIPPI TAX-FREE INCOME FUND INVESTOR CLASS	41012R688	HIMAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON QUANTITATIVE LONG/SHORT FUND INVESTOR CLASS	41012R746	HHQAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HANCOCK HORIZON FUNDS	HANCOCK HORIZON QUANTITATIVE LONG/SHORT FUND INSTITUTIONAL CLASS	41012R753	HHQTX	No/Low Load	Initial : 1000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR BOND FUND ADMINISTRATIVE CLASS	411511686	HRBDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR BOND FUND INSTITUTIONAL CLASS	411511108	HABDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR BOND FUND RETIREMENT CLASS	411512189	HBRFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR CAPITAL APPRECIATION FUND	411511504	HACAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR CAPITAL APPRECIATION FUND ADMINISTRATIVE CLASS	411511827	HRCAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR CAPITAL APPRECIATION FUND INVESTOR CLASS	411511819	HCAIX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR CAPITAL APPRECIATION FUND RETIREMENT CLASS	411512528	HNACX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR CONVERTIBLE SECURITIES ADMIN CLASS	411512726	HRCSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR CONVERTIBLE SECURITIES FUND INSTITUTIONAL CLASS	411512734	HACSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR CONVERTIBLE SECURITIES FUND INVESTOR CLASS	411512718	HICSX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR CORE BOND FUND INSTITUTIONAL CLASS	411512239	HACBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR CORE BOND FUND RETIREMENT CLASS	411512197	HCBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR DIVERSIFIED INTERNATIONAL ALL CAP FUND RETIREMENT CLASS	411512437	HNDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR DIVERSIFIED INTL ALL CP FUND INSTL CLASS	411512593	HAIDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR EMERGING MARKETS EQUITY FUND INSTITUTIONAL CLASS	411512692	HAEMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR EMERGING MARKETS EQUITY FUND INVESTOR CLASS	411512676	HIEEX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR EMERGING MARKETS EQUITY FUND RETIREMENT CLASS	411512395	HNEMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR FOCUSED INTERNATIONAL FUND INSTITUTIONAL CLASS	41152P203	HNFSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR FOCUSED INTERNATIONAL FUND INVESTOR CLASS	41152P401	HNFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR FOCUSED INTERNATIONAL FUND RETIREMENT CLASS	41152P104	HNFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR GLOBAL LEADERS FUND ADMINISTRATIVE CLASS	411512866	HRGAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR GLOBAL LEADERS FUND INSTITUTIONAL CLASS	411512874	HGGAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR GLOBAL LEADERS FUND INVESTOR CLASS	411512858	HGGIX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
HARBOR FUNDS	HARBOR GLOBAL LEADERS FUND RETIREMENT CLASS	'411512411	HNGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR HIGH YIELD BOND FUND ADMIN CLASS	'411511546	HYFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR HIGH YIELD BOND FUND INSTL CLASS	'411511553	HYFAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR HIGH YIELD BOND FUND INVESTOR CLASS	'411511538	HYFIX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR HIGH YIELD OPPORTUNITIES FUND ADMINISTRATIVE CLASS	'411512262	HHYAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR HIGH YIELD OPPORTUNITIES FUND INSTITUTIONAL CLASS	'411512270	HHYNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR HIGH YIELD OPPORTUNITIES FUND RETIREMENT SHARE CLASS	'411512247	HHYRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR HIGH-YIELD BOND FUND RETIREMENT CLASS	'411512379	HNHYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR HIGH-YIELD OPPORTUNITIES FUND INVESTOR CLASS	'411512254	HHYVX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR INT'L GROWTH FUND ADMINISTRATIVE CLASS	'411511637	HHRGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR INTERNATIONAL FUND ADMINISTRATIVE CLASS	'411511652	HRINX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR INTERNATIONAL FUND INSTITUTIONAL CLASS	'411511306	HAINX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR INTERNATIONAL FUND INVESTOR CLASS	'411511645	HIINX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR INTERNATIONAL FUND RETIREMENT CLASS	'411512445	HNINX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR INTERNATIONAL GROWTH FUND INST CL	'411511801	HAIGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR INTERNATIONAL GROWTH FUND INVESTOR CLASS	'411511629	HIIGX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR INTERNATIONAL GROWTH FUND RETIREMENT CLASS	'411512429	HNGFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR INTERNATIONAL SMALL CAP FUND INSTITUTIONAL CLASS	'411512569	HAISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR INTERNATIONAL SMALL CAP FUND INVESTOR CLASS	'411512544	HIISX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR INTERNATIONAL SMALL CAP FUND RETIREMENT CLASS	'411512536	HNISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR LARGE CAP VALUE FUND INSTITUTIONAL CLASS	'411511603	HAVLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR LARGE CAP VALUE FUND RETIREMENT CLASS	'411512478	HNLVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR LARGE-CAP VALUE FUND INVESTOR CLASS	'411511744	HILVX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR MID CAP GROWTH FUND ADMINISTRATIVE CLASS	'411511793	HHRMGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR MID CAP GROWTH FUND RETIREMENT CLASS	'411512510	HNMGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR MID CAP VALUE FUND INSTITUTIONAL CLASS	'411511835	HAMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR MID CAP VALUE FUND RETIREMENT CLASS	'411512460	HNMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR MID-CAP GROWTH FUND INSTITUTIONAL CLASS	'411511876	HAMGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR MID-CAP GROWTH FUND INVESTOR CLASS	'411511785	HIMGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR MID-CAP VALUE FUND INVESTOR CLASS	'411511736	HIMVX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR OVERSEAS FUND INSTITUTIONAL CLASS	'411512163	HAOSX	No/Low Load	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR OVERSEAS FUND INVESTOR CLASS	'411512130	HAONX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR OVERSEAS FUND RETIREMENT CLASS	'411512155	HAORX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL CAP GROWTH FUND RETIREMENT CLASS	'411512494	HMSGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL CAP GROWTH OPPORTUNITIES FUND ADMINISTRATIVE CL	'411512650	HRSOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL CAP GROWTH OPPORTUNITIES FUND INSTL CLASS	'411512668	HASOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL CAP GROWTH OPPORTUNITIES FUND INVESTOR CLASS	'411512643	HISOX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL CAP GROWTH OPPORTUNITIES FUND RETIREMENT CLASS	'411512486	HNSOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL CAP VALUE FUND INSTITUTIONAL CLASS	'411511843	HASCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL CAP VALUE FUND RETIREMENT CLASS	'411512452	HNVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL CAP VALUE OPPORTUNITIES FUND ADMINISTRATIVE CLASS	'411512312	HSVAV	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL CAP VALUE OPPORTUNITIES FUND INSTITUTIONAL CLASS	'411512320	HSOVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL CAP VALUE OPPORTUNITIES FUND INVESTOR CLASS	'411512296	HSIVX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL CAP VALUE OPPORTUNITIES FUND RETIREMENT CLASS	'411512288	HSRVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL-CAP GROWTH FUND	'411511868	HASGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL-CAP GROWTH FUND INVESTOR CLASS	'411511777	HISGX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR SMALL-CAP VALUE FUND INVESTOR CLASS	'411511694	HISVX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR STRATEGIC GROWTH FUND ADMINISTRATIVE CLASS	'411512338	HSRGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR STRATEGIC GROWTH FUND INSTITUTIONAL CLASS	'411512353	MVSGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR STRATEGIC GROWTH FUND INVESTOR CLASS	'411512361	HISWX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARBOR FUNDS	HARBOR STRATEGIC GROWTH FUND RETIREMENT CLASS	'411512346	HNGSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARDING LOEVNER FUNDS	HARDING LOEVNER EMERGING MARKETS PORTFOLIO ADVISOR CLASS	'412295305	HLEMX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
HARDING LOEVNER FUNDS	HARDING LOEVNER FRONTIER EMERGING MARKETS PORTFOLIO INSTITUTIONAL CLASS	'412295867	HLFMX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARDING LOEVNER FUNDS	HARDING LOEVNER FRONTIER EMERGING MARKETS PORTFOLIO INVESTOR CLASS	'412295859	HLMOX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARDING LOEVNER FUNDS	HARDING LOEVNER GLOBAL EQUITY PORTFOLIO ADVISOR CLASS	'412295206	HLMGX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARDING LOEVNER FUNDS	HARDING LOEVNER GLOBAL EQUITY PORTFOLIO INST CLASS	'412295602	HLMVX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARDING LOEVNER FUNDS	HARDING LOEVNER INSTITUTIONAL EMERGING MARKETS CLASS I	'412295701	HLMEX	No/Low Load; FundVest Institutional	Initial : 500000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
HARDING LOEVNER FUNDS	HARDING LOEVNER INTERNATIONAL EQUITY FD INVEST CL	'412295503	HLMNX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARDING LOEVNER FUNDS	HARDING LOEVNER INTERNATIONAL EQUITY PORTFOLIO INSTITUTIONAL CLASS	'412295107	HLMIX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 12:00 AM	
HARDING LOEVNER FUNDS	HARDING LOEVNER INTERNATIONAL SMALL COMPANIES PORTFOLIO INSTITUTIONAL CLASS	'412295875	HLMRX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARDING LOEVNER FUNDS	HARDING LOEVNER INTL SMALL COMPANY PORTFOLIO INVESTOR CLASS	'412295883	HLM SX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HARDING LOEVNER FUNDS	HARDING; LOEVNER INC. INTERNATIONAL QUTY RESEARCH PORT FD INST CL	'412295826	HHLRX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HCM TACTICAL FUNDS	HCM DIVIDEND SECTOR PLUS FUND CLASS A	'66538G643	HCMNX	Load	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HCM TACTICAL FUNDS	HCM DIVIDEND SECTOR PLUS FUND CLASS A1	'66538G635	HCMWX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HCM TACTICAL FUNDS	HCM DIVIDEND SECTOR PLUS FUND INVESTOR CLASS	'66538G627	HCM PX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HCM TACTICAL FUNDS	HCM INCOME PLUS FUND CLASS A	'66538G155	HCMEX	Load	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HCM TACTICAL FUNDS	HCM INCOME PLUS FUND INVESTOR CLASS	'66538G148	HCMKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HCM TACTICAL FUNDS	HCM TACTICAL GROWTH FUND CLASS A	'66538G866	HCMGX	Load	Initial : 1000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HCM TACTICAL FUNDS	HCM TACTICAL GROWTH FUND INVESTOR CLASS	'66538G858	HCM DX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY BALANCED FUND INVESTOR CLASS	'425887106	HBF BX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY BP ENERGY FUND INSTITUTIONAL CLASS	'42588P734	HNR IX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY BP ENERGY FUND INVESTOR CLASS	'42588P742	HNR GX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY BP MIDSTREAM FUND INSTITUTIONAL CLASS	'42588P718	HMS IX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY BP MIDSTREAM FUND INVESTOR CLASS	'42588P726	HMS FX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY CORNERSTONE GROWTH FUND INSTL CLASS	'425888500	HICGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
HENNESSY FUNDS	HENNESSY CORNERSTONE GROWTH FUND INVESTOR CLASS	425888104	HFCGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY CORNERSTONE LARGE GROWTH FUND INSTITUTIONAL CLASS	425888403	HILGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY CORNERSTONE LARGE GROWTH FUND INVESTOR CLASS	425888205	HFLGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY CORNERSTONE MID CAP 30 FUND INSTITUTIONAL CLASS	425888609	HIMDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY CORNERSTONE MID CAP 30 FUND INVESTOR CLASS	425888302	HFMDO	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY CORNERSTONE VALUE FUND INST'L CLASS	425888401	HICVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY CORNERSTONE VALUE FUND INVESTOR CLASS	425888203	HFCVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY EQUITY AND INCOME FUND INSTITUTIONAL CLASS	425888P17	HEIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY EQUITY AND INCOME FUND INVESTOR CLASS	425888P25	HEIFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY FOCUS FUND INSTITUTIONAL CLASS	425888P09	HFZIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY FOCUS FUND INVESTOR CLASS	425888P70	HFCSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY GAS UTILITY FUND INSTITUTIONAL CLASS	425888P79	HGASX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY GAS UTILITY FUND INVESTOR CLASS	425888P33	GASFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY JAPAN FUND INSTITUTIONAL CLASS	425894201	HJPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY JAPAN FUND INVESTOR CLASS	425894102	HJPNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY JAPAN SMALL CAP FUND INSTITUTIONAL CLASS	425888P77	HJISX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY JAPAN SMALL CAP FUND INVESTOR CLASS	425894300	HJPSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY LARGE CAP FINANCIAL FUND INSTITUTIONAL CLASS	425888P75	HILFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY LARGE CAP FINANCIAL FUND INVESTOR CLASS	425888P82	HLFNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY SMALL CAP FINANCIAL FUND INSTITUTIONAL CLASS	425888P86	HISFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY SMALL CAP FINANCIAL FUND INVESTOR CLASS	425888P84	HSFNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY TECHNOLOGY FUND INSTITUTIONAL CLASS	425888P81	HTCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY TECHNOLOGY FUND INVESTOR CLASS	425888P85	HTECX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HENNESSY FUNDS	HENNESSY TOTAL RETURN FUND INVESTOR CLASS	425887205	HDOGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND ENERGY MLP FUND CLASS A	43090E357	HEFAA	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND ENERGY MLP FUND CLASS Y	43090E324	HEFYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND FIXED INCOME FUND CLASS A	43090E647	HFBAA	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND FIXED INCOME FUND CLASS Y	43090E597	HFBYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND LONG/SHORT EQUITY FUND CLASS A	430070201	HEOAX	Load; FundVest Institutional	Initial : 25.0; Sub : 25.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND LONG/SHORT EQUITY FUND CLASS Z	430070409	HEOZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND LONG/SHORT HEALTHCARE FUND CLASS A	430101808	HHCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND LONG/SHORT HEALTHCARE FUND CLASS Z	430101873	HHCZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND MERGER ARBITRAGE FUND CLASS A	430101667	HMEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND MERGER ARBITRAGE FUND CLASS Z	430101642	HMEZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND OPPORTUNISTIC CREDIT FUND CLASS A	430101766	HNRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND OPPORTUNISTIC CREDIT FUND CLASS Z	430101741	HNRZX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND SMALL CAP EQUITY FUND CLASS Y	43090E761	HSZYY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND SMALL-CAP EQUITY FUND CLASS A	43090E811	HSZAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND SOCIALLY RESPONSIBLE EQUITY FUND CLASS A	43090E860	HPEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND SOCIALLY RESPONSIBLE EQUITY FUND CLASS Y	43090E829	HPEYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND TOTAL RETURN FUND CLASS A	43090E456	HTAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	HIGHLAND TOTAL RETURN FUND CLASS Y	43090E415	HTAYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	NEXPOINT HEALTHCARE OPPORTUNITIES FUND CLASS A	65343K104	NXHAX	Load	Initial : 25.0; Sub : 25.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	NEXPOINT HEALTHCARE OPPORTUNITIES FUND CLASS Z	65343K401	NXHZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	NEXPOINT REAL ESTATE STRATEGIES FUND CLASS A	65342M101	NRSAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HIGHLAND FUNDS	NEXPOINT REAL ESTATE STRATEGIES FUND CLASS Z	65342M309	NRSZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HODGES FUNDS	HODGES BLUE CHIP EQUITY INCOME FUND RETAIL CLASS	742935174	HDPBX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HODGES FUNDS	HODGES FUND CLASS I	742935232	HDPXI	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HODGES FUNDS	HODGES FUND RETAIL CLASS	742935109	HDPMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HODGES FUNDS	HODGES SMALL CAP FUND CLASS I	742935224	HDSIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HODGES FUNDS	HODGES SMALL CAP FUND RETAIL CLASS	742935299	HDPSP	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HODGES FUNDS	HODGES SMALL INTRINSIC VALUE FUND RETAIL CLASS	74316J318	HDSVX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HODGES FUNDS	HODGES SMALL-MID CAP FUND RETAIL CLASS	74316J326	HDSMX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOMESTEAD FUNDS	HOMESTEAD GROWTH FUND	437769706	HNASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOMESTEAD FUNDS	HOMESTEAD INTERNATIONAL VALUE FUND	437769805	HISIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOMESTEAD FUNDS	HOMESTEAD SHORT-TERM BOND FUND	437769300	HOSBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOMESTEAD FUNDS	HOMESTEAD SHORT-TERM GOVT SECURITIES FUND	437769409	HOSGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOMESTEAD FUNDS	HOMESTEAD SMALL-COMPANY STOCK FUND	437769508	HSCSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOMESTEAD FUNDS	HOMESTEAD STOCK INDEX FUND	437769607	HSTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOMESTEAD FUNDS	HOMESTEAD VALUE FUND	437769201	HOVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY CAPITAL INCOME FUND CLASS A	44134R693	HWIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY CAPITAL INCOME FUND CLASS I	44134R719	HWIIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY DIVERSIFIED VALUE FUND CLASS A	44134R750	HWCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY DIVERSIFIED VALUE FUND CLASS I	44134R768	HWCIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY GLOBAL VALUE FUND CLASS A	44134R677	HWGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY GLOBAL VALUE FUND CLASS I	44134R685	HWGIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY HIGH YIELD FUND CLASS A	44134R727	HWHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY HIGH YIELD FUND CLASS I	44134R735	HWHIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY HIGH YIELD FUND CLASS Z	44134R529	HWHZX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY INTERNATIONAL VALUE FUND CLASS I	44134R636	HWNIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY LARGE-CAP VALUE FUND CLASS A	44134R107	HWLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY LARGE-CAP VALUE FUND CLASS I	44134R503	HWLIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY MID-CAP VALUE FUND CLASS A	44134R206	HWMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY MID-CAP VALUE FUND CLASS I	44134R800	HWMIX	No/Low Load; FundVest Focus	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY SMALL CAP DIVERSIFIED VALUE FUND CLASS A	44134R644	HWPVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY SMALL CAP DIVERSIFIED VALUE FUND CLASS I	44134R651	HWVIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY SMALL-CAP VALUE FUND CLASS A	44134R305	HWSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY SMALL-CAP VALUE FUND CLASS I	44134R867	HWSIX	No/Low Load; FundVest Focus	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY VALUE OPPORTUNITIES FUND CLASS I	44134R834	HWAIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HOTCHKIS & WILEY FUNDS	HOTCHKIS & WILEY VALUE OPPORTUNITIES FUND CLASS A	44134R792	HWAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HUBER CAPITAL FUNDS	HUBER CAP MID CAP VALUE FUND INVESTOR CLASS	00768D178	HUMDX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HUBER CAPITAL FUNDS	HUBER CAPITAL DIVERSIFIED LARGE CAP VALUE FUND INSTITUTIONAL CLASS	00770X873	HUDEX	No/Low Load	Initial : 100000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HUBER CAPITAL FUNDS	HUBER CAPITAL DIVERSIFIED LARGE CAP VALUE FUND INVESTOR CLASS	00770X881	HUDIX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HUBER CAPITAL FUNDS	HUBER CAPITAL EQUITY INCOME FUND INSTITUTIONAL CLASS	00768D418	HULEX	No/Low Load	Initial : 1000000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HUBER CAPITAL FUNDS	HUBER CAPITAL EQUITY INCOME FUND INVESTOR CLASS	007989387	HULIX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HUBER CAPITAL FUNDS	HUBER CAPITAL MID CAP VALUE FUND INSTITUTIONAL CLASS	00768D160	HUMEX	No/Low Load	Initial : 1000000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HUBER CAPITAL FUNDS	HUBER CAPITAL SMALL CAP VALUE FUND INVESTOR CLASS	007989379	HUSIX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HUBER CAPITAL FUNDS	HUBER CAPITAL SMALL CAP VALUE FUNDS INSTITUTIONAL CLASS	00768D392	HUSEX	No/Low Load	Initial : 1000000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HUSSMAN FUNDS	HUSSMAN STRATEGIC ALLOCATION FUND	448108506	HSAFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HUSSMAN FUNDS	HUSSMAN STRATEGIC GROWTH FUND	448108100	HSGFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HUSSMAN FUNDS	HUSSMAN STRATEGIC INTERNATIONAL FUND	448108308	HSEIX	No/Low Load	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
HUSSMAN FUNDS	HUSSMAN STRATEGIC TOTAL RETURN FUND	448108209	HSTRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON CONSUMER DISCRETIONARY FUND CLASS A	44929K432	ICCAAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON CONSUMER DISCRETIONARY FUND CLASS S	44929K309	ICCCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON EMERGING MARKETS FUND CL A	44929K598	IPCAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON EMERGING MARKETS FUND CL S	44929K853	ICARX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON ENERGY FUND CLASS A	44929K416	ICEAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON ENERGY FUND CLASS S	44929K507	ICENX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON EQUITY INCOME FUND CLASS A	44929K549	IEQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON EQUITY INCOME FUND CLASS S	44929K648	IOEZX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON FINANCIAL FUND CLASS A	44929K382	ICFAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON FINANCIAL FUND CLASS S	44929K606	ICFSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON FLEXIBLE BOND FUND CLASS A	44929K234	IOBAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON FLEXIBLE BOND FUND CLASS S	44929K671	IOBZX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON FUND CLASS A	44929K531	ICNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON FUND CLASS S	44929K663	ICNZX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON HEALTHCARE FD CLASS S	44929K705	ICHCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON HEALTHCARE FUND CLASS A	44929K366	ICHAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON INDUSTRIALS FUND CLASS A	44929K341	ICIAAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON INDUSTRIALS FUND CLASS S	44929K861	ICTRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON INFORMATION TECHNOLOGY FUND CLASS A	44929K325	ICTTX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON INFORMATION TECHNOLOGY FUND CLASS S	44929K887	ICTEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON INTERNATIONAL EQUITY FUND CLASS A	44929K572	IIQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON INTERNATIONAL EQUITY FUND CLASS S	44929K838	ICNEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON LEISURE AND CONSUMER STAPLES FUND CLASS A	44929K291	ICRAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON LEISURE AND CONSUMER STAPLES FUND CLASS S	44929K804	ICLEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON LONG SHORT FUND CLASS A	44929K556	ISTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON LONG/SHORT FUND CLASS S	44929K630	IOLZX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON NATURAL RESOURCES FUND CLASS A	44929K275	ICBAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON NATURAL RESOURCES FUND CLASS S	44929K101	ICBMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON OPPORTUNITIES FUND CLASS S	44929K226	ICONX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON RISK-MANAGED BALANCED FUND CLASS A	44929K564	IOCAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON RISK-MANAGED BALANCED FUND CLASS S	44929K655	IOCCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON UTILITIES FUND CLASS A	44929K259	ICTVX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ICON FUNDS	ICON UTILITIES FUND CLASS S	44929K879	ICTUX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
IMS FUNDS	IMS CAPITAL VALUE FUND	885572735	IMSCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
IMS FUNDS	IMS DIVIDEND GROWTH FUND	885572727	IMSAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
IMS FUNDS	IMS STRATEGIC INCOME FUND	885572719	IMSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INCOMETRIC FUNDSETTLE	INCOMETRIC FUND ACCI DMP DIVERSIFIED FUND CLASS A1 (USD)(ACC) ISIN LU1913290232	15065D299	N/A	No/Low Load; Offshore	Initial : 0.0; Sub : 0.0	Non FundServFundSe	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INCOMETRIC FUNDSETTLE	INCOMETRIC FUND ACCI DMP DIVERSIFIED FUND CLASS A2 (USD)(ACC) ISIN LU1913290315	15065D307	N/A	No/Low Load; Offshore	Initial : 0.0; Sub : 0.0	Non FundServFundSe	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INCOMETRIC FUNDSETTLE	INCOMETRIC FUND ACCI DYNAMIC GBLX FIXED INCOME OPP FD CL A1 (USD)(ACC) ISIN LU1913290661	15065D331	N/A	No/Low Load; Offshore	Initial : 0.0; Sub : 0.0	Non FundServFundSe	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INCOMETRIC FUNDSETTLE	INCOMETRIC FUND ACCI DYNAMIC GBLX FIXED INCOME OPP FD CL A2 (USD)(ACC) ISIN LU1913290828	15065D349	N/A	No/Low Load; Offshore	Initial : 0.0; Sub : 0.0	Non FundServFundSe	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INCOMETRIC FUNDSETTLE	INCOMETRIC FUND ACCI SYSTEMATIC ALLOCATION FUND CLASS A1 (USD)(ACC) ISIN LU1913291479	15065D372	N/A	No/Low Load; Offshore	Initial : 0.0; Sub : 0.0	Non FundServFundSe	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INCOMETRIC FUNDSETTLE	INCOMETRIC FUND ACCI SYSTEMATIC ALLOCATION FUND CLASS A2 (USD)(ACC) ISIN LU1913291552	15065D380	N/A	No/Low Load; Offshore	Initial : 0.0; Sub : 0.0	Non FundServFundSe	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INDEX FUNDS	INDEX FUNDS S&P 500 EQUAL WEIGHT	45407J300	INDEX	No/Low Load	Initial : 1000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INFINITY FUNDS	INFINITY Q DIVERSIFIED ALPHA FUND CLASS I	89832P705	IQDNX	No/Low Load	Initial : 100000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INFINITY FUNDS	INFINITY Q DIVERSIFIED ALPHA FUND INVESTOR CLASS	89832P606	IQDAX	No/Low Load	Initial : 100000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY DIVIDEND HARVEST FUND CLASS A	45890C754	IDIVX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY DIVIDEND HARVEST FUND CLASS I	45890C655	IDHIX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY ENERGIZED DIVIDEND FUND CLASS A	45890C713	NRGDG	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY ENERGIZED DIVIDEND FUND CLASS I	45890C648	NRIGX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY GROWTH & INCOME FUND CLASS A	45890C846	IGIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY GROWTH & INCOME FUND CLASS I	45890C671	IGNVX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY HIGH INCOME FUND CLASS A	45890C887	IHFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY HIGH INCOME FUND CLASS I	45890C663	IHFIX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY KANSAS MUNICIPAL FUND CLASS I	926826801	KSITX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY MAINE MUNICIPAL FUND CLASS A	926826884	MEMUX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY MAINE MUNICIPAL FUND CLASS I	926826876	MEIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY NEBRASKA MUNICIPAL FUND CLASS I	926826850	NEITX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
INTEGRITY FUNDS	INTEGRITY OKLAHOMA MUNICIPAL FUND CLASS I	926826819	OKMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
INTEGRITY FUNDS	KANSAS MUNICIPAL FUND CLASS A	926826702	KSMUX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTEGRITY FUNDS	NEBRASKA MUNICIPAL FUND CLASS A	926826868	NEMUX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTEGRITY FUNDS	OKLAHOMA MUNICIPAL FUND CLASS A	926826827	OKMUX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTEGRITY FUNDS	VIKING MONTANA TAX-FREE FUND CLASS A	926826108	VMITX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTEGRITY FUNDS	VIKING NORTH DAKOTA TAX-FREE FUND CLASS A	926826207	VNDFX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTEGRITY FUNDS	VIKING TAX-FREE FUND FOR MONTANA CLASS I	926826504	VMITX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTEGRITY FUNDS	VIKING TAX-FREE FUND FOR NORTH DAKOTA CLASS I	926826603	VNDIX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTEGRITY FUNDS	WILLISTON BASIN/ MID-NORTH AMERICA STOCK FUND CLASS I	45890C689	ICWIX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTEGRITY FUNDS	WILLISTON BASIN/ MID- NORTH AMERICA STOCK FUND CLASS A	45890C606	ICPAX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTREPID FUNDS	INTREPID ALL CAP FUND INVESTOR CLASS	461195406	ICMCX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTREPID FUNDS	INTREPID CAPITAL FUND INSTITUTIONAL CLASS	461195604	ICMVX	No/Low Load	Initial: 25000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTREPID FUNDS	INTREPID CAPITAL FUND INVESTOR CLASS	461195208	ICMBX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTREPID FUNDS	INTREPID INCOME FUND INSTITUTIONAL CLASS	461195703	ICMUX	No/Low Load	Initial: 25000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTREPID FUNDS	INTREPID SMALL CAP FUND INSTITUTIONAL	461195505	ICMZS	No/Low Load	Initial: 25000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INTREPID FUNDS	INTREPID SMALL CAP FUND INVESTOR CLASS	461195109	ICMAX	No/Low Load; FundVest Focus	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ACR INTERNATIONAL QUALITY RETURN (IQR) FUND CLASS A	46141T661	IQRAX	Load	Initial: 1500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ACR INTERNATIONAL QUALITY RETURN (IQR) FUND CLASS I	46141T653	IQRIX	No/Low Load	Initial: 1500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ACR MULTI STRATEGY QUALITY RETURN (MQR) FUND CLASS A	46141T703	MQRAX	Load	Initial: 1500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ACR MULTI STRATEGY QUALITY RETURN (MQR) FUND CLASS I	46141T802	MQRIX	No/Low Load; FundVest Institutional	Initial: 1500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ADVISORY RESEARCH ALL CAP VALUE FUND	461418816	ADVGX	No/Low Load	Initial: 2500.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ADVISORY RESEARCH STRATEGIC INCOME FUND	46141P503	ADVNX	No/Low Load	Initial: 2500.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	BERNZOTT U.S. SMALL CAP VALUE FUND	461418220	BSCVX	No/Low Load	Initial: 25000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	CANNABIS GROWTH FUND INSTITUTIONAL CLASS	46141T547	CANIX	No/Low Load	Initial: 10000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	CANNABIS GROWTH FUND INVESTOR CLASS	46141T570	CANNX	No/Low Load	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	EP EMERGING MARKETS SMALL COMPANIES FUND CLASS A	461418550	EPASX	Load	Initial: 2500.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	EUROPAC GOLD FUND CLASS A	46141P677	EPGFX	Load	Initial: 2500.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	EUROPAC GOLD FUND INSTITUTIONAL CLASS	46141Q196	EPGIX	No/Low Load	Initial: 5000.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	EUROPAC INTERNATIONAL BOND FUND CLASS A	461418618	EPIBX	Load	Initial: 2500.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	EUROPAC INTERNATIONAL VALUE FUND CLASS A	461418766	EPVIX	Load	Initial: 2500.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	IRONCLAD MANAGED RISK FUND	461418642	IRONX	No/Low Load	Initial: 2500.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	KL ALLOCATION FUND ADVISOR CLASS	461418667	GAVAX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	KL ALLOCATION FUND INSTITUTIONAL CLASS	461418659	GAVIX	No/Low Load; FundVest Institutional	Initial: 50000.0; Sub: 25000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	LS THETA INCOME FUND INSTITUTIONAL CLASS	46141P271	LQITX	No/Low Load; FundVest Institutional	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	PALMER SQUARE INCOME PLUS FUND INSTITUTIONAL CLASS	46141P388	PSYPX	No/Low Load; FundVest Institutional	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	PALMER SQUARE ULTRA SHORT DURATION INVESTMENT GRADE FD INSTITUTIONAL CL	46141Q816	PSDSX	No/Low Load; FundVest Institutional	Initial: 25000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	RIVERBRIDGE ECO LEADERS FUND INSTITUTIONAL CLASS	46141P701	RIVEX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	RIVERBRIDGE ECO LEADERS FUND INVESTOR CLASS	46141P602	ECOLX	No/Low Load	Initial: 2500.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	RIVERBRIDGE GROWTH FUND INSTITUTIONAL CLASS	46141P404	RIVBX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	RIVERBRIDGE GROWTH FUND INVESTOR CLASS	46141P305	RIVRX	No/Low Load; FundVest Institutional	Initial: 2500.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	RNC CENTER DIVIDEND INCOME FUND	461418865	GDHIX	No/Low Load; FundVest Focus	Initial: 25000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	SEGALL BRYANT & HAMIL ALL CAP FUND	46141P784	SBHAX	No/Low Load	Initial: 2500.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	SEGALL BRYANT & HAMIL EMERGING MARKETS FUND CLASS A	46141Q675	SBHEX	Load	Initial: 2500.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	SEGALL BRYANT & HAMIL EMERGING MARKETS FUND CLASS I	46141Q667	SBEMX	No/Low Load	Initial: 100000.0; Sub: 1000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	SEGALL BRYANT & HAMIL INTERNATIONAL SMALL CAP FUND CLASS A	46141Q659	SBHSX	Load	Initial: 2500.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	SEGALL BRYANT & HAMIL INTERNATIONAL SMALL CAP FUND CLASS I	46141Q642	SBISX	No/Low Load	Initial: 1000000.0; Sub: 1000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	SEGALL BRYANT & HAMIL SMALL CAP VALUE FUND	46141P776	SBHVX	No/Low Load	Initial: 2500.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	SILVERPEPPER COMMODITY STRATEGIES GLOBAL MACRO FD ADVISOR CL	46141P768	SPCAX	No/Low Load	Initial: 5000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	SILVERPEPPER COMMODITY STRATEGY GLOBAL MACRO FUND INSTITUTIONAL CLASS	46141P750	SPCIX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	SILVERPEPPER MERGER ARBITRAGE FUND ADVISOR CLASS	46141P743	SPABX	No/Low Load	Initial: 5000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	SILVERPEPPER MERGER ARBITRAGE FUND INSTITUTIONAL CLASS	46141P735	SPAIX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	TORTOISE MLP & ENERGY INCOME FUND CLASS A	461418543	INFRX	Load	Initial: 2500.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	TORTOISE MLP & ENERGY INCOME FUND INSTITUTIONAL CLASS	461418535	INFIK	No/Low Load	Initial: 10000.0; Sub: 1000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	TORTOISE MLP & ENERGY INFRASTRUCTURE FUND INSTITUTIONAL CLASS	461418626	MLPPX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	TOWLE DEEP VALUE FUND	461418360	TDVFX	No/Low Load	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
INVESTMENT MANAGERS SERIES	VAUGHAN NELSON EMERGING MARKETS OPPORTUNITIES FUND INSTITUTIONAL CLASS	46141P552	ADVNMX	No/Low Load	Initial: 2500.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	VAUGHAN NELSON INTERNATIONAL SMALL CAP VALUE FUND ADVISOR CLASS	461418741	ADVIX	No/Low Load	Initial: 2500.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	VAUGHAN NELSON INTERNATIONAL SMALL CAP VALUE FUND INSTITUTIONAL CLASS	46141P412	ADVXL	No/Low Load	Initial: 50000.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ZACKS ALL-CAP CORE FUND INSTITUTIONAL CLASS	461418204	CZOVX	No/Low Load	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ZACKS DIVIDEND FUND INSTITUTIONAL CLASS	46141Q378	ZDIX	No/Low Load	Initial: 10000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ZACKS DIVIDEND FUND INVESTOR CLASS	46141P321	ZDIVX	No/Low Load	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ZACKS MARKET NEUTRAL FUND INSTITUTIONAL CLASS	461418808	ZMNIX	No/Low Load	Initial: 10000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ZACKS MARKET NEUTRAL FUND INVESTOR CLASS	461418709	ZMNVX	No/Low Load	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ZACKS SMALL CAP CORE FUND INVESTOR CLASS	461418428	ZSCCX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
INVESTMENT MANAGERS SERIES	ZACKS SMALL-CAP CORE FUND INSTITUTIONAL CLASS	46141P313	ZSCIX	No/Low Load	Initial: 10000.0; Sub: 5000.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
IWA FUNDS	IWA INTERNATIONAL FUND CLASS A	45070A305	IWIOX	Load; FundVest Institutional	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
IWA FUNDS	IWA INTERNATIONAL FUND CLASS I	45070A404	IWIOX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
IWA FUNDS	IWA WORLDWIDE FUND CLASS A	45070A107	IWVAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
IWA FUNDS	IWA WORLDWIDE FUND CLASS I	45070A206	IWVIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
JACOB FUNDS	JACOB INTERNET FUND INVESTOR CLASS	469785604	JAMFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
JACOB FUNDS	JACOB MICRO CAP GROWTH FUND CLASS I	469785307	JMIGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
JACOB FUNDS	JACOB MICRO CAP GROWTH FUND INVESTOR CLASS	469785406	JMCGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
JACOB FUNDS	JACOB SMALL CAP GROWTH FUND CLASS I	469785505	PBSBX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
JACOB FUNDS	JACOB SMALL CAP GROWTH FUND INVESTOR CLASS	469785109	JSCGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
JAG FUNDS	JAG LARGE CAP GROWTH FUND CLASS A	62827L377	JLGAX	Load	Initial: 2500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
JAG FUNDS	JAG LARGE CAP GROWTH FUND CLASS I	62827L351	JLIGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
JANUS FUNDS	JANUS HENDERSON ABSOLUTE RETURN INCOME OPPORTUNITIES FUND CLASS A	47103D462	JUCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ABSOLUTE RETURN INCOME OPPORTUNITIES FUND CLASS I	47103D439	JUCIC	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ABSOLUTE RETURN INCOME OPPORTUNITIES FUND CLASS S	47103D413	JUCSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ABSOLUTE RETURN INCOME OPPORTUNITIES FUND CLASS T	47103D397	JUCTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ADAPTIVE GLOBAL ALLOCATION FUND CL A	47103D272	JAGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ADAPTIVE GLOBAL ALLOCATION FUND CLASS I	47103D249	JVGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ADAPTIVE GLOBAL ALLOCATION FUND CLASS S	47103D256	JAGSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ADAPTIVE GLOBAL ALLOCATION FUND CLASS T	47103D223	JVGTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ASIA EQUITY FUND CLASS A	47103E379	JAQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ASIA EQUITY FUND CLASS I	47103E346	JAQIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ASIA EQUITY FUND CLASS N	47103Y649	JAQNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ASIA EQUITY FUND CLASS S	47103E338	JAQSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ASIA EQUITY FUND FUND CLASS T	47103E320	JAQTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON BALANCED FUND CLASS A	47103C506	JDBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON BALANCED FUND CLASS I	47103C704	JBALX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON BALANCED FUND CLASS N	47103D108	JABNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON BALANCED FUND CLASS S	47103C886	JABRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON BALANCED FUND CLASS T	471023879	JABAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON CONTRARIAN FUND CLASS A	47103C878	JCNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON CONTRARIAN FUND CLASS I	47103C852	JCONX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON CONTRARIAN FUND CLASS S	47103C837	JCNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON CONTRARIAN FUND CLASS T	471023655	JSVAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON DEVELOPED WORLD BOND FUND CLASS A	47103Y862	HFAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON DEVELOPED WORLD BOND FUND CLASS I	47103Y839	HFAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON DEVELOPED WORLD BOND FUND CLASS S	47103Y789	HFAFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON DEVELOPED WORLD BOND FUND CLASS T	47103Y771	HFAFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON DIVERSIFIED ALTERNATIVES FUND CLASS A	47103D694	JDDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON DIVERSIFIED ALTERNATIVES FUND CLASS I	47103D660	JDAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON DIVERSIFIED ALTERNATIVES FUND CLASS S	47103D645	JDASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON DIVERSIFIED ALTERNATIVES FUND CLASS T	47103D637	JDATX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON DIVIDEND & INCOME BUILDER FUND CLASS A	47103X864	HDAVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON DIVIDEND & INCOME BUILDER FUND CLASS I	47103X831	HDIVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON DIVIDEND & INCOME BUILDER FUND CLASS S	47103X781	HDQVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON DIVIDEND & INCOME BUILDER FUND CLASS T	47103X773	HDTVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON EMERGING MARKETS FUND CLASS A	47103X757	HEMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON EMERGING MARKETS FUND CLASS I	47103X724	HEMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON EMERGING MARKETS FUND CLASS S	47103X674	HEMSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON EMERGING MARKETS FUND CLASS T	47103X666	HEMTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON EMERGING MARKETS MANAGED VOLATILITY FUND CLASS A	47103D389	JOLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON EMERGING MARKETS MANAGED VOLATILITY FUND CLASS I	47103D355	JOLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON EMERGING MARKETS MANAGED VOLATILITY FUND CLASS S	47103D330	JOLSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON EMERGING MARKETS MANAGED VOLATILITY FUND CLASS T	47103D322	JOLTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON ENTERPRISE FUND CLASS A	47103C829	JDMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON ENTERPRISE FUND CLASS I	47103C795	JMGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON ENTERPRISE FUND CLASS R	47103C787	JDMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON ENTERPRISE FUND CLASS S	47103C779	JGRTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON ENTERPRISE FUND CLASS T	471023804	JAENX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON EUROPEAN FOCUS FUND CLASS A	47103X641	HFEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON EUROPEAN FOCUS FUND CLASS I	47103X617	HFEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON EUROPEAN FOCUS FUND CLASS S	47103X567	HFEFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON EUROPEAN FOCUS FUND CLASS T	47103X559	HFEFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON FLEXIBLE BOND FUND CLASS A	47103C761	JDFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON FLEXIBLE BOND FUND CLASS I	47103C746	JFLEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON FLEXIBLE BOND FUND CLASS S	47103C720	JADFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON FLEXIBLE BOND FUND CLASS T	471023606	JAFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON FORTY FUND CLASS A	47103A674	JDCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON FORTY FUND CLASS I	47103A658	JCAPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON FORTY FUND CLASS R	47103A641	JDCRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON FORTY FUND CLASS S	47103A633	JARTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON FORTY FUND CLASS T	47103A625	JACTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON FUND CLASS I GLOBAL BOND FUND CLASS I	47103E452	JGBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON FUND CLASS R	47103C514	JORRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL ALLOCATION CONSERVATIVE FUND CLASS A	47103A104	JCAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL ALLOCATION CONSERVATIVE FUND CLASS I	47103A302	JCAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL ALLOCATION CONSERVATIVE FUND CLASS S	47103A401	JCASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL ALLOCATION CONSERVATIVE FUND CLASS T	471023499	JSPCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL ALLOCATION GROWTH FUND CLASS A	47103A500	JGCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL ALLOCATION GROWTH FUND CLASS I	47103A708	JGCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL ALLOCATION GROWTH FUND CLASS S	47103A807	JGCSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL ALLOCATION GROWTH FUND CLASS T	471023523	JSPGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL ALLOCATION MODERATE FUND CLASS A	47103A880	JMOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL ALLOCATION MODERATE FUND CLASS I	47103A864	JMOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL ALLOCATION MODERATE FUND CLASS S	47103A856	JMOSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL ALLOCATION MODERATE FUND CLASS T	471023515	JSPMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL BOND FUND CLASS A	47103E486	JGBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
JANUS FUNDS	JANUS HENDERSON GLOBAL BOND FUND CLASS S	47103E445	JGBSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL BOND FUND CLASS T	47103E437	JHBTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL EQUITY INCOME FUND CLASS A	47103X534	HFOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL EQUITY INCOME FUND CLASS I	47103X492	HFOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL EQUITY INCOME FUND CLASS N	47103X484	HFORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL EQUITY INCOME FUND CLASS S	47103X450	HFOXS	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL EQUITY INCOME FUND CLASS T	47103X443	HFOXT	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL INCOME MANAGED VOLATILITY CLASS S	47103C118	JGDSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL INCOME MANAGED VOLATILITY CLASS T	47103E247	JDGTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL INCOME MANAGED VOLATILITY FUND CLASS A	47103C159	JGDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL LIFE SCIENCES FUND CLASS A	471023481	JFNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL LIFE SCIENCES FUND CLASS I	471023465	JFNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL LIFE SCIENCES FUND CLASS N	47103Y631	JFNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL LIFE SCIENCES FUND CLASS S	471023457	JFNIS	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL LIFE SCIENCES FUND CLASS T	471023671	JAGLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL REAL ESTATE FUND CLASS A	47103A617	JERAX	Load; FundVest Institutional	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL REAL ESTATE FUND CLASS I	47103A583	JERIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL REAL ESTATE FUND CLASS N	47103Y623	JERNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL REAL ESTATE FUND CLASS S	47103A575	JERSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL REAL ESTATE FUND CLASS T	47103A567	JERTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL REAL RESEARCH FUND CLASS A	47103C324	JDWAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL RESEARCH FUND CLASS I	47103C290	JWVFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL RESEARCH FUND CLASS S	47103C274	JWGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL RESEARCH FUND CLASS T	471023309	JAWWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL SELECT FUND CLASS A	47103C548	JORAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL SELECT FUND CLASS I	47103C522	JORFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL SELECT FUND CLASS S	47103C498	JORIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL SELECT FUND CLASS T	471023648	JORNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL TECHNOLOGY FUND CLASS A	471023358	JATAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL TECHNOLOGY FUND CLASS I	471023333	JATIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL TECHNOLOGY FUND CLASS S	471023325	JATXS	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL TECHNOLOGY FUND CLASS T	471023663	JAGTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL VALUE FUND CLASS A	471023440	JPPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL VALUE FUND CLASS I	471023424	JPPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL VALUE FUND CLASS S	471023416	JPPSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GLOBAL VALUE FUND CLASS T	471023622	JGVAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GOVERNMENT MONEY MARKET FUND CLASS T	471023820	JAGXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GROWTH AND INCOME FUND CLASS A	47103C654	JDNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GROWTH AND INCOME FUND CLASS I	47103C639	JGINX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GROWTH AND INCOME FUND CLASS S	47103C613	JADGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON GROWTH AND INCOME FUND CLASS T	471023200	JAGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON HIGHYIELD FUND CLASS A	47103C597	JHYAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON HIGHYIELD FUND CLASS I	47103C571	JHYFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON HIGHYIELD FUND CLASS S	47103C555	JDHYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON HIGHYIELD FUND CLASS T	471023762	JAHYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INCOME MANAGED VOLATILITY FUND CLASS I	47103C126	JGDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL FUND CLASS N	47103X260	HFOXS	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL MANAGED VOLATILITY FUND CLASS A	47103A781	JMIAX	Load; FundVest Institutional	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL MANAGED VOLATILITY FUND CLASS I	47103A765	JMIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL MANAGED VOLATILITY FUND CLASS S	47103A757	JMISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL MANAGED VOLATILITY FUND CLASS T	47103A740	JRMTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL OPPORTUNITIES FUND CLASS A	47103X310	HFOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL OPPORTUNITIES FUND CLASS I	47103X278	HFOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL OPPORTUNITIES FUND CLASS S	47103X237	HFOOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL OPPORTUNITIES FUND CLASS T	47103X229	HFOXT	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL SMALL CAP FUND CLASS A	47103Y102	HIZAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL SMALL CAP FUND CLASS I	47103Y409	HIZIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL SMALL CAP FUND CLASS S	47103Y805	HIZSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL SMALL CAP FUND CLASS T	47103Y888	HIZTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL VALUE FUND CLASS A	47103D629	JIFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL VALUE FUND CLASS I	47103D587	JIFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL VALUE FUND CLASS S	47103D561	JIFSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTERNATIONAL VALUE FUND CLASS T	47103D553	JIFTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON INTL OPPORTUNITIES FUND CLASS R	47103X245	HFORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON LARGE CAP VALUE FUND CLASS A	47103A310	JAPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON LARGE CAP VALUE FUND CLASS I	47103A286	JAPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON LARGE CAP VALUE FUND CLASS S	47103A278	JAPSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON LARGE CAP VALUE FUND CLASS T	47103A260	JPLTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON MID CAP VALUE FUND CLASS A	47103C266	JDPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON MID CAP VALUE FUND CLASS I	47103C241	JMVAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON MID CAP VALUE FUND CLASS L	471023580	JMIVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON MID CAP VALUE FUND CLASS N	47103D744	JDPNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON MID CAP VALUE FUND CLASS R	47103C233	JDPRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON MID CAP VALUE FUND CLASS S	47103C225	JMVIK	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON MID CAP VALUE FUND CLASS T	471023598	JMCVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
JANUS FUNDS	JANUS HENDERSON MONEY MARKET FUND CLASS T	471023838	JAMXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON MULTISECTOR INCOME FUND CLASS A	47103D546	JMUAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON MULTISECTOR INCOME FUND CLASS I	47103D512	JMIUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON MULTISECTOR INCOME FUND CLASS S	47103D488	JMUISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON MULTISECTOR INCOME FUND CLASS T	47103D470	JMUTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON OVERSEAS FUND CLASS A	47103C480	JDIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON OVERSEAS FUND CLASS I	47103C464	JIGFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON OVERSEAS FUND CLASS R	47103C456	JDIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON OVERSEAS FUND CLASS S	47103C449	JIGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON OVERSEAS FUND CLASS T	471023846	JAOSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON RESEARCH FUND CLASS A	471023317	JRAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON RESEARCH FUND CLASS I	471023283	JRAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON RESEARCH FUND CLASS R	47103D173	JRARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON RESEARCH FUND CLASS S	471023275	JRAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON RESEARCH FUND CLASS T	471023853	JAMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON SHORTTERM BOND FUND CLASS A	471023267	JSHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON SHORTTERM BOND FUND CLASS I	471023242	JSHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON SHORTTERM BOND FUND CLASS S	471023234	JSHSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON SHORTTERM BOND FUND CLASS T	471023887	JASBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON SMALL CAP VALUE FUND CLASS A	47103C217	JDSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON SMALL CAP VALUE FUND CLASS I	47103C183	JSCOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON SMALL CAP VALUE FUND CLASS L	471023564	JSVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON SMALL CAP VALUE FUND CLASS R	47103C175	JDSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON SMALL CAP VALUE FUND CLASS S	47103C167	JISXC	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON SMALL CAP VALUE FUND CLASS T	471023572	JSCVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON TRITON FUND CLASS A	47103C373	JGMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON TRITON FUND CLASS I	47103C357	JSMGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON TRITON FUND CLASS R	47103C340	JGMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON TRITON FUND CLASS S	47103C332	JGMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON TRITON FUND CLASS T	471023549	JATXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON U.S. GROWTH OPPORTUNITIES FUND CLASS A	47103Y755	HGRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON U.S. GROWTH OPPORTUNITIES FUND CLASS S	47103Y672	HGRSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON U.S. GROWTH OPPORTUNITIES FUND CLASS T	47103Y664	HGRTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON U.S. MANAGED VOLATILITY FUND CLASS A	47103A732	JRSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON U.S. MANAGED VOLATILITY FUND CLASS I	47103A716	JRSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON U.S. MANAGED VOLATILITY FUND CLASS S	47103A690	JRSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON U.S. MANAGED VOLATILITY FUND CLASS T	47103A682	JRSTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON VALUE PLUS INCOME FUND CLASS A	47103E627	JPVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON VALUE PLUS INCOME FUND CLASS I	47103E585	JPVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON VALUE PLUS INCOME FUND CLASS S	47103E577	JPVSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON VALUE PLUS INCOME FUND CLASS T	47103E569	JPVTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	JANUS HENDERSON VENTURE FUND CLASS A	47103E429	JVTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON VENTURE FUND CLASS I	47103E395	JVTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON VENTURE FUND CLASS S	47103E387	JVTSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	JANUS HENDERSON VENTURE FUND CLASS T	471023507	JAVTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JANUS FUNDS	SHARESIANUS HENDERSON SMALL-MID CAP VALUE FUND CLASS A	47103E239	JVSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	SHARESIANUS HENDERSON SMALL-MID CAP VALUE FUND CLASS I	47103E197	JVSIJ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	SHARESIANUS HENDERSON SMALL-MID CAP VALUE FUND CLASS S	47103E189	JVSJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JANUS FUNDS	SHARESIANUS HENDERSON SMALL-MID CAP VALUE FUND CLASS T	47103E171	JSVTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JENSEN PORTFOLIO	JENSEN QUALITY GROWTH FUND CLASS I	476313309	JENIX	No/Low Load	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JENSEN PORTFOLIO	JENSEN QUALITY GROWTH FUND CLASS J	476313301	JENSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JENSEN PORTFOLIO	JENSEN QUALITY GROWTH FUND CLASS R	476313200	JENRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JENSEN PORTFOLIO	JENSEN QUALITY VALUE FUND CLASS I	89833W519	JNVIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JENSEN PORTFOLIO	JENSEN QUALITY VALUE FUND CLASS J	89833W527	JNVSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JENSEN PORTFOLIO	THE JENSEN QUALITY GROWTH FUND CLASS Y	476313408	JENYX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM ASIA EX-JAPAN EQUITY FUND INSTITUTIONAL CLASS	00770G797	JOAMX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM ASIA EX-JAPAN FUND CLASS I	00770G789	JOAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM ASIA EX-JAPAN FUND CLASS II	00770G771	JOAAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM EMERGING MARKET SMALL MID CAP EQUITY FUND CLASS I	00770G649	JOMEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM EMERGING MARKETS OPPORTUNITIES FUND CLASS I	00770G888	JOEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM EMERGING MARKETS OPPORTUNITIES FUND CLASS II	00770G870	JOEAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM EMERGING MARKETS OPPORTUNITIES FUND INSTITUTIONAL CLASS	00770G821	JOEMX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM EMERGING MARKETS SMALL MID CAP EQUITY FUND INSTITUTIONAL CLASS	00770G722	JOEMX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM GLOBAL EQUITY FUND CLASS I	00770G862	JOGEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JOHCM FUNDS	JOHCM GLOBAL EQUITY FUND INSTITUTIONAL CLASS	00770G813	JOGIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JOHCM FUNDS	JOHCM GLOBAL INCOME BUILDER FUND CLASS I	00770G581	JOPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM GLOBAL INCOME BUILDER FUND INSTITUTIONAL CLASS	00770G599	JOPIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM INTERNATIONAL SELECT FUND CLASS I	00770G847	JOHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JOHCM FUNDS	JOHCM INTERNATIONAL SELECT FUND CLASS II	00770G839	JOHAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
JOHCM FUNDS	JOHCM INTERNATIONAL SMALL CAP EQUITY FUND CLASS I	00770G706	JOISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM INTERNATIONAL SMALL CAP EQUITY FUND CLASS II	00770G805	JOSAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM INTERNATIONAL SMALL CAP EQUITY FUND INSTITUTIONAL CLASS	00770G607	JOSMX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM U.S. SMALL MID CAP EQUITY FUND CLASS I	00770G763	JODIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
JOHCM FUNDS	JOHCM U.S. SMALL MID CAP EQUITY FUND INSTITUTIONAL CLASS	00770G730	JODMX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	GOLD BULLION STRATEGY FUND ADVISOR CLASS	00771F855	QGLCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
KENSINGTON FUNDS	GOLD BULLION STRATEGY FUND INVESTOR CLASS	'00771F202	QGLDX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	HUNDREDFOLD SELECT ALTERNATIVE FUND INVESTOR CLASS	'00771F699	HFSAX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	HUNDREDFOLD SELECT ALTERNATIVE FUND SERVICE CLASS	'00771F681	SFHYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	KENSINGTON MANAGED INCOME FUND CLASS A	'00771F723	KAMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	KENSINGTON MANAGED INCOME FUND INSTITUTIONAL CLASS	'00771F715	KAMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED ALL CAP EQUITY FUND ADVISOR CLASS	'00771F772	QACAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED ALL-CAP EQUITY FUND INVESTOR CLASS	'00771F509	QACFX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED ALTERNATIVE FUND ADVISOR CLASS	'00771F756	QALAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED ALTERNATIVE INVESTMENT FUND INVESTOR CLASS	'00771F707	QALTX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED COMMON GROUND FUND INVESTOR CLASS	'00771F632	QCGDX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED EVOLUTION PLUS FUND INVESTOR CLASS	'00771F665	QEVQX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED MANAGED INCOME FUND ADVISOR CLASS	'00771F780	QBDAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED MANAGED INCOME FUND INVESTOR CLASS	'00771F400	QBD5X	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED MARKET LEADERS FUND ADVISOR CLASS	'00771F764	QMLAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED MARKET LEADERS FUND INVESTOR CLASS	'00771F608	QMLFX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED PATTERN RECOGNITION FUND INVESTOR CLASS	'00771F657	QSPMX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED STF FUND ADVISOR CLASS	'00771F731	QSTAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED STF FUND INVESTOR CLASS	'00771F749	QSTFX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	QUANTIFIED TACTICAL FIXED INCOME FUND INVESTOR CLASS	'00771F673	QFTIX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	SPECTRUM ADVISORS PREFERRED INVESTOR CLASS	'00771F798	SAPEX	No/Low Load	Initial : 1000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KENSINGTON FUNDS	SPECTRUM LOW VOLATILITY FUND INVESTOR CLASS	'00771F871	SVARX	No/Low Load	Initial : 1000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS ALTERNATIVE INCOME FUND ADVISOR A CLASS	'494613714	KWIAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS ALTERNATIVE INCOME FUND INSTITUTIONAL CLASS	'494613680	KWIIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS ALTERNATIVE INCOME FUND INVESTOR CLASS	'494613722	KWINX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS GLOBAL FUND ADVISOR CLASS A	'494613631	KGLAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS GLOBAL FUND INVESTOR CLASS	'494613805	WWVEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS INTERNET ADVISOR CLASS A	'494613862	KINAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS INTERNET FUND INVESTOR CLASS	'460953102	WWWFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS MARKETS OPPORTUNITIES FUND	'494613789	KMKNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS MEDICAL FUND ADVISOR CLASS A	'494613847	KRXAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS MEDICAL FUND INVESTOR CLASS	'494613102	MEDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS MULTI-DISCIPLINARY INCOME FUND	'494613672	KMDNX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS MULTI-DISCIPLINARY ADVISOR FUND CLASS A	'494613664	KMDAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS MULTI-DISCIPLINARY FUND INSTITUTIONAL CLASS	'494613649	KMDVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS OPPORTUNITIES FUND CLASS A	'494613771	KMKAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS PARADIGM FUND ADVISOR CLASS A	'494613854	KNPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS PARADIGM FUND INST CLASS	'494613797	KNPYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS PARADIGM FUND INVESTOR CLASS	'494613607	WWNPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS SMALL CAP OPPORTUNITIES FUND ADVISOR CLASS A	'494613839	KSOAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS SMALL CAP OPPORTUNITIES FUND INSTITUTIONAL CLASS	'494613813	KSCYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	KINETICS SMALL-CAP OPPORTUNITIES FUND	'494613706	KSCOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	THE KINETICS SPIN OFF AND CORP RESTRUCTURING FD ADVISOR CL A	'494613557	LSHAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KINETICS FUNDS	THE KINETICS SPIN OFF AND CORPORATE RESTRUCTURING FUND INST CL	'494613532	LSHUX	No/Low Load	Initial : 99999.99; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
KCM FUNDS	KCM ESSENTIAL 40 STOCK FUND CLASS I	'66538F405	ESSIX	No/Low Load	Initial : 1000000.0; Sub : 25000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD CAP ALLOC OPPORTUNISTIC STRAT INST'L SHARES	'52106N491	LCAIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD DEVELOPING MARKETS EQUITY PORTFOLIO INSTL SHRS	'52106N475	LDMIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD DEVELOPING MARKETS EQUITY PORTFOLIO OPEN SHRS	'52106N467	LDMOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EMERGING MARKETS CORE EQUITY PORTFOLIO FUND INSTITUTIONAL SHARES	'52106N251	ECEIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EMERGING MARKETS CORE EQUITY PORTFOLIO FUND OPEN SHARES	'52106N244	ECEOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EMERGING MARKETS DEBT PORTFOLIO INSTL SHARES	'52106N111	LEDIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EMERGING MARKETS DEBT PORTFOLIO OPEN SHARES	'52106N129	LEDOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EMERGING MARKETS EQUITY ADVANTAGE PORTFOLIO FD INSTITUTIONAL CL	'52107V450	LEAIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EMERGING MARKETS EQUITY ADVANTAGE PORTFOLIO OPEN SHARES	'52107V443	LEAOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EMERGING MARKETS EQUITY BLEND PORTFOLIO INSTITUTIONAL SHARES	'52106N392	EMBIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EMERGING MARKETS EQUITY BLEND PORTFOLIO OPEN SHARES	'52106N418	EMBOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EMERGING MARKETS EQUITY OPEN SHARES	'52106N764	LZDEX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
LAZARD FUNDS	LAZARD EMERGING MARKETS INCOME PORTFOLIO FD INSTL CLASS	'52107V682	LEIIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EMERGING MARKETS INCOME PORTFOLIO FD OPEN CLASS	'52107V674	LEIOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EMERGING MARKETS PORTFOLIO (INSTITUTIONAL CLASS)	'52106N889	LZEMX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
LAZARD FUNDS	LAZARD ENHANCED OPPORTUNITIES PORTFOLIO FUND INSTITUTIONAL SHARES	'52107V484	LEOIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD ENHANCED OPPORTUNITIES PORTFOLIO FUND OPEN SHARES	'52107V476	LEOXX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EQUITY FRANCHISE PORTFOLIO FUND OPEN SHARES	'52107V278	LZFOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EXPLORER TOTAL RETURN PORTFOLIO FUND INSTITUTIONAL SHARES	'52106N277	LETIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD EXPLORER TOTAL RETURN PORTFOLIO FUND OPEN SHARES	'52106N269	LETOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD GLOBAL DYNAMIC MULTI ASSET PORTFOLIO INSTITUTIONAL SHARE	'52107V351	GDMIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD GLOBAL DYNAMIC MULTI ASSET PORTFOLIO OPEN SHARE	'52107V344	GDMOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD GLOBAL EQUITY SELECT PORTFOLIO FUND INSTITUTIONAL SHARES	'52107V724	GESIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD GLOBAL EQUITY SELECT PORTFOLIO FUND OPEN SHARES	'52107V716	GESOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD GLOBAL FIXED INCOME PORTFOLIO FUND INSTITUTIONAL CLASS	'52106N293	LZGIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD GLOBAL FIXED INCOME PORTFOLIO FUND OPEN SHARES	'52106N285	LZGOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD GLOBAL LISTED INFRASTRUCTURE PORT INST SHARES	'52106N459	GLIFX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD GLOBAL LISTED INFRASTRUCTURE PORT OPEN SHARES	'52106N442	GLFOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD GLOBAL STRATEGIC EQUITY PORTFOLIO FUND INSTITUTIONAL SHARES	'52107V559	LSTIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD GLOBAL STRATEGIC EQUITY PORTFOLIO FUND OPEN SHARES	'52107V542	LSTOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INT'L EQUITY SELECT FUND OPEN SHARES	'52106N657	LZESX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
LAZARD FUNDS	LAZARD INTL EQUITY SELECT INSTITUTIONAL SHARES	'52106N665	LZSIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTERNATIONAL COMPOUNDERS PORTFOLIO INSTITUTIONAL CLASS	'52107V229	ICMPX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTERNATIONAL COMPOUNDERS PORTFOLIO OPEN CLASS	'52107V211	OCMPX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTERNATIONAL EQUITY VALUE PORTFOLIO INSTL SHARE CLASS	'52107V252	IEVIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTERNATIONAL EQUITY VALUE PORTFOLIO OPEN SHARE CLASS	'52107V245	IEVOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTERNATIONAL STRATEGIC EQUITY FD	'52106N582	LISOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTERNATIONAL STRATEGIC EQUITY PORTFOLIO FUND	'52106N590	LISIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTL EQUITY ADVANTAGE PORTFOLIO FUND INSTITUTIONAL CLASS	'52107V385	IEAIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTL EQUITY ADVANTAGE PORTFOLIO OPEN SHARES	'52107V377	IEAOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTL EQUITY CONCENTRATED PORT FUND INST SHARES	'52107V583	LCNIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTL EQUITY CONCENTRATED PORT FUND OPEN SHARES	'52107V575	LCNOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTL EQUITY PORTFOLIO (INSTITUTIONAL CLASS)	'52106N400	LZIEH	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTL EQUITY PORTFOLIO OPEN SHARES	'52106N830	LZIOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTL SMALL-CAP PORTFOLIO (INSTITUTIONAL CLASS)	'52106N806	LZISX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD INTL SMALL-CAP PORTFOLIO OPEN SHARES	'52106N772	LZSMX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD MANAGED EQUITY VOLATILITY PORTFOLIO FD INST CL	'52107V427	MEVIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD MANAGED EQUITY VOLATILITY PORTFOLIO OPEN SHARES	'52107V419	MEVOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD OPPORTUNISTIC STRATEGIES PORTFOLIO OPEN SHARES	'52106N483	LCAOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD REAL ASSETS AND PRICING OPPORTUNITIES PORT FD INSTITUTIONAL CL	'52107V328	RALIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD REAL ASSETS AND PRICING OPPORTUNITIES PORT FUND OPEN CLASS	'52107V310	RALOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD SMALL-CAP PORTFOLIO (INSTITUTIONAL CLASS)	'52106N509	LZSCX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD U.S. CORPORATE INCOME PORTFOLIO FUND INSTITUTIONAL SHARES	'52106N699	LZHYX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD U.S. CORPORATE INCOME PORTFOLIO FUND OPEN SHARES	'52106N681	LZHOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD U.S. EQUITY CONCENTRATED PORTFOLIO INSTITUTIONAL SHARES	'52106N616	LEVIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD U.S. EQUITY CONCENTRATED PORTFOLIO OPEN SHARES	'52106N574	LEVOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD U.S. EQUITY SELECT PORTFOLIO FUND INSTL CLASS	'52106N624	LZUSX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD U.S. REALTY EQUITY PORTFOLIO FUND INSTITUTIONAL CLASS	'52106N327	LREIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD U.S. REALTY EQUITY PORTFOLIO FUND OPEN SHARES	'52106N319	LREOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD U.S. SHORT DURATION FIXED INCOME PORTFOLIO INSTITUTIONAL CLASS	'52106N384	UMNIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD U.S. SHORT DURATION FIXED INCOME PORTFOLIO OPEN SHARES	'52106N376	UMNOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	LAZARD U.S. SMALL- MID CAP PORTFOLIO OPEN SHARES	'52106N780	LZCOX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LAZARD FUNDS	THE LAZARD EQUITY FRANCHISE PORTFOLIO FUND INSTITUTIONAL SHARES	'52107V286	LZFIX	No/Low Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEADERS FUNDS	LEADER FLOATING RATE FUND INSTITUTIONAL CLASS	'52169B889	LFIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEADERS FUNDS	LEADER FLOATING RATE FUND INVESTOR CLASS	'52169B871	LFVFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEADERS FUNDS	LEADER SHORT DURATION BOND FUND CLASS A	'52169B301	LCAMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEADERS FUNDS	LEADER SHORT DURATION BOND FUND INSTITUTIONAL CLASS	'52169B103	LCICX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEADERS FUNDS	LEADER SHORT DURATION BOND FUND INVESTOR CLASS	'52169B202	LCMCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEADERS FUNDS	LEADER TOTAL RETURN FUND CLASS A	'52169B707	LCATX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEADERS FUNDS	LEADER TOTAL RETURN FUND INSTITUTIONAL CLASS	'52169B509	LCITX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEADERS FUNDS	LEADER TOTAL RETURN FUND INVESTOR CLASS	'52169B608	LCTRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINE GLOBAL OPPORTUNITIES BOND FUND CLASS I (HED)	'52471E191	GBUSX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL ALTERNATIVE CREDIT FUND CLASS A	'52471E852	LMAFX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL ALTERNATIVE CREDIT FUND CLASS FI	'52471E837	LMAOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL ALTERNATIVE CREDIT FUND CLASS I	'52471E829	LMANX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL ALTERNATIVE CREDIT FUND CLASS IS	'52471E811	LMANMX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL DIVERSIFIED U.S. LARGE CAP VALUE FUND CLASS A	'524686789	LBWAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL DIVERSIFIED U.S. LARGE CAP VALUE FUND CLASS I	'524686755	LBWIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL DIVERSIFIED U.S. LARGE CAP VALUE FUND CLASS IS	'524686730	LBISX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL DYNAMIC U.S. LARGE CAP VALUE FUND CLASS A	'52471E670	LMBIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL DYNAMIC U.S. LARGE CAP VALUE FUND CLASS I	'52471E654	LMBEX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL DYNAMIC U.S. LARGE CAP VALUE FUND CLASS IS	'52471E647	LMBGX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL FLEXIBLE INCOME FUND CLASS A	'52471E456	LFLEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL FLEXIBLE INCOME FUND CLASS I	'52471E449	LFILX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL HIGH YIELD FUND CLASS A	'52471E506	LBHAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL HIGH YIELD FUND CLASS FI	'52471E704	LBHFH	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL HIGH YIELD FUND CLASS I	'524686169	LMYIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL HIGH YIELD FUND CLASS IS	'524686151	LMZIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL HIGH YIELD FUND CLASS R	'52471E860	LBHRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL OPPORTUNITIES BOND FUND CLASS A	'524686383	GOBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL OPPORTUNITIES BOND FUND CLASS FI	'524686326	GOBFH	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL OPPORTUNITIES BOND FUND CLASS I	'524686334	GOBIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL OPPORTUNITIES BOND FUND CLASS IS	'524686318	GOBSX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL OPPORTUNITIES BOND FUND CLASS R	'524686367	LBORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL UNCONSTRAINED BOND FUND CLASS A	'524686722	LROAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL UNCONSTRAINED BOND FUND CLASS FI	'524686698	LBAFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL UNCONSTRAINED BOND FUND CLASS I	'524686672	LROIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL GLOBAL UNCONSTRAINED BOND FUND CLASS IS	'524686664	LROSX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL INTERNATIONAL OPPORTUNITIES BOND FUND CLASS A	'524686656	LWOAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL INTERNATIONAL OPPORTUNITIES BOND FUND CLASS FI	'524686300	LWOFH	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL INTERNATIONAL OPPORTUNITIES BOND FUND CLASS I	'524686409	LWOIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	BRANDYWINEGLOBAL INTERNATIONAL OPPORTUNITIES BOND FUND CLASS IS	'524686508	LMOTX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE AGGRESSIVE GROWTH FUND CLASS A	'52468C109	SHRAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE AGGRESSIVE GROWTH FUND CLASS FI	'52468C604	LMFPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE AGGRESSIVE GROWTH FUND CLASS I	'52468C406	SAGYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE AGGRESSIVE GROWTH FUND CLASS IS	'52468C703	LSIFX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or "Class A" funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
LEGG MASON FUNDS	CLEARBRIDGE AGGRESSIVE GROWTH FUND CLASS R	52468C505	LMPRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE ALL CAP VALUE FUND CLASS A	52469C108	SHFVX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE ALL CAP VALUE FUND CLASS I	52469C405	SFVYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE ALL CAP VALUE FUND CLASS IS	52469C504	LSISX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE APPRECIATION FUND CLASS A	52468E105	SHAPX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE APPRECIATION FUND CLASS FI	52468E600	LMPIX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE APPRECIATION FUND CLASS I	52468E402	SAPYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE APPRECIATION FUND CLASS IS	52468E709	LMESX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE APPRECIATION FUND CLASS R	52468E501	LMPXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE CMALL CAP FUND CLASS F1	524686458	LGASX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE DIVIDEND STRATEGY FUND CLASS A	52469H636	SOPAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE DIVIDEND STRATEGY FUND CLASS FI	52469H123	LBRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE DIVIDEND STRATEGY FUND CLASS I	52469H594	SOPYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE DIVIDEND STRATEGY FUND CLASS IS	52471R796	LCBEX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE DIVIDEND STRATEGY FUND CLASS R	52469H271	LMMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE INT'L GROWTH FUND CLASS A	524686540	LGAGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE INT'L GROWTH FUND CLASS FI	524686516	LMGFY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE INT'L GROWTH FUND CLASS I	524686524	LMGNX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE INT'L GROWTH FUND CLASS R	524686490	LMGRY	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE INTERNATIONAL GROWTH FUND CLASS A2	52471E175	LGGBX	Load	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE INTERNATIONAL GROWTH FUND CLASS IS	52471E258	LMGPX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE INTERNATIONAL SMALL CAP FUND CLASS A	52467P499	LCOAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE INTERNATIONAL SMALL CAP FUND CLASS I	52467P515	LCOIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE INTERNATIONAL VALUE FUND CLASS A	52469X607	SBIEY	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE INTERNATIONAL VALUE FUND CLASS I	52469X888	SBIIY	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE INTERNATIONAL VALUE FUND CLASS IS	52469X870	LSIIY	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE LARGE CAP GROWTH FUND CLASS A	52469H826	SBGLX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE LARGE CAP GROWTH FUND CLASS I	52469H784	SBLYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE LARGE CAP GROWTH FUND CLASS IS	52469H255	LSITX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE LARGE CAP GROWTH FUND CLASS O	52471R390	LCMMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
LEGG MASON FUNDS	CLEARBRIDGE LARGE CAP GROWTH FUND CLASS R	52469H693	LMPLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE LARGE CAP VALUE FUND CL A	524701100	SINAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE LARGE CAP VALUE FUND CLASS 1	52471R689	LCIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE LARGE CAP VALUE FUND CLASS I	524701407	SAIFX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE LARGE CAP VALUE FUND CLASS IS	524701605	LMLSX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE MID CAP FUND CLASS A	52469H768	SBMAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE MID CAP FUND CLASS I	52469H735	SBMYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE MID CAP FUND CLASS IS	52469H263	LSIRX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE MID CAP FUND CLASS R	52469H172	LMREX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE MID CAP GROWTH FUND CLASS A	52467P564	LBGAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE MID CAP GROWTH FUND CLASS A2	52471R580	LCBGX	Load	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE MID CAP GROWTH FUND CLASS I	52467P531	LBGIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE MID CAP GROWTH FUND CLASS IS	52467P440	LCMIY	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE NTERNATIONAL SMALL CAP FUND CLASS IS	52471R374	CBISX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SELECT FUND CLASS IS	52467P473	LCSSX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SMALL CAP FUND CLASS A	524686482	LMSAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SMALL CAP FUND CLASS I	524686466	LMNSX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SMALL CAP FUND CLASS IS	52471E316	LISGX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SMALL CAP FUND CLASS R	524686441	LMARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SMALL CAP GROWTH FUND CLASS A	52470H815	SASMX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SMALL CAP GROWTH FUND CLASS FI	52470H682	LMPSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SMALL CAP GROWTH FUND CLASS I	52470H765	SBPYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SMALL CAP GROWTH FUND CLASS R	52470H690	LMPOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
LEGG MASON FUNDS	CLEARBRIDGE SMALL CAP VALUE FUND CLASS A	52469G513	SBVAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SMALL CAP VALUE FUND CLASS I	52469G471	SMCYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SMALL CAP VALUE FUND CLASS IS	52471R697	LCBIX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SUSTAINABILITY LEADERS FUND CLASS A	52471R341	CLSUX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SUSTAINABILITY LEADERS FUND CLASS FI	52469C603	LCSTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SUSTAINABILITY LEADERS FUND CLASS I	52469C702	LCISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE SUSTAINABILITY LEADERS FUND CLASS IS	52469C801	LCILX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE TACTICAL DIVIDEND INCOME FUND CLASS A	52469H545	CFLGX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE TACTICAL DIVIDEND INCOME FUND CLASS A2	52471R671	LBDAV	Load	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE TACTICAL DIVIDEND INCOME FUND CLASS I	52469H511	LADIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE TACTICAL DIVIDEND INCOME FUND CLASS IS	52471R747	LCBDX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE VALUE TRUST FUND CLASS A	524686623	LVGAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE VALUE TRUST FUND CLASS FI	524686565	LMVFX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE VALUE TRUST FUND CLASS I	524686573	LMNVX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	CLEARBRIDGE VALUE TRUST FUND CLASS R	524686557	LMVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	LEGG MASON CLEARBRIDGE SELECT FUND CLASS A	52471R648	LCLAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	LEGG MASON CLEARBRIDGE SELECT FUND CLASS FI	52467P457	LCBSX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	LEGG MASON CLEARBRIDGE SELECT FUND CLASS I	52467P465	LBFIY	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	LEGG MASON CLEARBRIDGE SMALL CAP GROWTH FUND CLASS IS	52470H666	LMOIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	LEGG MASON MARTIN CURRIE EMERGING MARKETS FUND CLASS A	52471E282	MACEY	Load	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	LEGG MASON MARTIN CURRIE EMERGING MARKETS FUND CLASS I	52471E621	MCEIX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	LEGG MASON MARTIN CURRIE INTL UNCONSTRAINED EQUITY FD CL A	52471E563	LUFIX	Load	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
LEGG MASON FUNDS	LEGG MASON MARTIN CURRIE INTL UNCONSTRAINED EQUITY FD CL I	'52471E589	LUEIX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	LEGG MASON MARTIN CURRIE INTL UNCONSTRAINED EQUITY FD CL IS	'52471E571	LUIXS	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	LEGG MASON MARTIN CURRIE SMA SERIES FUND CLASS EM	'52471E290	LCSMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	LEGG MASON QS BATTERYMARCH U.S. LARGE CAP EQUITY FUND FUND CLASS I	'52469H297	LMTIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	LEGG MASON QS CONSERVATIVE GROWTH FUND CLASS I	'52467P861	LMEIX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	LEGG MASON QS GLOBAL MARKET NEUTRAL FD CL A	'52471E530	LNFX	Load	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	LEGG MASON QS GLOBAL MARKET NEUTRAL FD CL IS	'52471E548	LQISX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	LEGG MASON QS GLOBAL MARKET NEUTRAL FUND CLASS I	'52471E555	LQNIX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	LEGG MASON WESTERN ASSET HIGH YIELD FUND CLASS IS	'957663636	WAHSX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	LEGG MASON WESTERN ASSET INFLATION INDEXED PLUS BOND FUND CLASS A	'957663362	WAFAX	Load; FundVest Institutional	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	LEGG MASON WESTERN ASSET NY TAX-FREE MONEY MARKET FUND CLASS A	'52470R565	LNAXX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	LEGG MASON WESTERN ASSET SMASH SERIES TF FUND	'52470G114	LSMSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	LEGG MASON WESTERN MANAGED MUNICIPALS FUND CLASS IS	'52468A616	SSMMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	MARTIN CURRIE EMERGING MARKETS FUND CLASS IS	'52471E613	MCCEMX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS BATTERYMARCH INTERNATIONAL EQUITY FUND CLASS IS	'524686243	LIESX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS BATTERYMARCH U.S. LARGE CAP EQUITY FUND CLASS IS	'52469H289	LMISX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS BATTERYMARCH U.S. SMALL CAPITALIZATION EQUITY FUND CL IS	'524686391	LMBMX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS CONSERVATIVE GROWTH FUND CLASS A	'52467P804	SBBSX	Load; FundVest Institutional	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS GLOBAL DIVIDEND FUND CLASS A	'52471R366	LGDX	Load	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS GLOBAL DIVIDEND FUND CLASS FI	'52471R820	LDIGX	No/Low Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS GLOBAL DIVIDEND FUND CLASS I	'52471R606	LTTMX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS GLOBAL DIVIDEND FUND CLASS IS	'52471R705	LDIFX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS GLOBAL EQUITY FUND CLASS A	'52469H487	CFIPX	Load; FundVest Institutional	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS GLOBAL EQUITY FUND CLASS I	'52469H453	SMYIX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS GROWTH FUND CLASS A	'52467P762	SCHAX	Load; FundVest Institutional	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS GROWTH FUND CLASS I	'52467P739	LANIX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS INTERNATIONAL EQUITY FUND CLASS A	'524686292	LMEAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS INTERNATIONAL EQUITY FUND CLASS FI	'524686268	LGFEF	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS INTERNATIONAL EQUITY FUND CLASS I	'524686276	LGIEF	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS INTERNATIONAL EQUITY FUND CLASS R	'524686250	LMIRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS LEGG MASON DEFENSIVE GROWTH FUND CLASS A	'52467P853	SBPCX	Load; FundVest Institutional	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS LEGG MASON DEFENSIVE GROWTH FUND CLASS I	'52467P820	LMGIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS LEGG MASON STRATEGIC REAL RETURN FUND CLASS IS	'524686870	LRRSX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS MODERATE GROWTH FUND CLASS A	'52467P812	SCGRX	Load; FundVest Institutional	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS MODERATE GROWTH FUND CLASS I	'52467P770	LLAIX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS S&P 500 INDEX FUND CLASS A	'52469H727	SBSPX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS S&P 500 INDEX FUND CLASS D	'52469H719	SBSDX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS STRATEGIC REAL RETURN FUND CLASS A	'524686607	LRRAX	Load; FundVest Institutional	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS STRATEGIC REAL RETURN FUND CLASS I	'524686888	LRRIX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS U.S. LARGE CAP EQUITY FUND CLASS FI	'52469H321	LMUSX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS U.S. SMALL CAPITALIZATION EQUITY FUND CLASS A	'524686433	LMBAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS U.S. SMALL CAPITALIZATION EQUITY FUND CLASS FI	'524686342	LGSCX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	QS U.S. SMALL CAPITALIZATION EQUITY FUND CLASS I	'524686359	LMISX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	RARE GLOBAL INFRASTRUCTURE VALUE FUND CLASS A	'52471E480	RGAVX	Load	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	RARE GLOBAL INFRASTRUCTURE VALUE FUND CLASS I	'52471E472	RGVIX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET ADJUSTABLE RATE INCOME FD CL A	'52468A608	ARMZK	Load; FundVest Institutional	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET ADJUSTABLE RATE INCOME FD CL I	'52468A889	SBAYX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET ADJUSTABLE RATE INCOME FUND CLASS IS	'52470V830	ARMLX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CALIFORNIA MUNICIPALS FUND CL A	'52468T102	SHRCX	Load; FundVest Institutional	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CALIFORNIA MUNICIPALS FUND CL I	'52468T409	LMCUX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CALIFORNIA MUNICIPALS FUND CLASS IS	'52468A582	SHRSX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORE BOND FUND CLASS A	'957663495	WABAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORE BOND FUND CLASS FI	'957663404	WAPIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORE BOND FUND CLASS I	'957663305	WATFX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORE BOND FUND CLASS IS	'957663677	WACSX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORE BOND FUND CLASS R	'957663479	WABRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORE PLUS BOND FUND CLASS A	'957663461	WAPAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORE PLUS BOND FUND CLASS FI	'957663602	WACIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORE PLUS BOND FUND CLASS I	'957663503	WACPX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORE PLUS BOND FUND CLASS IS	'957663669	WAPSX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORE PLUS BOND FUND CLASS R	'957663446	WAPRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORPORATE BOND FUND CLASS A	'52469F317	SIGAX	Load; FundVest Institutional	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORPORATE BOND FUND CLASS I	'52469F275	SIGYX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET CORPORATE BOND FUND CLASS P	'52469L660	LCBPX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET EMERGING MARKETS DEBT FUND CLASS A	'52469L694	LWEAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET EMERGING MARKETS DEBT FUND CLASS FI	'52469L579	LMWDX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET EMERGING MARKETS DEBT FUND CLASS I	'52469F481	SEMZX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET EMERGING MARKETS DEBT FUND CLASS IS	'52469L678	LWISX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET GLOBAL HIGH YIELD BOND FD CL A	'52469F465	SAHYX	Load; FundVest Institutional	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET GLOBAL HIGH YIELD BOND FD CL I	'52469F432	SHYOX	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET GLOBAL HIGH YIELD BOND FUND CLASS IS	'52468A723	LWGSX	No/Low Load	Initial: 10000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET GOVERNMENT MONEY MARKET FUND; LTD (OFFSHORE)	'G95545102	N/A	No/Low Load; Offshore	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET GOVERNMENT RESERVES FUND CLASS A2	'52470R367	SMTXX	Load	Initial: 250.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET HIGH YIELD FUND CLASS A	'957663396	WAYAX	Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET HIGH YIELD FUND CLASS I	'957663842	WAYHY	No/Low Load; FundVest Institutional	Initial: 10000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
LEGG MASON FUNDS	WESTERN ASSET INCOME FUND CLASS A	'52469F754	SDSAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INCOME FUND CLASS I	'52469F721	SDSYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INCOME FUND CLASS IS	'52470V822	WAGIX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INFLATION INDEXED PLUS BOND FD CL FI	'957663875	WATPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INFLATION INDEXED PLUS BOND FUND CL I	'957663883	WAIIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INFLATION INDEXED PLUS BOND FUND CLASS IS	'957663545	WAFSX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INST U.S. TREASURY RESERVES FUND INSTITUTIONAL CLASS	'52470G841	CIIXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INTERMEDIATE BOND FUND CLASS A	'957663339	WATAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INTERMEDIATE BOND FUND CLASS I	'957663701	WATIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INTERMEDIATE BOND FUND CLASS IS	'957663610	WABSX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INTERMEDIATE MAT CA MUNI FUND CLASS A	'52469F267	ITCAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INTERMEDIATE MAT CA MUNI FUND CLASS I	'52469F242	SICXY	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INTERMEDIATE MAT NY MUNI FUND CLASS A	'52469F234	IMNXY	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INTERMEDIATE MAT NY MUNI FUND CLASS I	'52469F218	LMIIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INTERMEDIATE-TERM MUNI FUND CLASS A	'52469L884	SBLTX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET INTERMEDIATE-TERM MUNICIPALS FUND CLASS I	'52469L843	SBTXY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MACRO OPPORTUNITIES FUND CLASS A	'95768D103	LAAXX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MACRO OPPORTUNITIES FUND CLASS FI	'95768D301	LAFIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MACRO OPPORTUNITIES FUND CLASS I	'95768D400	LAQIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MACRO OPPORTUNITIES FUND CLASS IS	'95768D509	LAOSX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MANAGED MUNICIPALS FUND CLASS A	'52469J202	SHMMX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MANAGED MUNICIPALS FUND CLASS I	'52469J509	SMMYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MASSACHUSETTS MUNICIPALS FUND CLASS A	'52469K100	SLMMX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MASSACHUSETTS MUNICIPALS FUND CLASS I	'52469K407	LHMIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MORTGAGE TOTAL RETURN FUND CLASS A	'52469F366	SGVAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MORTGAGE TOTAL RETURN FUND CLASS I	'52469F333	SGSYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MORTGAGE TOTAL RETURN FUND CLASS IS	'52468A665	LMBSX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MUNICIPAL HIGH INCOME FUND CLASS A	'52469F580	STXAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET MUNICIPAL HIGH INCOME FUND CLASS I	'52469F556	LMHIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET NEW JERSEY MUNI FUND CLASS A	'52469M106	SHNJX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET NEW JERSEY MUNICIPALS FUND CLASS I	'52469M403	LNUIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET NEW YORK MUNICIPALS FUND CLASS A	'52469L785	SNBYX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET NEW YORK MUNICIPALS FUND CLASS I	'52469L751	SNPYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET NY TAX FREE MONEY MARKET FUND CLASS N	'52470R607	CIYXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET OREGON MUNI FUND CLASS I	'52469N401	LMOOX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET OREGON MUNICIPALS FUND CLASS A	'52469N104	SHORX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET PA MUNICIPALS FUND CLASS I	'52469L710	LPPIX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET PENNSYLVANIA MUNICIPALS FUND CL A	'52469L744	SBPAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET SELECT TAX FREE RESERVES FUND SELECT SHARES	'52470G858	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET SHORT -TERM BOND FUND CLASS A	'52469E500	SBSTX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET SHORT -TERM BOND FUND CLASS I	'52469E807	SB5YX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
LEGG MASON FUNDS	WESTERN ASSET SHORT DURATION HIGH INCOME FUND CLASS A	'52469F630	SHIAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET SHORT DURATION HIGH INCOME FUND CLASS I	'52469F598	SHIYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET SHORT DURATION MUNICIPAL INCOME FUND CL A	'52469F192	SHDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET SHORT DURATION MUNICIPAL INCOME FUND CL I	'52469F176	SMDYX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET SMASH SERIES C FUND	'52470G742	LMLCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET SMASH SERIES EC FUND	'52470G734	LMCEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET SMASH SERIES M FUND	'52470G759	LMSMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET TAX FREE RESERVES FUND CLASS N	'52470R706	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET TOTAL RETURN UNCONSTRAINED FUND CLASS A	'957663230	WAUAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET TOTAL RETURN UNCONSTRAINED FUND CLASS FI	'957663693	WARIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET TOTAL RETURN UNCONSTRAINED FUND CLASS I	'957663719	WAARX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET TOTAL RETURN UNCONSTRAINED FUND CLASS IS	'957663685	WAASX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN ASSET U.S. TREASURY RESERVES FUND CLASS N	'52470R805	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEGG MASON FUNDS	WESTERN SHORT TERM BOND FUND CLASS IS	'52468A731	LWSTX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEUTHOLD FUNDS	LEUTHOLD CORE INVESTMENT FUND (INST CLASS)	'527289409	LCRIX	No/Low Load	Initial : 1000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEUTHOLD FUNDS	LEUTHOLD CORE INVESTMENT FUND RETAIL CLASS	'527289102	LCORX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEUTHOLD FUNDS	LEUTHOLD GLOBAL FUND INSTITUTIONAL CLASS	'527289870	GLBIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEUTHOLD FUNDS	LEUTHOLD GLOBAL FUND RETAIL CLASS	'527289888	GLBLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEUTHOLD FUNDS	LEUTHOLD GRIZZLY SHORT FUND	'527289797	GRZTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LEUTHOLD FUNDS	LEUTHOLD SELECT INDUSTRIES FUND	'527289201	LSLTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LINDE HANSEN FUNDS	LINDE HANSEN CONTRARIAN VALUE FUND CLASS A	'66538A638	LHVAX	Load	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LINDE HANSEN FUNDS	LINDE HANSEN CONTRARIAN VALUE FUND CLASS I	'66538A646	LHVIX	No/Low Load	Initial : 1000000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LITMAN GREGORY FUNDS	LITMAN GREGORY MASTERS ALTERNATIVE STRATEGIES FD INVST CL	'53700T884	MASNX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LITMAN GREGORY FUNDS	LITMAN GREGORY MASTERS ALTERNATIVE STRATEGIES FUND INSTITUTIONAL CLASS	'53700T801	MASFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LITMAN GREGORY FUNDS	LITMAN GREGORY MASTERS EQUITY FUND INSTITUTIONAL CLASS	'53700T108	MSEFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LITMAN GREGORY FUNDS	LITMAN GREGORY MASTERS HIGH INCOME ALTERNATIVES INSTL CLASS	'53700T876	MAHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LITMAN GREGORY FUNDS	LITMAN GREGORY MASTERS HIGH INCOME ALTERNATIVES INVESTOR CLASS	'53700T868	MAHNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LITMAN GREGORY FUNDS	LITMAN GREGORY MASTERS INT'L FUND INSTITUTIONAL CLASS	'53700T207	MSILX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LITMAN GREGORY FUNDS	LITMAN GREGORY MASTERS SMALLER COMPANIES FD INST CL	'53700T306	MSSFY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LKCM FUNDS	LKCM AQUINAS CATHOLIC EQUITY FUND	'501885883	AQEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LKCM FUNDS	LKCM BALANCED FUND	'501885305	LKBAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LKCM FUNDS	LKCM EQUITY FUND INSTITUTIONAL CLASS	'501885206	LKEQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LKCM FUNDS	LKCM FIXED-INCOME FUND	'501885404	LKFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LKCM FUNDS	LKCM INTERNATIONAL FUND	'501885834	LKINX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
LKCM FUNDS	LKCM SMALL-CAP EQUITY FUND INSTITUTIONAL CLASS	'501885107	LKSCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LKCM FUNDS	LKCM SMID CAP EQUITY FUND INSTITUTIONAL CLASS	'501885859	LKSMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LOCORR FUNDS	LOCORR DYNAMIC EQUITY FUND CLASS A	'540132701	LEQAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LOCORR FUNDS	LOCORR DYNAMIC EQUITY FUND CLASS I	'540132883	LEQIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LOCORR FUNDS	LOCORR LONG/SHORT COMMODITIES STRATEGY FUND CL A	'540132404	LCSAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LOCORR FUNDS	LOCORR LONG/SHORT COMMODITIES STRATEGY FUND CL I	'540132602	LCSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LOCORR FUNDS	LOCORR MACRO STRATEGIES FUND CLASS A	'540132107	LFMAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LOCORR FUNDS	LOCORR MACRO STRATEGIES FUND CLASS I	'540132305	LFMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LOCORR FUNDS	LOCORR MARKET TREND FUND CLASS A	'540132842	LOTAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LOCORR FUNDS	LOCORR MARKET TREND FUND CLASS I	'540132826	LOTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LOCORR FUNDS	LOCORR SPECTRUM INCOME FUND CLASS A	'540132875	LSPAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LOCORR FUNDS	LOCORR SPECTRUM INCOME FUND CLASS I	'540132859	LSPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LONGBOARD FUNDS	LONGBOARD ALTERNATIVE GROWTH FUND CLASS A	'66538F728	LONAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LONGBOARD FUNDS	LONGBOARD ALTERNATIVE GROWTH FUND CLASS I	'66538F694	LONGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LONGBOARD FUNDS	LONGBOARD MANAGED FUTURES STRATEGY FUND CLASS A	'66538A430	WAVEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LONGBOARD FUNDS	LONGBOARD MANAGED FUTURES STRATEGY FUND CLASS I	'66538A422	WAVIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LONGLEAF PARTNERS FUNDS	LONGLEAF PARTNERS FUND	'543069108	LLPFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LONGLEAF PARTNERS FUNDS	LONGLEAF PARTNERS GLOBAL FUND	'543069504	LLGLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LONGLEAF PARTNERS FUNDS	LONGLEAF PARTNERS INTERNATIONAL FUND	'543069405	LLINX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LONGLEAF PARTNERS FUNDS	LONGLEAF PARTNERS SMALL-CAP FUND	'543069207	LLSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CORE FIXED-INCOME FUND CLASS A	'543916878	LCRAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT AFFILIATED FUND CLASS A	'544001100	LAFXX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT AFFILIATED FUND CLASS F	'544001605	LAAFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT AFFILIATED FUND CLASS I	'544001506	LAFYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT AFFILIATED FUND CLASS R3	'544001803	LAFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT AFFILIATED FUND CLASS R5	'544001878	LAFTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT ALPHA STRATEGY FUND CLASS A	'543915763	ALFAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT ALPHA STRATEGY FUND CLASS F	'543915532	ALFFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT ALPHA STRATEGY FUND CLASS I	'543915581	ALFYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT ALPHA STRATEGY FUND CLASS R3	'543915516	ALFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT ALPHA STRATEGY FUND CLASS R5	'54400A878	ALFTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT BOND DEBENTURE FUND CLASS F	'544004609	LBDFF	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT BOND DEBENTURE FUND CLASS R2	'544004708	LBNOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT BOND DEBENTURE FUND CLASS R5	'544004872	LBNTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT BOND-DEBENTURE FUND CLASS A	'544004104	LBNDX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT BOND-DEBENTURE FUND CLASS I	'544004401	LBNYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT BOND-DEBENTURE FUND CLASS R3	'544004807	LBNRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CA TAX-FREE INCOME FUND CLASS I	'543902670	CAILX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CALIBRATED DIVIDEND GR FUND CLASS R3	'543913776	LAMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CALIBRATED DIVIDEND GROWTH FUND CLASS A	'543913859	LAMAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CALIBRATED DIVIDEND GROWTH FUND CLASS F	'543913792	LAMFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CALIBRATED DIVIDEND GROWTH FUND CLASS R5	'543913628	LAMTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CALIFORNIA TAX FREE FUND CLASS F	'543902811	LCFFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CALIFORNIA TAX-FREE FUND CLASS A	'543902852	LCFAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CONVERTIBLE FUND CLASS A	'543916753	LACFX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CONVERTIBLE FUND CLASS F	'543916498	LBFFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CONVERTIBLE FUND CLASS I	'543916712	LCFYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CONVERTIBLE FUND CLASS R3	'543916472	LCFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CONVERTIBLE FUND CLASS R5	'54401E838	LCFTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CORE FIXED INCOME FUND CLASS F	'543916431	LCRFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CORE FIXED INCOME FUND CLASS R3	'543916415	LCRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CORE FIXED INCOME FUND CLASS R5	'54401E796	LCRTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CORE FIXED-INCOME FUND CLASS I	'543916803	LCRYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CORE PLUS BOND FUND CLASS A	'54401E572	LAPLX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CORE PLUS BOND FUND CLASS F	'54401E556	LPLFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CORPORATE BOND FUND CLASS A	'54401X851	LBCAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CORPORATE BOND FUND CLASS F	'54401X836	LCCFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CORPORATE BOND FUND CLASS I	'54401X810	LICIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT CREDIT OPPORTUNITIES FUND CLASS I	'54400C106	LCRDY	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT DEVELOPING GROWTH FUND CLASS A	'544006109	LAGWX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
LORD ABBETT FUNDS	LORD ABBETT DEVELOPING GROWTH FUND CLASS F	'544006604	LADFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
LORD ABBETT FUNDS	LORD ABBETT DEVELOPING GROWTH FUND CLASS R3	'544006802	LADRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT DEVELOPING GROWTH FUND CLASS R5	'544006877	LADTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT EMERGING MARKETS BOND FUND CLASS A	'543908867	LDMAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT EMERGING MARKETS BOND FUND CLASS F	'543908776	LDMFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT EMERGING MARKETS BOND FUND CLASS I	'543908826	LDMYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT EMERGING MARKETS BOND FUND CLASS R5	'543908560	LDMTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT EMERGING MARKETS CORPORATE DEBT FUND CLASS R2	'543908636	LCDOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT EMERGING MARKETS CORPORATE DEBT FUND CLASS R5	'543908495	LCDTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FLOATING RATE FUND CLASS A	'543916191	LFRAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FLOATING RATE FUND CLASS F	'543916167	LFRFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FLOATING RATE FUND CLASS I	'543916134	LFRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FLOATING RATE FUND CLASS R3	'543916142	LRRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FLOATING RATE FUND CLASS R5	'54401E762	LRRTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FOCUSED ARGE CAP VALUE CLASS A	'54400B108	LALFX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
LORD ABBETT FUNDS	LORD ABBETT FOCUSED GROWTH FUND CLASS A	543915243	LFGAX	Load	Initial : 1000.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FOCUSED GROWTH FUND CLASS F	543915227	LFGFX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FOCUSED LARGE CAP VALUE CLASS F	544008306	LFLFX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FOCUSED LARGE CAP VALUE CLASS I	544008504	LIFLX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FOCUSED SMALL CAP VALUE FUND CLASS A	544008751	LFXVX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FOCUSED SMALL CAP VALUE FUND CLASS F	544008736	LFSFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FOCUSED SMALL CAP VALUE FUND CLASS I	54400W102	LMVYX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FOCUSED SMALL CAP VALUE FUND CLASS R3	544008694	LFSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FOCUSED SMALL CAP VALUE FUND CLASS R4	544008686	LMVUX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FOCUSED SMALL CAP VALUE FUND CLASS R5	544008678	LMVVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FOCUSED SMALL CAP VALUE FUND CLASS R6	544008660	LMVWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FUNDAMENTAL EQUITY FUND CLASS A	543915862	LDFVX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FUNDAMENTAL EQUITY FUND CLASS F	543915565	LAVFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FUNDAMENTAL EQUITY FUND CLASS I	543915714	LAVYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT FUNDAMENTAL EQUITY FUND CLASS R5	54400A845	LAVTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL BOND FUND CLASS A	543908388	LAGGX	Load	Initial : 1000.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL BOND FUND CLASS F	543908362	LGBFX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL BOND FUND CLASS I	543908347	LGBYX	No/Low Load	Initial : 1000000.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL BOND FUND CLASS R3	543908321	LGBRX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL BOND FUND CLASS R4	543908313	LGBUX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL BOND FUND CLASS R5	543908297	LGBVX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL EQUITY RESEARCH FUND CLASS A	54400A654	LGCAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL EQUITY RESEARCH FUND CLASS F	54400A639	LGCFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL SELECT EQUITY FUND CLASS A	54400A373	LGSAX	Load	Initial : 1500.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL SELECT EQUITY FUND CLASS F	54400A340	LGSFX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL SELECT EQUITY FUND CLASS I	54400A324	LGSIX	No/Low Load	Initial : 1000000.0; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL SELECT EQUITY FUND CLASS R3	54400A282	LGSRX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL SELECT EQUITY FUND CLASS R4	54400A274	LGSUX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GLOBAL SELECT EQUITY FUND CLASS R5	54400A266	LGSVX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GROWTH LEADERS FUND CLASS A	543915326	LGLAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GROWTH LEADERS FUND CLASS F	543915292	LGLFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GROWTH LEADERS FUND CLASS I	543915284	LGLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GROWTH LEADERS FUND CLASS R3	543915268	LGLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GROWTH LEADERS FUND CLASS R5	54400A811	LGLUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GROWTH LEADERS FUND CLASS R6	54400A795	LGLVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GROWTH OPPORTUNITIES FUND CLASS A	54400R103	LMGAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GROWTH OPPORTUNITIES FUND CLASS F	54400R608	LGOFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GROWTH OPPORTUNITIES FUND CLASS I	54400R400	LMGYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GROWTH OPPORTUNITIES FUND CLASS R3	54400R806	LGORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT GROWTH OPPORTUNITIES FUND CLASS R5	543913685	LGOYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT HEALTH CARE FUND CLASS A	54400A233	LHCAX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT HEALTH CARE FUND CLASS F	54400A217	LHCFX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT HEALTH CARE FUND CLASS I	54400A183	LHCIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT HIGH YIELD FUND CLASS F	54400N508	LHYFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT HIGH YIELD FUND CLASS I	54400N409	LHYIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT HIGH YIELD FUND CLASS R3	54400N706	LHYRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT HIGH YIELD MUNI BOND FUND CLASS F	543912810	HYMFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT HIGH YIELD MUNICIPAL BOND FUND CLASS A	543912877	HYMAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT HIGH YIELD MUNICIPAL BOND FUND CLASS I	543912836	HYMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT HIGH-YIELD FUND CLASS A	54400N102	LHYAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INCOME FUND CLASS A	543916308	LAGVX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INCOME FUND CLASS F	543916365	LAUFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INCOME FUND CLASS I	543916670	LAUYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INCOME FUND CLASS R3	543916340	LAURX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INCOME FUND CLASS R5	54401E697	LAUTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INFLATION FOCUSED FUND CLASS A	54400U205	LIFAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INFLATION FOCUSED FUND CLASS F	54400U403	LIFFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INFLATION FOCUSED FUND CLASS R3	54400U700	LIFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INFLATION FOCUSED FUND CLASS R5	54401E663	LIFTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INT'L OPPORTUNITIES FUND CLASS A	543915854	LAIEX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERMEDIATE TAX FREE FUND CL A	543912604	LISAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERMEDIATE TAX FREE FUND CLASS F	543912794	LISFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERMEDIATE TAX FREE FUND CLASS I	543902647	LAIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL CORE EQUITY FUND CLASS R5	54400A746	LICTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL EQUITY FUND CLASS A	543915649	LICAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL EQUITY FUND CLASS F	543915490	LICFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL EQUITY FUND CLASS I	543915599	LICYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL EQUITY FUND CLASS R3	543915474	LICRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL OPPORTUNITIES FUND CLASS R2	543915458	LINQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL OPPORTUNITIES FUND CLASS R5	54400A670	LINTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL OPPORTUNITIES FUND CLASS R6	54400A662	LINVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL VALUE FUND CLASS A	543915391	LIDAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL VALUE FUND CLASS F	543915367	LIDFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL VALUE FUND CLASS I	543915359	LIDYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL VALUE FUND CLASS R3	543915334	LIRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/20/20. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
LORD ABBETT FUNDS	LORD ABBETT INTERNATIONAL VALUE FUND CLASS R5	54400A712	LIRTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTL OPPORTUNITIES FUND CLASS F	543915466	LIMFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTL OPPORTUNITIES FUND CLASS I	543915813	LIMYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT INTL OPPORTUNITIES FUND CLASS R3	543915441	LIMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MID CAP STOCK FUND CLASS F	543919609	LMCFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MID CAP STOCK FUND CLASS R3	543919807	LMCRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MID CAP STOCK FUND CLASS R4	543919880	LMCSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MID-CAP STOCK FUND CLASS A	543919104	LAVLX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MID-CAP STOCK FUND CLASS R5	543919872	LMCTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MIDCAP STOCK FUND CLASS I	543919500	LMCYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MULTI ASSET BALANCED OPPORTUNITY FUND CLASS R5	54401E507	BLATX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MULTI ASSET INCOME FUND CLASS R5	54401E804	LIXTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MULTI-ASSET BALANCED OPPORTUNITY FD CL I	543916696	LABYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MULTI-ASSET BALANCED OPPORTUNITY FUND CLASS A	543916209	LABFX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MULTI-ASSET BALANCED OPPORTUNITY FUND CLASS R3	543916316	BLARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MULTI-ASSET BALANCED OPPRTUNITY F	543916332	BLAFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MULTI-ASSET INCOME FUND CLASS A	543916662	ISFAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MULTI-ASSET INCOME FUND CLASS F	543916290	LIGFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MULTI-ASSET INCOME FUND CLASS I	543916621	ISFYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT MULTI-ASSET INCOME FUND CLASS R3	543916274	LIXRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT NATIONAL TAX FREE FUND CLASS F	543902761	LANFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT NATIONAL TAX-FREE FUND CLASS A	543902100	LANSX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT NATIONAL TAX-FREE FUND CLASS I	543902829	LTNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT NEW JERSEY TAX FREE FUND CLASS F	543902753	LNJFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT NEW JERSEY TAX-FREE FUND CLASS A	543902407	LANJX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT NEW YORK TAX FREE FUND CLASS F	543902746	LNJYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT NEW YORK TAX-FREE FUND CLASS A	543902209	LANYX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION CORE BOND FUND CLASS A	54401X109	LDCAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION CORE BOND FUND CLASS F	54401X307	LDCFY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION HIGH YIELD MUNICIPAL BOND FUND CLASS F	543912695	SDHFY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION HIGH YIELD MUNICIPAL BOND FUND CLASS I	543912687	SDHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION INCOME FD CLASS F	543916464	LDLFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION INCOME FD CLASS R3	543916449	LDLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION INCOME FUND CLASS A	543916100	LALDX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION INCOME FUND CLASS I	543916688	LLDYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION INCOME FUND CLASS R4	54401E648	LDLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION INCOME FUND CLASS R5	54401E630	LDLTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION INCOME FUND CLASS R6	54401E622	LDLVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION TAX FREE FUND CLASS A	543912778	LSDAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION TAX FREE FUND CLASS F	543912745	LSDFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION TAX-FREE FUND CLASS I	543912737	LISDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SHORT DURATION YIELD MUNI BOND FUND CLASS A	543912729	SDHAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SMALL CAP VALUE FUND CLASS F	543913735	LRSFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SMALL CAP VALUE FUND CLASS R3	543913719	LRSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SMALL CAP VALUE FUND CLASS R5	543913651	LRSTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT SMALL-CAP VALUE FUND CLASS A	543913305	LRSXC	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT TOTAL RETURN FUND CLASS A	543916845	LTRAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT TOTAL RETURN FUND CLASS F	543916399	LTRFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT TOTAL RETURN FUND CLASS R3	543916373	LTRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT TOTAL RETURN FUND CLASS R5	54401E598	LTRTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT U.S. GOVERNMENT & GOV. SPONSORED ENTERPRISE MONEY MARKET FUND CLASS I	543918403	LAYXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT U.S. GOVT SECS MONEY MARKET CLASS A	543918106	LACXX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT ULTRA SHORT BOND FUND CLASS A	54401E473	LUBAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT ULTRA SHORT BOND FUND CLASS F	54401E465	LUBFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT ULTRA SHORT BOND FUND CLASS I	54401E457	LUBYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT VALUE OPPORTUNITIES FUND CLASS A	54400A100	LVOAX	Load; FundVest Institutional	Initial : 1500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT VALUE OPPORTUNITIES FUND CLASS F	54400A605	LVOFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT VALUE OPPORTUNITIES FUND CLASS I	54400A506	LVOYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT VALUE OPPORTUNITIES FUND CLASS R3	54400A803	LVORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	LORD ABBETT VALUE OPPORTUNITIES FUND CLASS R5	54400A779	LVOYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	THE LORD ABBETT EMERGING MARKETS CORPORATE DEBT FUND CLASS A	543908677	LCDAZ	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LORD ABBETT FUNDS	THE LORD ABBETT EMERGING MARKETS CORPORATE DEBT FUND CLASS F	543908651	LCDFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LYRICAL FUNDS	LYRICAL U.S. VALUE EQUITY FUND INSTITUTIONAL CLASS	90386H404	LYRIX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
LYRICAL FUNDS	LYRICAL U.S. VALUE EQUITY FUND INVESTOR CLASS	90386H875	LYRBX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINGATE MLP FUNDS	MAINGATE MLP FUND CLASS A	560599102	AMPLX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINGATE MLP FUNDS	MAINGATE MLP FUND INSTITUTIONAL CLASS	560599201	IMPLX	No/Low Load	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY BALANCED FUND CLASS A	56063U190	MBNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY BALANCED FUND CLASS I	56063U166	MBAIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY BALANCED FUND CLASS R3	56063U133	MBDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY CANDRIAM EMERGING MARKETS EQUITY FUND CLASS A	56064L561	MCYAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY CANDRIAM EMERGING MARKETS EQUITY FUND CLASS I	56064L538	MCYIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY CONSERVATIVE ALLOCATION FUND CL A	56063U208	MCKAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY CONSERVATIVE ALLOCATION FUND CL I	56063U505	MCKIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY CONSERVATIVE ALLOCATION FUND CLASS R2	56064L462	MCKKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY CONSERVATIVE ALLOCATION FUND CLASS R3	56064B316	MCKRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
MAINSTAY FUNDS	MAINSTAY CUSHING MLP PREMIER FUND CLASS A	560648563	CSHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY CUSHING MLP PREMIER FUND CLASS I	560648530	CSHZX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY CUSHING RENAISSANCE ADVANTAGE FUND CLASS A	560648472	CRZAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY CUSHING RENAISSANCE ADVANTAGE FUND CLASS I	560648449	CRZZX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY CUSHING ROYALTY ENERGY INCOME FUND CLASS A	560648522	CURAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY CUSHING ROYALTY ENERGY INCOME FUND CLASS I	560648480	CURZX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EMERGING MARKETS OPPORTUNITIES FUND INVESTOR CLASS	560648589	MEOVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH CAPITAL GROWTH FUND CLASS A	56063N824	MECDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH CAPITAL GROWTH FUND CLASS I	56063N782	MECFX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH CAPITAL GROWTH FUND INVESTOR CLASS	56063N816	MECVX	No/Low Load	Initial : 5000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH GLOBAL EQUITY YIELD FUND CLASS A	56063J880	EPSPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH GLOBAL EQUITY YIELD FUND CLASS I	56063J864	EPSYX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH GLOBAL EQUITY YIELD FUND CLASS R2	560648571	EPSZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH GLOBAL EQUITY YIELD FUND CLASS R3	560648266	EPSHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH INTERNATIONAL CHOICE FUND CLASS A	56063J732	ICEVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH INTERNATIONAL CHOICE FUND CLASS I	56063J716	ICEUX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH INTERNATIONAL CHOICE FUND CLASS R1	56063J690	ICETX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH INTERNATIONAL CHOICE FUND CLASS R2	56063J682	ICEYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH INTERNATIONAL CHOICE FUND CLASS R3	56063J674	ICEZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH U.S. ALL CAP FUND CLASS A	56063J427	MAAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH U.S. ALL CAP FUND CLASS I	56063J120	MATIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH U.S. EQUITY YIELD FUND CLASS A	56063J104	EPLPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH U.S. EQUITY YIELD FUND CLASS I	56063J302	EPLCX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH U.S. EQUITY YIELD FUND CLASS R1	56064L629	EPLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH U.S. EQUITY YIELD FUND CLASS R2	56064L611	EPLSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY EPOCH U.S. EQUITY YIELD FUND CLASS R3	56064L595	EPLTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY FLOATING RATE FUND CLASS A	56063J377	MXFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY FLOATING RATE FUND CLASS I	56063J344	MXFIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY FLOATING RATE FUND CLASS R3	560648241	MXFHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY GROWTH ALLOCATION FUND CLASS A	56063U703	MGXAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY GROWTH ALLOCATION FUND CLASS I	56063U877	MGXIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY GROWTH ALLOCATION FUND CLASS R3	560648290	MGXRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY INCOME BUILDER FD CL A	56062F798	MTRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY INCOME BUILDER FUND CLASS I	56062X849	MTOIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY INCOME BUILDER FUND CLASS R3	56063N840	MTXVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY INDEXED BOND FUND CLASS A	56063J260	MXAXX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY INDEXED BOND FUND CLASS I	56063J252	MXIXX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY LARGE-CAP GROWTH FUND CLASS A	56062X674	MLAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY LARGE-CAP GROWTH FUND CLASS I	56062X641	MLAIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY LARGE-CAP GROWTH FUND CLASS R1	56062X633	MLRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY LARGE-CAP GROWTH FUND CLASS R2	56062X625	MLRZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY LARGE-CAP GROWTH FUND INVESTOR CLASS	56062X450	MLNXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY CALIFORNIA TAX FREE OPPORTUNITIES FUND CLASS A	560648696	MSCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY CALIFORNIA TAX FREE OPPORTUNITIES FUND CLASS I	560648670	MCOIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY COMMON STOCK FUND CLASS A	56062F541	MSOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY COMMON STOCK FUND CLASS I	56062X716	MSOIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY COMMON STOCK FUND CLASS R3	56063N865	MSOSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY CONVERTIBLE FUND CLASS A	56062F780	MCOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY CONVERTIBLE FUND CLASS I	56063N600	MCONV	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY EMERGING MARKETS DEBT FUND CLASS A	56062F475	MGHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY EMERGING MARKETS DEBT FUND CLASS I	56062X559	MGHIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY EMERGING MARKETS EQUITY FUND CLASS A	560648621	MEOAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY EMERGING MARKETS EQUITY FUND CLASS I	560648597	MEOIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY GROWTH FUND CLASS A	560648829	KLGAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY GROWTH FUND CLASS I	560648787	KLGIAX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 12:00 AM	
MAINSTAY FUNDS	MAINSTAY MACKAY HIGH YIELD CORPORATE BOND FUND CLASS A	56062F772	MHCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY HIGH YIELD CORPORATE BOND FUND CLASS I	56062X708	MHYIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY HIGH YIELD CORPORATE BOND FUND CLASS R2	56063N501	MHYRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY HIGH YIELD CORPORATE BOND FUND CLASS R3	56063N857	MHYTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY HIGH YIELD CORPORATE BOND FUND CLASS R6	56063N881	MHYSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY HIGH YIELD MUNICIPAL BOND FUND CLASS A	56063U547	MMHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY HIGH YIELD MUNICIPAL BOND FUND CLASS I	56063U521	MMHIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY INFRASTRUCTURE BOND FUND CLASS A	56062F764	MGVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY INFRASTRUCTURE BOND FUND CLASS I	56062X609	MGOIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY INFRASTRUCTURE BOND FUND INVESTOR CLASS	56062X484	MGOVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY INTERMEDIATE TAX FREE BOND CLASS I	56064L355	MTFGX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY INTERMEDIATE TAX FREE BOND FUND INVESTOR CLASS	56064L371	MTFFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY INTERMEDIATE TAX-FREE BOND FUND CLASS A	56064L389	MTFDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY INTERNATIONAL EQUITY FUND CLASS A	56062F681	MSEXAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY INTERNATIONAL EQUITY FUND CLASS I	56062X807	MSIIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY INTERNATIONAL OPPORTUNITIES FUND CLASS A	56063U653	MYITX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY INTERNATIONAL OPPORTUNITIES FUND CLASS I	56063U638	MYIIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY NEW YORK TAX FREE OPPORTUNITIES FUND CLASS A	56063U240	MNOAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY NEW YORK TAX FREE OPPORTUNITIES FUND CLASS I	56063U224	MNOIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY S&P 500 INDEX FUND CLASS A	56063J179	MSXAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
MAINSTAY FUNDS	MAINSTAY MACKAY S&P 500 INDEX FUND CLASS I	560631161	MSPIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY SHORT DURATION HIGH YIELD FUND CLASS A	560648753	MDHAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY SHORT DURATION HIGH YIELD FUND CLASS I	560648738	MDHIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY SHORT DURATION HIGH YIELD FUND CLASS R2	560648720	MDHRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY SHORT DURATION HIGH YIELD FUND CLASS R3	560648233	MDHTR	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY SHORT DURATION HIGH YIELD FUND INVESTOR CLASS	560648761	MDHVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY SHORT TERM MUNICIPAL FUND CLASS A	560631146	MSTAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY SHORT TERM MUNICIPAL FUND INSTITUTIONAL CLASS	560631138	MSTIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY SMALL CAP CORE FUND CLASS A	560648100	MOPAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY SMALL CAP CORE FUND CLASS I	560648407	MOPIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 12:00 AM	
MAINSTAY FUNDS	MAINSTAY MACKAY SMALL CAP CORE FUND CLASS R3	560648258	MOVRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY TAX FREE BOND FUND CLASS A	56062F756	MTBAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY TAX FREE BOND FUND CLASS I	56063N709	MTBIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY TAX FREE BOND FUND INVESTOR CLASS	56062X377	MKINX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY TOTAL RETURN BOND FUND CLASS A	56063J237	MTMAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY TOTAL RETURN BOND FUND CLASS I	56063J195	MTMIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY TOTAL RETURN BOND FUND CLASS R3	560648225	MTRVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY TOTAL RETURN BOND FUND CLASS R6	560648431	MTRDX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY U.S. EQUITY OPPORTUNITIES FUND CLASS A	56063U745	MYCTX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY U.S. EQUITY OPPORTUNITIES FUND CLASS I	56063U729	MYCIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY UNCONSTRAINED BOND FUND CLASS A	56062F657	MASAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY UNCONSTRAINED BOND FUND CLASS I	56062X500	MSDIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY UNCONSTRAINED BOND FUND CLASS R2	56063N873	MSIRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MACKAY UNCONSTRAINED BOND FUND CLASS R3	56063N832	MSDIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MAP EQUITY FUND CLASS A	56062F210	MAPAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MAP EQUITY FUND CLASS I	56062F228	MUBFX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
MAINSTAY FUNDS	MAINSTAY MODERATE ALLOCATION FUND CLASS A	56063U851	MMRAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MODERATE ALLOCATION FUND CLASS I	56063U828	MMRIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MODERATE ALLOCATION FUND CLASS R2	56064L447	MMRRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MODERATE ALLOCATION FUND CLASS R3	56064B282	MMRHX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MODERATE GROWTH ALLOCATION FUND CLASS A	56063U794	MGDAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MODERATE GROWTH ALLOCATION FUND CLASS I	56063U760	MGDIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MODERATE GROWTH ALLOCATION FUND CLASS R1	56064L439	MGDIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MODERATE GROWTH ALLOCATION FUND CLASS R2	56064L421	MGDKX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MODERATE GROWTH ALLOCATION FUND CLASS R3	56064B274	MGDRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MODERATE GROWTH ALLOCATION FUND INVESTOR CLASS	56063U810	MGDNX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MONEY MARKET FD CLASS A	56062F723	MMAXX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAINSTAY FUNDS	MAINSTAY MONEY MARKET INVESTOR CLASS	56062X419	MKTXX	No/Low Load	Initial: 5000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAIRS & POWERS FUNDS	MAIRS AND POWER BALANCED FUND	56064V304	MAPOX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAIRS & POWERS FUNDS	MAIRS AND POWER GROWTH FUND	56064V205	MPGFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MAIRS & POWERS FUNDS	MAIRS AND POWER SMALL CAP FUND	56064V106	MSCFX	No/Low Load	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER CORE BOND SERIES FUND CLASS I	56382R720	EXCIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER CORE BOND SERIES FUND CLASS S	563821404	EXCRX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER DISCIPLINED VALUE SERIES FUND CLASS I	56382P658	MNDFX	No/Low Load; FundVest Institutional	Initial: 2000.0; Sub: 25.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER DISCIPLINED VALUE SERIES FUND CLASS S	56382P476	MDFSX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER EQUITY INCOME FUND CLASS I	56382R605	MNEIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
MANNING & NAPIER FUNDS	MANNING & NAPIER EQUITY INCOME FUND CLASS S	56382R506	MNESX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
MANNING & NAPIER FUNDS	MANNING & NAPIER EQUITY SERIES CLASS S	563821602	EEXEY	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER FD INC. DIVERSIFIED TAX EXEMPT SERIES	563821677	EXDVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER FD INC. NY TAX EXEMPT SERIES	563821719	EXNTX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER FUND INC TARGET 2060 SERIES CLASS I	56382R753	MTKIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER FUND INC TARGET 2060 SERIES CLASS K	56382R779	MTKKX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER FUND INC TARGET 2060 SERIES CLASS R	56382R761	MTKRX	No/Low Load	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER HIGH YIELD BOND FUND CLASS I	56382P195	MNHAX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER HIGH YIELD BOND FUND CLASS S	56382P583	MNHXX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER INC RAINIER INT'L DISCOVERY SERIES FUND CLASS I	56382R688	RAIIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER INCOME SERIES CLASS I	56382P229	MSMAX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
MANNING & NAPIER FUNDS	MANNING & NAPIER INCOME SERIES CLASS S	56382P211	MSMSX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
MANNING & NAPIER FUNDS	MANNING & NAPIER INTERNATIONAL FUND CLASS I	56382P484	MNIIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
MANNING & NAPIER FUNDS	MANNING & NAPIER INTERNATIONAL FUND CLASS S	563821529	EXITX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
MANNING & NAPIER FUNDS	MANNING & NAPIER OVERSEAS SERIES CLASS I	563821503	EXOSX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER OVERSEAS SERIES FUND CLASS S	56382R480	MNOSX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND CONSERV TERM FUND CLASS I	56382P690	MNCIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND CONSERV TERM FUND CLASS R	563821628	MNCRX	No/Low Load	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND CONSERV TERM FUND CLASS S	563821651	EXDAX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND CONSERV TERM SERIES FUND CLASS L	56382P633	MNCCX	No/Low Load	Initial: 2000.0; Sub: 25.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND EXTENDED TERM FUND CLASS I	56382P674	MNBIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND EXTENDED TERM FUND CLASS R	563821446	MNBRX	No/Low Load	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND EXTENDED TERM FUND CLASS S	563821768	MNBAX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND EXTENDED TERM SERIES FUND CLASS L	56382P617	MNCEX	No/Low Load	Initial: 2000.0; Sub: 25.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND MAXIMUM TERM FUND CLASS I	56382P666	MNHIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND MAXIMUM TERM FUND CLASS R	563821560	MNHRX	No/Low Load	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND MAXIMUM TERM FUND CLASS S	563821594	EXHAX	No/Low Load; FundVest Focus	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND MAXIMUM TERM SERIES FUND CLASS L	56382P591	MNHXX	No/Low Load	Initial: 2000.0; Sub: 25.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND MODERATE TERM FUND CLASS I	56382P682	MNMIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND MODERATE TERM FUND CLASS R	'563821487	MMNRX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND MODERATE TERM FUND CLASS S	'563821776	EXBAX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER PRO-BLEND MODERATE TERM SERIES FUND CLASS L	'56382P625	MMNCX	No/Low Load	Initial : 2000.0; Sub : 25.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER RAINIER INTL DISCOVERY SERIES FUND CLASS S	'56382R670	RISAX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER REAL ESTATE FUND CLASS I	'56382P187	MMNRX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER REAL ESTATE FUND CLASS S	'56382P641	MMNEX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER RETIREMENT TARGET 2060 COLLECTIVE INVT TRUST CLASS I	302028824	N/A	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER RETIREMENT TARGET 2060 COLLECTIVE INVT TRUST CLASS S	302028816	N/A	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2015 SERIES FUND CLASS I	'56382P450	MTJIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2015 SERIES FUND CLASS K	'56382P443	MTJIX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2020 SERIES FUND CLASS I	'56382P401	MTNIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2020 SERIES FUND CLASS K	'56382P872	MTNIX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2020 SERIES FUND CLASS R	'56382P815	MTNIX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2025 SERIES FUND CLASS I	'56382P419	MTOAX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2025 SERIES FUND CLASS K	'56382P393	MTOKX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2030 SERIES FUND CLASS I	'56382P500	MTPIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2030 SERIES FUND CLASS K	'56382P864	MTPKX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2030 SERIES FUND CLASS R	'56382P799	MTPRX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2035 SERIES FUND CLASS I	'56382P369	MTQIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2035 SERIES FUND CLASS K	'56382P351	MTQIX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2040 SERIES FUND CLASS I	'56382P609	MTTIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2040 SERIES FUND CLASS K	'56382P856	MTTKX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2040 SERIES FUND CLASS R	'56382P781	MTTRX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2045 SERIES FUND CLASS I	'56382P328	MTUIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2045 SERIES FUND CLASS K	'56382P310	MTUXX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2050 SERIES FUND CLASS I	'56382P708	MTYIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2050 SERIES FUND CLASS K	'56382P849	MTYXX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2050 SERIES FUND CLASS R	'56382P773	MTYRX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2055 SERIES FUND CLASS I	'56382P278	MTZIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET 2055 SERIES FUND CLASS K	'56382P260	MTZXX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET INCOME FUND CLASS I	'56382P203	MTDIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET INCOME FUND CLASS K	'56382P807	MTDXX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER TARGET INCOME FUND CLASS R	'56382P831	MTDRX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER UNCONSTRAINED BOND SERIES CLASS I	'56382P112	MMCPX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING & NAPIER UNCONSTRAINED BOND SERIES CLASS S	'563821206	EXCPX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING AND NAPIER TARGET 2015 FUND CLASS R	'56382P435	MTJRX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING AND NAPIER TARGET 2025 FUND CLASS R	'56382P385	MTORX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING AND NAPIER TARGET 2035 FUND CLASS R	'56382P344	MTQRX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING AND NAPIER TARGET 2045 FUND CLASS R	'56382P294	MTURX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MANNING & NAPIER FUNDS	MANNING AND NAPIER TARGET 2055 FUND CLASS R	'56382P252	MTZRX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MARATHON VALUE FUND	MARATHON VALUE PORTFOLIO FUND	'66538E648	MVFPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MARKET NEUTRAL FUNDS	MARKET NEUTRAL FUND CLASS N	'66539A744	STTKX	No/Low Load	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MARKET NEUTRAL FUNDS	MARKET NEUTRAL FUND INSTITUTIONAL CLASS	'66539A751	STAKX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MARKETFIELD FUNDS	MARKETFIELD FUND CLASS A	89834E278	MFADX	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MARKETFIELD FUNDS	MARKETFIELD FUND CLASS I	89834E245	MFLDX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MARSHFIELD FUNDS	MARSHFIELD CONCENTRATED OPPORTUNITIES FUND	'90386H735	MRFOX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MARSICO FUNDS	MARSICO 21ST CENTURY FUND	'573012309	MXIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MARSICO FUNDS	MARSICO FOCUS FUND	'573012101	MFOCX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MARSICO FUNDS	MARSICO GLOBAL FUND	'573012606	MGLBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MARSICO FUNDS	MARSICO GROWTH FUND	'573012200	MGRIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MARSICO FUNDS	MARSICO INTERNATIONAL OPPORTUNITIES FUND	'573012408	MIOFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MATRIX ADVISORS FUNDS	MATRIX ADVISOR'S VALUE FUND	'57681T102	MAVFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MATRIX ADVISORS FUNDS	MATRIX ADVISORS DIVIDEND FUND	'57681H108	MADFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MATTHEW 25 FUND	MATTHEW 25 FUND	'577119100	MXVXX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER BALANCED FUND ADVISER CLASS	'58510R739	BLNAX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER BALANCED FUND INSTITUTIONAL CLASS	'58510R721	BLNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER BALANCED FUND RETAIL CLASS	'58510R705	FLDFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER CONSERVATIVE ALLOCATION FUND ADVISOR CLASS	'58510R622	IFAXX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER CONSERVATIVE ALLOCATION FUND INSTITUTIONAL CLASS	'58510R846	IFAXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER CONSERVATIVE ALLOCATION FUND RETAIL CLASS	'58510R861	FLRUX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER DYNAMIC ALLOCATION FUND ADVISOR CLASS	'58510R770	DYAGX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER DYNAMIC ALLOCATION FUND INSTITUTIONAL CLASS	'58510R762	DYGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER DYNAMIC ALLOCATION FUND RETAIL CLASS	'58510R879	FLDGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER GLOBAL ALLOCATION FUND ADVISOR CLASS	'58510R713	GBPAX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER GLOBAL ALLOCATION FUND INSTITUTIONAL CLASS	'58510R697	GBPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER GLOBAL ALLOCATION FUND RETAIL CLASS	'58510R606	FLFGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER MODERATE ALLOCATION FUND ADVISOR CLASS	'58510R648	DVOAX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER MODERATE ALLOCATION FUND INSTITUTIONAL CLASS	'58510R630	DVOIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER MODERATE ALLOCATION FUND RETAIL CLASS	'58510R853	FLODX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER MUIRFIELD FUND ADVISER CLASS	'58510R796	FLMAX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER MUIRFIELD FUND INSTITUTIONAL CLASS	'58510R788	FLMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER MUIRFIELD FUND RETAIL CLASS	'58510R309	FLMFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER PRIME MONEY MARKET FUND INSTITUTIONAL CLASS	'58510R804	FFIXX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER PRIME MONEY MARKET FUND RETAIL CLASS	'58510R200	FFMXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER QUANTEX FUND ADVISER CLASS	'58510R820	QNTAX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
MEEDER FUNDS	MEEDER QUANTEX FUND INSTITUTIONAL CLASS	58510R812	QNTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER QUANTEX FUND RETAIL CLASS	58510R101	FLCGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER SPECTRUM FUND ADVISER CLASS	58510R663	SUAUX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER SPECTRUM FUND INSTITUTIONAL CLASS	58510R655	SRUIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER SPECTRUM FUND RETAIL CLASS	58510R408	FLSPX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER TOTAL RETURN BOND FUND ADVISER CLASS	58510R689	BNDAX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER TOTAL RETURN BOND FUND INSTITUTIONAL CLASS	58510R671	BNDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MEEDER FUNDS	MEEDER TOTAL RETURN BOND FUND RETAIL CLASS	58510R507	FLBDX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MERGER FUNDS	THE MERGER FUND INSTITUTIONAL CLASS	589509207	MERIX	No/Low Load	Initial : 1000000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MERGER FUNDS	THE MERGER FUND INVESTOR CLASS	589509108	MERFX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MERGER FUNDS	WCM ALTERNATIVE CREDIT EVENT FUND INSTITUTIONAL CLASS	95737C400	WCIFX	No/Low Load	Initial : 1000000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MERGER FUNDS	WCM ALTERNATIVE CREDIT EVENT FUND INVESTOR CLASS	95737C301	WCIFR	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MERGER FUNDS	WCM ALTERNATIVES EVENT DRIVEN FUND INVESTOR CLASS	95737C202	WCERX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MERGER FUNDS	WCM ALTERNATIVES EVENT-DRIVEN FUND INSTITUTIONAL CLASS	95737C103	WCEIF	No/Low Load	Initial : 1000000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MERIDIAN FUNDS	MERIDIAN CONTRARIAN FUND CLASS A	589619865	MFCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MERIDIAN FUNDS	MERIDIAN CONTRARIAN FUND INVESTOR CLASS	589619873	MFCIX	No/Low Load; FundVest Institutional	Initial : 99999.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MERIDIAN FUNDS	MERIDIAN CONTRARIAN FUND LEGACY CLASS	589619204	MVALX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MERIDIAN FUNDS	MERIDIAN ENHANCED EQUITY FUND CLASS A	589619501	MRAEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MERIDIAN FUNDS	MERIDIAN ENHANCED EQUITY FUND INVESTOR CLASS	589619402	MRIEX	No/Low Load; FundVest Institutional	Initial : 99999.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MERIDIAN FUNDS	MERIDIAN ENHANCED EQUITY FUND LEGACY CLASS	589619303	MEIFX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MERIDIAN FUNDS	MERIDIAN GROWTH FUND CLASS A	589619808	MRAGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MERIDIAN FUNDS	MERIDIAN GROWTH FUND INSTITUTIONAL CLASS	589619881	MRRGX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MERIDIAN FUNDS	MERIDIAN GROWTH FUND INVESTOR CLASS	589619709	MRRGX	No/Low Load; FundVest Institutional	Initial : 99999.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MERIDIAN FUNDS	MERIDIAN GROWTH FUND LEGACY CLASS	589619105	MERDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MERIDIAN FUNDS	MERIDIAN SMALL CAP GROWTH FUND CLASS A	589619832	MSGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MERIDIAN FUNDS	MERIDIAN SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	589619824	MSGRX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MERIDIAN FUNDS	MERIDIAN SMALL CAP GROWTH FUND INVESTOR CLASS	589619840	MSGX	No/Low Load; FundVest Institutional	Initial : 99999.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MERIDIAN FUNDS	MERIDIAN SMALL CAP GROWTH FUND LEGACY CLASS	589619816	MSGGX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS AGGRESSIVE GROWTH ALLOCATION CLASS A	55273G686	MAAGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS AGGRESSIVE GROWTH ALLOCATION FUND CLASS I	55273G652	MIAGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS ALABAMA MUNI BOND FUND CLASS I	55273N392	MLALX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS ALABAMA MUNICIPAL BOND FUND CLASS A	55273N301	MFALX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS ARKANSAS MUNI BOND FUND CLASS I	55273N426	MARIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS ARKANSAS MUNICIPAL BOND FUND CLASS A	55273N400	MFARX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH CORE EQUITY FUND CLASS A	55273W400	MUEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH CORE EQUITY FUND CLASS I	55273W103	MUSEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH EMERGING MARKETS EQUITY FUND CLASS A	552987331	BRKAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH EMERGING MARKETS EQUITY FUND CLASS I	552987299	BRKIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH EMERGING MARKETS EQUITY FUND CLASS R6	552982738	DIFHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH GLOBAL EQUITY FUND CLASS A	552987430	BRLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH GLOBAL EQUITY FUND CLASS I	552987398	BRLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH GROWTH EQUITY FUND CLASS A	552743874	BRWAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH GROWTH EQUITY FUND CLASS I	552743841	BRWIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH GROWTH EQUITY FUND CLASS R6	552746331	MEMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH INTL EQUITY FUND CLASS A	552987539	BRAXX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH INTL EQUITY FUND CLASS I	552987497	BRPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH MID CAP EQUITY FUND CLASS I	552743619	BMSLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH SMALL CAP EQUITY FUND CLASS A	552743775	BRSDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH SMALL CAP EQUITY FUND CLASS I	552743742	BRSIJ	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH SMALL CAP EQUITY FUND CLASS R6	552743684	BRSYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH VALUE EQUITY FUND CLASS A	552746224	BRUDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH VALUE EQUITY FUND CLASS I	552746182	BRUHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS BLENDED RESEARCH VALUE EQUITY FUND CLASS R6	55275E283	SRFHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS CALIFORNIA MUNI BOND FUND CLASS I	55273N418	MCAVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS CALIFORNIA MUNICIPAL BOND FUND CLASS A	55273N590	MCTFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS COMMODITY STRATEGY FUND CLASS R6	55276T834	DVRLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS COMMON STRATEGY FUND CLASS A	55276T859	MCSAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS CONSERVATIVE ALLOCATION FUND CLASS A	55273G827	MACFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS CONSERVATIVE ALLOCATION FUND CLASS I	55273G785	MACIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS CORE EQUITY FUND CLASS A	552983884	MARGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS CORE EQUITY FUND CLASS I	552983686	MARGRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS CORE EQUITY FUND CLASS R6	55273H320	MGRGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS CORPORATE BOND FUND CLASS A	55272P208	MBFBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS CORPORATE BOND FUND CLASS I	55272P877	MBDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS CORPORATE BOND FUND CLASS R6	55274K702	MBFBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS DIVERSIFIED INCOME FUND CLASS A	552982837	DIFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS DIVERSIFIED INCOME FUND CLASS I	552982811	DIFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS EMERGING MARKET DEBT FUND CLASS I	55273E640	MEDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS EMERGING MARKETS DEBT FUND CLASS A	55273E673	MEDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS EMERGING MARKETS DEBT FUND CLASS R6	552746323	EMLNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS EMERGING MARKETS DEBT FUND CLASS R6	552746364	MEDHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS EMERGING MARKETS DEBT LOCAL CURRENCY FD CLASS A	552746455	EMLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS EMERGING MARKETS DEBT LOCAL CURRENCY FD CLASS I	552746422	EMLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS EMERGING MARKETS EQUITY FUND CLASS A	55273E509	MEMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS EMERGING MARKETS EQUITY FUND CLASS I	55273E855	MEMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
MFS FUNDS	MFS EQUITY INCOME FUND CLASS A	'552988636	EQNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS EQUITY INCOME FUND CLASS I	'552988594	EQNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS EQUITY INCOME FUND CLASS R6	'552988545	EQNVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS EQUITY OPPORTUNITIES FUND CLASS A	'55275E473	SRFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS EQUITY OPPORTUNITIES FUND CLASS I	'55275E291	SRFEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GEORGIA MUNI BOND FUND CLASS I	'55273N384	MGATX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GEORGIA MUNICIPAL BOND FUND CLASS A	'55273N608	MMGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL ALTERNATIVE STRATEGY FUND CLASS A	'55276T107	DVRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL ALTERNATIVE STRATEGY FUND CLASS I	'55276T404	DVRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL ALTERNATIVE STRATEGY FUND CLASS R6	'552982712	MFGKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL BOND FUND CLASS A	'552746638	MGBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL BOND FUND CLASS I	'552746596	MGBIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL BOND FUND CLASS R6	'552743882	MGBOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL EQUITY FUND CLASS A	'552986507	MWFEF	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL EQUITY FUND CLASS I	'552986861	MWEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL EQUITY FUND CLASS R6	'552986622	MWEMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL GROWTH FUND CLASS A	'552989303	MWOFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL GROWTH FUND CLASS I	'552989808	MWOIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL GROWTH FUND CLASS R6	'552989782	MWOXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL HIGH YIELD FUND CLASS A	'552984700	MHOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL HIGH YIELD FUND CLASS I	'552984874	MHOIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL HIGH YIELD FUND CLASS R6	'552984676	MHOVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL NEW DISCOVERY FUND CLASS A	'552987646	GLNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL NEW DISCOVERY FUND CLASS I	'552987612	GLNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL NEW DISCOVERY FUND CLASS R6	'552987547	GLNXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL REAL ESTATE FUND CLASS A	'552982753	MGLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL REAL ESTATE FUND CLASS I	'552982746	MGLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL REAL ESTATE FUND CLASS R6	'552982720	MGLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL TOTAL RETURN FUND CLASS A	'552986101	MPFWX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL TOTAL RETURN FUND CLASS I	'552986853	MPFWX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL TOTAL RETURN FUND CLASS R6	'55273H221	MLVTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GLOBAL TOTAL RETURN FUND CLASS R6	'552986614	MPFWLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GOVERNMENT SECURITIES FUND CLASS A	'552982100	MFGSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GOVERNMENT SECURITIES FUND CLASS I	'552982407	MGSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GROWTH ALLOCATION FUND CLASS A	'55273G736	MAGWX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GROWTH ALLOCATION FUND CLASS I	'55273G694	MGWIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GROWTH FUND CLASS A	'552985103	MFGGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GROWTH FUND CLASS I	'552985863	MFEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS GROWTH FUND CLASS R6	'552985673	MFEKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS HIGH INCOME FUND CLASS R6	'552984684	MHIKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS HIGH-INCOME FUND CLASS A	'552984106	MHITX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS HIGH-INCOME FUND CLASS I	'552984601	MHIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INFLATION ADJUSTED BOND FUND CLASS A	'55272P414	MIAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INFLATION- ADJUSTED BOND FUND CLASS I	'55272P398	MIAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INFLATION- ADJUSTED BOND FUND CLASS R6	'55274K884	MIAKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INTERNATIONAL DIVERSIFICATION FUND CLASS A	'55273G330	MDIDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INTERNATIONAL DIVERSIFICATION FUND CLASS I	'55273G298	MDIUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INTERNATIONAL DIVERSIFICATION FUND CLASS R6	'552743544	MDIZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INTERNATIONAL EQUITY FUND INSTITUTIONAL CLASS	'552966806	MEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INTERNATIONAL GROWTH FUND CLASS A	'55273E103	MGRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INTERNATIONAL GROWTH FUND CLASS I	'55273E848	MQGIK	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INTERNATIONAL GROWTH FUND CLASS R6	'552746356	MGRDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INTERNATIONAL INTRINSIC VALUE FUND CLASS A	'55273E301	MGIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MFS FUNDS	MFS INTERNATIONAL INTRINSIC VALUE FUND CLASS I	'55273E822	MINIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MFS FUNDS	MFS INTERNATIONAL INTRINSIC VALUE FUND CLASS R6	'552746349	MINJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MFS FUNDS	MFS INTERNATIONAL NEW DISCOVERY FUND CLASS A	'552981888	MIDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INTERNATIONAL NEW DISCOVERY FUND CLASS I	'552981854	MWNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS INTERNATIONAL NEW DISCOVERY FUND CLASS R6	'552981383	MIDLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2020 FUND CLASS A	'55275E770	MFLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2020 FUND CLASS I	'55275E747	MFLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2020 FUND CLASS R6	'55275E267	MFLKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2025 FUND CLASS A	'55279J882	LTTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2025 FUND CLASS I	'55279J858	LTTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2030 FUND CLASS A	'55275E671	MLTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2030 FUND CLASS I	'55275E648	MLTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2030 FUND CLASS R6	'55275E242	MLTKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2035 FUND CLASS A	'55279J791	LFEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2035 FUND CLASS I	'55279J767	LFDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2040 FUND CLASS A	'55275E572	MLFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2040 FUND CLASS I	'55275E549	MLFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2040 FUND CLASS R6	'55275E226	MLFKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2045 FUND CLASS A	'55279J718	LTMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2045 FUND CLASS I	'55279J676	LTMKX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2050 FUND CLASS A	'55275E382	MFFSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2050 FUND CLASS I	'55275E358	MFFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
MFS FUNDS	MFS LIFETIME 2055 FUND CLASS A	'55279J627	LFIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2055 FUND CLASS I	'55279J585	LFIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2060 FUND CLASS A	'55279J536	MFJAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME 2060 FUND CLASS I	'55279J494	MFJIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME INCOME FUND CLASS A	'55275E101	MLLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME INCOME FUND CLASS I	'55275E408	MLLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIFETIME INCOME FUND CLASS R6	'55275E275	MLLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIMITED MATURITY FUND CLASS A	'55272P109	MLQFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIMITED MATURITY FUND CLASS I	'55272P869	MLQIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LIMITED MATURITY FUND CLASS R6	'55274K801	MLQXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LOW VOLATILITY EQUITY FUND CLASS A	'55273H312	MLVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LOW VOLATILITY EQUITY FUND CLASS I	'55273H270	MLVHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LOW VOLATILITY GLOBAL EQUITY FUND CLASS A	'55273H213	MVGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LOW VOLATILITY GLOBAL EQUITY FUND CLASS I	'55273H171	MVGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS LOW VOLATILITY GLOBAL EQUITY FUND CLASS R6	'55273H122	MVGNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MANAGED WEALTH FUND CLASS A	'552746315	MNWAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MANAGED WEALTH FUND CLASS I	'552746273	MNWIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MARYLAND MUNI BOND FUND CLASS I	'55273N376	MMDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MARYLAND MUNICIPAL BOND FUND CLASS A	'55273N707	MFSMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MASSACHUSETTS INVESTORS GROWTH STOCK FUND CLASS A	'57519109	MIGFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MASSACHUSETTS INVESTORS GROWTH STOCK FUND CLASS I	'57519406	MGITX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MASSACHUSETTS INVESTORS GROWTH STOCK FUND CLASS R6	'57519828	MIGNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MASSACHUSETTS INVESTORS TRUST CLASS A	'575736103	MITTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MASSACHUSETTS INVESTORS TRUST CLASS I	'575736400	MITIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MASSACHUSETTS INVESTORS TRUST FUND CLASS R6	'575736814	MITJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MASSACHUSETTS MUNI BOND FUND CLASS I	'55273N368	MTALX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MASSACHUSETTS MUNICIPAL BOND FUND CLASS A	'55273N806	MFSXX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MID CAP GROWTH FUND CLASS R6	'552987554	OTCKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MID CAP VALUE FUND CLASS I	'55272P596	MCVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MID CAP VALUE FUND CLASS R6	'55273W475	MVCKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MID-CAP GROWTH FUND CLASS A	'552987703	OTCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MID-CAP GROWTH FUND CLASS I	'552987877	OTCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MID-CAP VALUE FUND CLASS A	'55272P638	MVCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MISSISSIPPI MUNI BOND FUND CLASS I	'55273N350	MMSTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MISSISSIPPI MUNICIPAL BOND FUND CLASS A	'55273N103	MISSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MODERATE ALLOCATION FUND CLASS A	'55273G777	MAMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MODERATE ALLOCATION FUND CLASS I	'55273G744	MMAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MUNICIPAL HIGH INCOME FUND CLASS A	'552984304	MMHYX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MUNICIPAL HIGH INCOME FUND CLASS I	'552984692	MMIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MUNICIPAL HIGH INCOME FUND CLASS R6	'552984650	MMHXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MUNICIPAL INCOME FUND CLASS A	'55273N574	MFIAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MUNICIPAL INCOME FUND CLASS A1	'55273N459	MMIDX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MFS FUNDS	MFS MUNICIPAL INCOME FUND CLASS I	'55273N434	MMIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MUNICIPAL INCOME FUND CLASS R6	'55273N186	MPMNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MUNICIPAL LIMITED MATURITY FUND CLASS I	'55274K504	MTLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS MUNICIPAL LIMITED-MATURITY FUND CLASS A	'55272P505	MTLFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS NEW DISCOVERY FUND CLASS A	'552983553	MNDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS NEW DISCOVERY FUND CLASS I	'552983520	MNDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS NEW DISCOVERY FUND CLASS R6	'55273H346	MNDXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS NEW DISCOVERY VALUE FUND CLASS A	'55278M100	NDVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MFS FUNDS	MFS NEW DISCOVERY VALUE FUND CLASS I	'55278M407	NDVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MFS FUNDS	MFS NEW DISCOVERY VALUE FUND CLASS R2	'55278M605	NDVXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MFS FUNDS	MFS NEW DISCOVERY VALUE FUND CLASS R6	'552982696	NDVVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MFS FUNDS	MFS NEW YORK MUNI BOND FUND CLASS I	'55273N343	MNYLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS NEW YORK MUNICIPAL BOND FUND CLASS A	'55273N889	MSNVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS NORTH CAROLINA MUNI BOND FUND CLASS I	'55273N335	MNCLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS NORTH CAROLINA MUNICIPAL BOND FUND CLASS A	'55273N871	MSNXX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS PENNSYLVANIA MUNI BOND FUND CLASS I	'55273N327	MPALX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS PENNSYLVANIA MUNICIPAL BOND FUND CLASS A	'55273N798	MFPAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS PRUDENT INVESTOR FUND CLASS A	'55278K872	FPPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS PRUDENT INVESTOR FUND CLASS I	'55278K849	FPPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS RESEARCH FUND CLASS A	'552981102	MRRFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS RESEARCH FUND CLASS I	'552981706	MRFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS RESEARCH FUND CLASS R6	'552981391	MFRXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS RESEARCH INTERNATIONAL FUND CLASS A	'552983512	MRSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS RESEARCH INTERNATIONAL FUND CLASS I	'552983470	MRSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS RESEARCH INTERNATIONAL FUND CLASS R6	'55273H361	MRSXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS RESEARCH INTERNATIONAL FUND CLASS R6	'55273W483	MUEVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS SOUTH CAROLINA MUNI BOND FUND CLASS I	'55273N319	MTSCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS SOUTH CAROLINA MUNICIPAL BOND FUND CLASS A	'55273N863	MFSCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS STRATEGIC INCOME FUND CLASS A	'552989105	MFOIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS STRATEGIC INCOME FUND CLASS I	'552989709	MFOIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS TECHNOLOGY FUND CLASS A	'552983462	MTCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS TECHNOLOGY FUND CLASS I	'552983439	MTCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS TECHNOLOGY FUND CLASS R6	'55273H338	MTCLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
MFS FUNDS	MFS TENNESSEE MUNI BOND FUND CLASS I	'55273N293	MTNLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS TENNESSEE MUNICIPAL BOND FUND CLASS A	'55273N855	MSTNX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS TOTAL RETURN BOND FUND CLASS A	'55272P810	MRBFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS TOTAL RETURN BOND FUND CLASS I	'55272P778	MRBIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS TOTAL RETURN BOND FUND CLASS R6	'55274K603	MRBKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS TOTAL RETURN FUND CLASS A	'552981300	MSFRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS TOTAL RETURN FUND CLASS I	'552981805	MTRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS TOTAL RETURN FUND CLASS R6	'552981375	MSFKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS U.S. GOVERNMENT CASH RESERVE FUND A	'552983306	MSRXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS U.S. GOVERNMENT CASH RESERVE FUND CLASS I	'59319A109	CRHXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS U.S. GOVERNMENT MONEY MARKET FUND	'552987109	MCMMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS UTILITIES FUND CLASS A	'552986309	MMUFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS UTILITIES FUND CLASS I	'552986879	MMUIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS UTILITIES FUND CLASS R6	'552986598	MMUXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS VALUE FUND CLASS A	'552983801	MEIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS VALUE FUND CLASS I	'552983694	MEIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS VALUE FUND CLASS R6	'55273H353	MEIKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS VIRGINIA MUNI BOND FUND CLASS I	'55273N285	MIVAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS VIRGINIA MUNICIPAL BOND FUND CLASS A	'55273N830	MSVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS WEST VIRGINIA MUNI BOND FUND CLASS I	'55273N277	MWVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS WEST VIRGINIA MUNICIPAL BOND FUND CLASS A	'55273N822	MFVXX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MFS FUNDS	MFS WV MUNICIPAL BOND FUND CLASS R6	'55273N111	MPWXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MIDAS FUNDS	MIDAS FUND	'59562C109	MIDSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MIDAS FUNDS	MIDAS SPECIAL FUND INC.	'59563P109	MIDEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MILLER CONVERTIBLE FUNDS	MILLER CONVERTIBLE BOND FUND CLASS A	'60055P102	MCFAA	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MILLER CONVERTIBLE FUNDS	MILLER CONVERTIBLE BOND FUND CLASS I	'60055P201	MCPIX	No/Low Load	Initial : 100000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MILLER CONVERTIBLE FUNDS	MILLER CONVERTIBLE PLUS FUND CLASS I	'60055P805	MCPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MILLER CONVERTIBLE FUNDS	MILLER INTERMEDIATE BOND FUND CLASS I	'60055P862	MIFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MILLER HOWARD FUNDS	MILLER HOWARD DRILL BIT TO BURNER TIP FUND ADVISOR CLASS	'60040M404	DBBDX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MILLER HOWARD FUNDS	MILLER HOWARD DRILL BIT TO BURNER TIP FUND INSTITUTIONAL CLASS	'60040M305	DBBEX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MILLER HOWARD FUNDS	MILLER HOWARD INCOME EQUITY FUND ADVISOR CLASS	'60040M206	MHIDX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MILLER HOWARD FUNDS	MILLER HOWARD INCOME EQUITY FUND INSTITUTIONAL CL	'60040M107	MHIEH	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MIRAE FUNDS	MIRAE ASSET ASIA FUND CLASS A	'60462F408	MALAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MIRAE FUNDS	MIRAE ASSET ASIA FUND CLASS I	'60462F606	MILAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MIRAE FUNDS	MIRAE ASSET EMERGING MARKETS FUND CLASS A	'60462F101	MALGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MIRAE FUNDS	MIRAE ASSET EMERGING MARKETS FUND CLASS I	'60462F309	MILGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MIRAE FUNDS	MIRAE EMERGING MARKETS GREAT CONSUMER FUND CLASS A	'60462F846	MCEGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MIRAE FUNDS	MIRAE EMERGING MARKETS GREAT CONSUMER FUND CLASS I	'60462F820	MICGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS GENESIS BALANCED PORTFOLIO FUND CLASS A	'74006E876	MBAPX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS GENESIS CONSERVATIVE PORTFOLIO FUND CLASS A	'74006E884	MCONX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS GENESIS GROWTH PORTFOLIO FUND CLASS A	'74006E751	MGAFX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS GROWTH INDEX FUND CLASS A	'74006E843	MGNDX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS GROWTH INDEX FUND CLASS I	'74006E868	MMDEX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS IMPACT BOND CLASS I	'74006E769	MIIIX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS IMPACT BOND FUND CLASS A	'74006E504	MIIAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS INTERNATIONAL INDEX FUND CLASS A	'74006E801	MPLAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS INTERNATIONAL INDEX FUND CLASS I	'74006E702	MPLIX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS SMALL CAP INDEX FUND CLASS A	'74006E793	MMSCX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS SMALL CAP INDEX FUND CLASS I	'74006E827	MMSIX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS VALUE INDEX FUND CLASS A	'74006E603	MVIAA	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MMA PRAXIS FUNDS	PRAXIS VALUE INDEX FUND CLASS I	'74006E785	MVIXA	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MOERUS FUNDS	MOERUS WORLD WIDE VALUE FUND CLASS N	'66538H807	MOWNX	No/Low Load	Initial : 2500.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MOERUS FUNDS	MOERUS WORLD WIDE VALUE FUND INSTITUTIONAL CLASS	'66538H880	MOWIX	No/Low Load	Initial : 100000.0; Sub : 200.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MONETTA FUNDS	MONETTA CORE GROWTH FUND	'60934G703	MYIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MONETTA FUNDS	MONETTA FUND	'60934G802	MONTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MONTEAGLE FUNDS	MONTEAGLE FIXED INCOME FUND	'612263301	MFRRX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MONTEAGLE FUNDS	MONTEAGLE OPPORTUNITY EQUITY FUND INVESTOR CLASS	'612263749	HEQFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MONTEAGLE FUNDS	MONTEAGLE QUALITY GROWTH FUND	'612263400	MFGIX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MONTEAGLE FUNDS	MONTEAGLE SELECT VALUE FUND	'612263509	MVEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MONTEAGLE FUNDS	MONTEAGLE SMART DIVERSIFICATION FUND CLASS I	'612263756	SMDFX	No/Low Load	Initial : 50000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MONTEAGLE FUNDS	MONTEAGLE TEXAS FUND CLASS I	'612263764	BIGTX	No/Low Load	Initial : 50000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MONTEAGLE FUNDS	MONTEAGLE VALUE FUND	'612263202	MVRGX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY ACTIVE INTL ALLOCATION PORTFOLIO FD CL A	'61744J655	MSIBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY EUROPEAN EQUITY FUND CLASS A	'616939104	EUGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY EUROPEAN EQUITY FUND CLASS I	'616939401	EUGDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY GLOBAL CONCENTRATED REAL ESTATE PORTFOLIO CLASS A	'61766J229	MCQAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY GLOBAL CONCENTRATED REAL ESTATE PORTFOLIO CLASS I	'61766J237	MCQIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY GLOBAL COUNTERPOINT PORTFOLIO CLASS A	'61766J427	GLCAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY GLOBAL COUNTERPOINT PORTFOLIO CLASS I	'61766J435	GLCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY GLOBAL ENDURANCE FUND CLASS A	'61766J138	MSJAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY GLOBAL ENDURANCE FUND CLASS I	'61766J146	MSJIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY GLOBAL FIXED INCOME OPPORTUNITIES FUND CLASS A	'616961108	DINAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY GLOBAL FIXED INCOME OPPORTUNITIES FUND CLASS I	'616961405	DINDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY GLOBAL PERMANENCE FUND CLASS A	'61768B208	MKGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY GLOBAL PERMANENCE FUND CLASS I	'61768B109	MKGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
MORGAN STANLEY FUNDS	MORGAN STANLEY INSIGHT FUND CLASS I	'61747T403	CPDXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY INST TRUST ULTRA SHORT INCOME PORT FUND CLASS IR	'617455696	MULSX	No/Low Load	Initial : 9999999.99; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY MORTGAGE SECURITIES TRUST CLASS A	'616962106	MTGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY MULTI CAP GROWTH TRUST FUND CLASS A	'61747T106	CPDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY REAL ASSETS FUND CLASS A	'61766J179	MRJAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY REAL ASSETS FUND CLASS I	'61766J187	MRJIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY TRUST ULTRA-SHORT INCOME PORTFOLIO FUND CLASS INST	'617455688	MUIIX	No/Low Load	Initial : 5000000.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY U.S. GOVERNMENT MONEY MARKET TRUST	'616983102	DWGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY U.S. GOVT SECURITIES TRUST CLASS A	'616969101	USGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY U.S. GOVT SECURITIES TRUST CLASS I	'616969408	USGD	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY ULTRA SHORT INCOME PORTFOLIO CLASS A	'617455670	MUAIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MORGAN STANLEY ULTRA-SHORT MUNICIPAL INCOME FUND INSTITUTIONAL CLASS	'617455498	MUIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIA MORTGAGE SECURITIES TRUST FUND CLASS I	'616962403	MTGD	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF ADVANTAGE PORTFOLIO FUND CLASS A	'61756E776	MAPPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF ADVANTAGE PORTFOLIO FUND CLASS I	'61756E784	MPAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF ASIA OPPORTUNITY FUND CLASS A	'61760X240	MSAUX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF ASIA OPPORTUNITY FUND CLASS I	'61760X224	MSAQX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF EMERGING MARKETS EXTERNAL DEBT PORTFOLIO FUND CLASS A	'61760X406	MEAPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF EMERGING MARKETS EXTERNAL DEBT PORTFOLIO FUND CLASS I	'61760X208	MEAI	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF EMERGING MARKETS LEADERS FUND CLASS A	'61760X596	MELAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF EMERGING MARKETS LEADERS FUND CLASS I	'61760X612	MELIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF EMERGING MARKETS PORTFOLIO FUND CLASS A	'61744J580	MMKXB	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF EMERGING MARKETS SMALL CAP FUND CLASS A	'61760X190	MSEOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF EMERGING MARKETS SMALL CAP FUND CLASS I	'61760X174	MSEM	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF FRONTIER MARKETS PORTFOLIO FUND CLASS A	'61760X810	MFMFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF FRONTIER MARKETS PORTFOLIO FUND CLASS I	'61760X836	MPFXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL ADVANTAGE FUND CLASS A	'61756E578	MIGPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL ADVANTAGE FUND CLASS I	'61756E594	MIGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL CONCENTRATED PORTFOLIO CLASS A	'61766J609	MLNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL CONCENTRATED PORTFOLIO CLASS I	'61766J500	MLNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL CONCENTRATED PORTFOLIO CLASS IS	'61766J807	MLNSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL CORE PORTFOLIO CLASS A	'61766J872	MLMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL CORE PORTFOLIO CLASS I	'61766J880	MLMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL CORE PORTFOLIO CLASS IS	'61766J856	MLMSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL FRANCHISE PORTFOLIO CLASS I	'61744J283	MSFAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL FRANCHISE PORTFOLIO FUND CLASS A	'61744J275	MSFBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL FRANCHISE PORTFOLIO FUND CLASS A	'61744J341	IERBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL GROWTH OPPORTUNITY PORTFOLIO FUND CL I	'61756E693	MGGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL INFRASTRUCTURE FUND CLASS A	'61756E644	MTIPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL INFRASTRUCTURE FUND CLASS I	'61756E651	MTIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL OPPORTUNITY FUND CLASS A	'61756E685	MGGPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL QUALITY FUND CLASS A	'61760X646	MGQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL QUALITY FUND CLASS I	'61760X653	MGQIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL REAL ESTATE FUND CLASS I	'61744J143	MRLAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GLOBAL REAL ESTATE PORTFOLIO CLASS A	'61744J135	MRLBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GROWTH PORTFOLIO FUND CLASS A	'61744J564	MSEGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF GROWTH PORTFOLIO FUND CLASS IS	'61760X711	MGRPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF HIGH YIELD FUND CLASS I	'617440235	MSYIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF INC ACTIVE INT'L ALLOCATION FUND CLASS I	'61744J846	MSACX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF INC EMERGING MARKETS FUND CLASS I	'61744J820	MGEMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF INC INTERNATIONAL EQUITY FUND CLASS I	'61744J408	MSIQX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF INC SMALL COMPANY GROWTH FUND CLASS I	'61744J309	MSSGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF INC U.S. REAL ESTATE FUND CLASS I	'61744J671	MSSJX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF INC. GROWTH PORTFOLIO FUND CLASS I	'61744J861	MSEQX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF INTERNATIONAL ADVANTAGE FUND CLASS A	'61756E446	MFAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF INTERNATIONAL ADVANTAGE FUND CLASS I	'61756E461	MFAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF INTERNATIONAL EQUITY PORTFOLIO CLASS A	'61744J499	MIQBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF INTERNATIONAL OPPORTUNITY FUND CLASS A	'61756E826	MIOPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF INTERNATIONAL OPPORTUNITY FUND CLASS I	'61756E834	MIOIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF INTERNATIONAL REAL ESTATE FUND CLASS I	'61744J317	MSJAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF MULTI ASSET PORTFOLIO FUND CLASS A	'61760X851	MMPPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF MULTI ASSET PORTFOLIO FUND CLASS I	'61760X877	MMPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF SMALL COMPANY GROWTH FUND CLASS A	'61744J614	MSSMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
MORGAN STANLEY FUNDS	MSIF TRUST CORE PLUS FIXED INCOME FUND INST CLASS	'617440300	MPFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF TRUST GLOBAL STRATEGIST PORTFOLIO FUND CL I	'617440839	MPBAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF TRUST LIMITED DURATION FUND INSTITUTIONAL CLASS	'617440862	MPLDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF TRUST MID CAP GROWTH PORTFOLIO FUND CL IS	'617455308	MMCGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF TRUST MID-CAP GROWTH FUND CLASS A	'617440599	MACCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF TRUST MID-CAP GROWTH FUND INSTITUTIONAL CLASS	'617440508	MPEGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF U.S. CORE PORTFOLIO CLASS A	'61766J831	MUOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF U.S. CORE PORTFOLIO CLASS I	'61766J849	MUOIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF U.S. CORE PORTFOLIO CLASS IS	'61766J815	MUOSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIF U.S. REAL ESTATE FUND CLASS A	'61744J457	MUSD	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIFT CORE PLUS FIXED INCOME PORTFOLIO FUND CL A	'617440581	MPFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIFT CORPORATE BOND FUND CLASS A	'617440490	MIGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
MORGAN STANLEY FUNDS	MSIFT CORPORATE BOND PORTFOLIO FUND CLASS I	617440805	MPFDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIFT GLOBAL STRATEGIST PORTFOLIO FUND CL A	617440557	MBAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIFT HIGH YIELD BOND PORTFOLIO FUND CLASS A	617440219	MSYPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIFT LIMITED DURATION PORTFOLIO FUND CLASS A	617440359	MILDAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MORGAN STANLEY FUNDS	MSIFT LIQUID ASSETS PRIME FUND CLASS A	617455456	MAEXX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MOTLEY FOOL FUNDS	MFAM GLOBAL OPPORTUNITIES FUND INSTITUTIONAL CLASS	74925K227	FOIHX	No/Low Load	Initial : 10000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MOTLEY FOOL FUNDS	MFAM GLOBAL OPPORTUNITIES FUND INVESTOR CLASS	74925K235	FOOLX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MOTLEY FOOL FUNDS	MFAM MID CAP GROWTH FUND INSTITUTIONAL CLASS	74925K193	FOGIHX	No/Low Load	Initial : 10000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MOTLEY FOOL FUNDS	MFAM MID CAP GROWTH FUND INVESTOR CLASS	74925K219	TMGFX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
MUHLNKAMP FUND	MUHLNKAMP FUND	56166Y438	MUHLX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 12:00 AM	
NAVIGATOR FUNDS	NAVIGATOR DURATION NEUTRAL BOND FUND CLASS A	66538B875	NDNAX	Load; FundVest Institutional	Initial : 5000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NAVIGATOR FUNDS	NAVIGATOR DURATION NEUTRAL BOND FUND CLASS I	66538B859	NDNIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NAVIGATOR FUNDS	NAVIGATOR EQUITY HEDGED FUND CLASS A	66537X803	NAVAX	Load; FundVest Institutional	Initial : 5000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NAVIGATOR FUNDS	NAVIGATOR EQUITY HEDGED FUND CLASS I	66537X878	NAVIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NAVIGATOR FUNDS	NAVIGATOR SENTRY MANAGED VOLATILITY FUND CLASS A	66538B644	NVXAX	Load; FundVest Institutional	Initial : 5000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NAVIGATOR FUNDS	NAVIGATOR SENTRY MANAGED VOLATILITY FUND CLASS I	66538B628	NVXIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NAVIGATOR FUNDS	NAVIGATOR TACTICAL FIXED INCOME FUND CLASS A	66538B594	NTBAX	Load; FundVest Institutional	Initial : 5000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NAVIGATOR FUNDS	NAVIGATOR TACTICAL FIXED INCOME FUND CLASS I	66538B578	NTBIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NAVIGATOR FUNDS	NAVIGATOR ULTRA SHORT BOND FUND CLASS A	66538I530	NUSAX	Load; FundVest Institutional	Initial : 5000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NAVIGATOR FUNDS	NAVIGATOR ULTRA SHORT BOND FUND CLASS I	66538I522	NUSIX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	ARIN LARGE CAP THETA FUND ADVISOR CLASS	85520V624	AVOAX	No/Low Load	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	ARIN LARGE CAP THETA FUND INSTITUTIONAL CLASS	85520V632	AVOLX	No/Low Load	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CAVALIER ADAPTIVE INCOME FUND CLASS A	85521B700	CAADX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CAVALIER ADAPTIVE INCOME FUND INSTITUTIONAL CLASS	85520V202	CADTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CAVALIER FUNDAMENTAL GROWTH FUND CLASS A	85521B882	CFDAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CAVALIER FUNDAMENTAL GROWTH FUND INSTITUTIONAL CLASS	85520V335	CAFGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CAVALIER GROWTH OPPORTUNITIES FUND CLASS A	85521B874	CAGOX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CAVALIER GROWTH OPPORTUNITIES FUND INSTITUTIONAL CLASS	85520V566	CATEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CAVALIER HEDGED HIGH INCOME FUND CLASS A	85521B866	CHHAX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CAVALIER HEDGED HIGH INCOME FUND INSTITUTIONAL CLASS	85520V582	CHIXH	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CAVALIER MULTI STRATEGIST FUND CLASS A	85521B858	CAVMX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CAVALIER TACTICAL ECONOMIC FUND INSTITUTIONAL CLASS	85520V459	CMSFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CAVALIER TACTICAL ROTATION FUND CLASS A	85521B841	CAVTX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CAVALIER TACTICAL ROTATION FUND INSTITUTIONAL CLASS	85520V525	CTROX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	CROW POINT SMALL-CAP GROWTH FUND INSTITUTIONAL CLASS	85520V277	GAMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	MATISSE DISCOUNTED CLOSED-END FUND STRATEGY INST CLASS	85520V434	MDCEX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	QCI BALANCED FUND INSTITUTIONAL CLASS	85520V293	QCIBX	No/Low Load	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	QCI BALANCED FUND RETAIL CLASS	85520V285	QCILX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	ROUMELL OPPORTUNISTIC VALUE FUND INSTITUTIONAL SHARES	85520V764	RAMSX	No/Low Load	Initial : 25000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	SECTOR ROTATION FUND	85520V731	NAVFX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NC SHAREHOLDER SERVICES	THE HILLMAN FOCUSED ADVANTAGE FUND	43162P108	HCMAX	No/Low Load	Initial : 5000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NB INTERNATIONAL EQUITY FUND INSTITUTIONAL CLASS	641224811	NBIIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN FOCUS FUND INVESTOR CLASS	641224506	NBSSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN FOCUS FUND TRUST CLASS	640917506	NBFCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN GENESIS FUND INSTL SHARES	641233200	NBGIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN GENESIS FUND INVESTOR CLASS	641224100	NBGNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN GENESIS TRUST CLASS	640917100	NBGEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN GUARDIAN FUND INVESTOR CLASS	641224209	NGUAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN GUARDIAN FUND TRUST CLASS	640917209	NBGTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN LARGE CAP VALUE FUND INVESTOR CLASS	641224407	NPRTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN LARGE CAP VALUE FUND TRUST CLASS	640917407	NBPTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN MID CAP GROWTH FUND INVESTOR CLASS	641224308	NMANN	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN MID CAP GROWTH FUND TRUST CLASS	640917308	NBMTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN MID CAP INTRINSIC VALUE FUND INVESTOR CLASS	641224886	NBRVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN MID CAP INTRINSIC VALUE FUND TRUST CLASS	640917886	NBREX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN REAL ESTATE FUND TRUST CLASS	641224845	NBRFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN SMALL CAP GROWTH FUND INVESTOR CLASS	641224803	NBMIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER & BERMAN SMALL CAP GROWTH FUND TRUST CLASS	640917803	NBMOX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN ABSOLUTE RETURN MULTI-MANAGER FUND CLASS A	64128R871	NABAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN ABSOLUTE RETURN MULTI-MANAGER FUND INSTITUTIONAL CLASS	64128R855	NABIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN COMMODITY STRATEGY FUND CLASS A	64128R707	NRBAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN COMMODITY STRATEGY INSTITUTIONAL CLASS	64128R889	NRBIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN CORE BOND FUND CLASS A	64128K207	NCRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN CORE BOND FUND INSTITUTIONAL CLASS	64128K405	NCRLX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN CORE BOND FUND INVESTOR CLASS	64128K504	NCRIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN DIVIDEND GROWTH FUND CLASS A	64122Q325	NDGAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN DIVIDEND GROWTH FUND INSTITUTIONAL CLASS	64122Q291	NDGIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN EMERGING MARKETS DEBT FUND CLASS A	64128K553	NERAX	Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN EMERGING MARKETS DEBT FUND INSTL	64128K538	NERIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN EMERGING MARKETS EQUITY FD INSTL CL	641224415	NEMIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN EMERGING MARKETS EQUITY FUND CLASS A	641224431	NEMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN EQUITY INCOME FUND CLASS A	641224522	NBMAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN EQUITY INCOME FUND CLASS I	641224498	NBPIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN FLOATING RATE INC FUND INSTITUTIONAL CLASS	64128K694	NFIIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN FLOATING RATE INCOME FUND CLASS A	64128K728	NFIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN FOCUS FUND ADVISOR CLASS	64122M209	NBFAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN FOCUS FUND CLASS A	64122Q879	NFAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN FOCUS FUND INSTITUTIONAL CLASS	64122Q853	NFALX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN GENESIS FUND ADVISOR CLASS	64122M605	NBGAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN GLOBAL ALLOCATION FUND CLASS A	64128R103	NGLAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN GLOBAL ALLOCATION FUND INSTITUTIONAL CLASS	64128R301	NGLUX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN GLOBAL EQUITY FUND CLASS A	64122Q663	NGQAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN GLOBAL REAL ESTATE FUND INST CLASS	64122Q424	NGRIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN GUARDIAN FUND ADVISOR CLASS	64122M308	NBGUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN GUARDIAN FUND CLASS A	641224340	NGDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN GUARDIAN FUND INSTITUTIONAL CLASS	641224290	NGDLX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN HIGH INCOME BOND FD INSTITUTIONAL CLASS	64128K868	NHILX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN HIGH INCOME BOND FD INVESTOR CLASS	64128K850	NHINX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN HIGH INCOME BOND FUND CLASS A	64128K702	NHIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN HIGH INCOME BOND FUND CLASS R6	64128K579	NRHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN INTERNATIONAL EQUITY FUND CLASS A	64122Q598	NIQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN INTERNATIONAL EQUITY FUND INVESTOR CLASS	64122Q564	NIQVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN INTERNATIONAL EQUITY FUND TRUST CLASS	64122Q556	NIQTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN INTERNATIONAL SELECT FUND CLASS A	641224621	NBNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN INTERNATIONAL SELECT FUND INSTITUTIONAL CLASS	641224761	NILIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN INTERNATIONAL SELECT FUND TRUST CLASS	641224753	NILTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN INTERNATIONAL SMALL CAP FUND CLASS A	64122Q275	NIOAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN INTERNATIONAL SMALL CAP FUND INSTITUTIONAL CLASS	64122Q259	NIOIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN INTRINSIC VALUE FUND CLASS A	64122Q507	NINAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN INTRINSIC VALUE FUND INSTITUTIONAL CLASS	64122Q705	NINLX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN LARGE CAP VALUE FD CLASS A	64122Q796	NPNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN LARGE CAP VALUE FD INSTITUTIONAL CLASS	641224787	NBPIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN LONG SHORT FUND CLASS A	64128R400	NLSAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN LONG SHORT FUND INSTITUTIONAL CLASS	64128R608	NLSIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MID CAP GROWTH FUND ADVISOR CLASS	64122M407	NBMBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MID CAP GROWTH FUND CLASS A	641224266	NMGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MID CAP GROWTH FUND INSTITUTIONAL CLASS	641224662	NBMLX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MID CAP INTRINSIC VALUE FUND CLASS A	64122Q739	NBRAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MID CAP INTRINSIC VALUE FUND INSTL CLASS	641224779	NBRTX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MULTI ASSET INC FUND INST CLASS	64128R624	NANIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MULTI-ASSET INCOME FUND CLASS A	64128R640	NANAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MULTI-CAP OPPORTUNITIES CLASS A	64122Q101	NMUAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MULTI-CAP OPPORTUNITIES FUND CLASS I	64122Q309	NMULX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MULTI-STYLE PREMIA FUND CLASS A	64128R491	NMLAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MULTI-STYLE PREMIA FUND INSTITUTIONAL CLASS	64128R475	NMLIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MUNI INTERMEDIATE BOND FD INVESTOR CL	64128K843	NMUIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MUNI INTERMEDIATE BOND FUND CLASS A	64128K686	NMNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MUNICIPAL HIGH INCOME FD INSTL CL	64128K439	NMHIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MUNICIPAL HIGH INCOME FUND CLASS A	64128K454	NMHAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MUNICIPAL IMPACT FUND CLASS A	64128K371	NIMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MUNICIPAL IMPACT FUND INSTITUTIONAL CLASS	64128K587	NMIIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN MUNICIPAL INTERMEDIATE BOND FUND INST CLASS	64128K660	NMNLX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN REAL ESTATE FUND CLASS A	64122Q762	NREAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN REAL ESTATE FUND CLASS R6	64122Q515	NREXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN REAL ESTATE FUND INSTITUTIONAL CLASS	641224795	NBRIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN SHORT DURATION BOND FUND CLASS A	64128K652	NSHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN SHORT DURATION BOND FUND INSTITUTIONAL CLASS	64128K637	NSHLX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN SHORT DURATION BOND INVESTOR CLASS	64128K819	NSBIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN SHORT DURATION BOND TRUST CLASS	64128K785	NSBTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN SHORT DURATION HIGH INCOME FUND CLASS A	64128K629	NHSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN SHORT DURATION HIGH INCOME FUND INSTITUTIONAL CLASS	64128K595	NHSIX	No/Low Load	Initial : 5000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN SMALL CAP GROWTH FD INSTITUTIONAL CL	641224530	NBSMX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN SMALL CAP GROWTH FUND ADVISOR CLASS	641224829	NBMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN SMALL-CAP GROWTH FUND CLASS A	641224225	NSNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN STRATEGIC INCOME FD INSTITUTIONAL CLASS	64128K751	NSTLX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN STRATEGIC INCOME FUND CLASS A	64128K777	NSTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN STRATEGIC INCOME FUND TRUST CLASS	64128K744	NSTTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN U.S. EQUITY INDEX PUTWRITE STRATEGY FD INSTITUTIONAL CL	64128R566	NIPIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN U.S. EQUITY INDEX PUTWRITE STRATEGY FUND CLASS A	64128R582	NUPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN UNCONSTRAINED BOND FUND CLASS A	64128K520	NUBAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN UNCONSTRAINED BOND FUND INSTITUTIONAL CLASS	64128K496	NUBIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	NEUBERGER BERMAN VALUE FUND ADVISOR CLASS	64122M506	NBPBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	SUSTAINABLE EQUITY CLASS A	641224175	NRAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	SUSTAINABLE EQUITY INSTITUTIONAL CLASS	641224654	NBSLX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NEUBERGER BERMAN FUNDS	SUSTAINABLE EQUITY INVESTOR CLASS	641224605	NBSRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NEUBERGER BERMAN FUNDS	SUSTAINABLE EQUITY TRUST CLASS	640917860	NBSTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
NICHOLAS FUNDS	NICHOLAS EQUITY INCOME FUND CLASS I	653734103	NSEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NICHOLAS FUNDS	NICHOLAS FUND	653735100	NICSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NICHOLAS FUNDS	NICHOLAS HIGH INCOME FUND CLASS N	653741207	NMHIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NICHOLAS FUNDS	NICHOLAS HIGH INCOME FUND; INC CLASS I	653741108	NCINX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
NICHOLAS FUNDS	NICHOLAS II FUND CLASS I	653740100	NCTWX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NICHOLAS FUNDS	NICHOLAS II FUND CLASS N	653740209	NNTWX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NICHOLAS FUNDS	NICHOLAS LIMITED EDITION FUND CLASS I	653738104	NCLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NICHOLAS FUNDS	NICHOLAS LIMITED EDITION INC CLASS N	653738203	NNLEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTH COUNTRY FUNDS	NORTH COUNTRY EQUITY GROWTH FUND	65878P106	NCEGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTH COUNTRY FUNDS	NORTH COUNTRY INTERMEDIATE BOND FUND	65878P205	NCBDB	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTH STAR FUNDS	NORTH STAR BOND FUND CLASS I	66538F603	NSBDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTH STAR FUNDS	NORTH STAR DIVIDEND FUND CLASS I	66538A265	NSDVX	No/Low Load	Initial : 5000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTH STAR FUNDS	NORTH STAR MICRO CAP FUND CLASS I	66538A299	NSMVX	No/Low Load	Initial : 5000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTH STAR FUNDS	NORTH STAR OPPORTUNITY FUND CLASS A	66538A877	NSOPX	Load	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTH STAR FUNDS	NORTH STAR OPPORTUNITY FUND CLASS I	66538A869	NSOIX	No/Low Load	Initial : 5000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTHEAST INVESTORS FUNDS	NORTHEAST INVESTORS TRUST	664210101	NTHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 12:00 AM	
NORTHERN LIGHTS TRUST	ATHENA BEHAVIORAL TACTICAL FUND CLASS A	66538B412	ATVAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTHERN LIGHTS TRUST	ATHENA BEHAVIORAL TACTICAL FUND CLASS I	66538B388	ATVIX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTHERN LIGHTS TRUST	DEER PARK TOTAL RETURN CREDIT FUND CLASS A	66537X183	DPFAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTHERN LIGHTS TRUST	DEER PARK TOTAL RETURN CREDIT FUND CLASS I	66537X167	DPFNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTHERN LIGHTS TRUST	EAGLE MLP STRATEGY FUND CLASS A	66537Y322	EGLAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTHERN LIGHTS TRUST	EAGLE MLP STRATEGY FUND CLASS I	66537Y314	EGLIX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTHERN LIGHTS TRUST	EAGLE MLP STRATEGY FUND CLASS N	66539A736	EGLNX	No/Low Load	Initial : 999999.99; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTHERN LIGHTS TRUST	PRINCETON LONG SHORT TREASURY FUND CLASS A	66539A876	PTAAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTHERN LIGHTS TRUST	PRINCETON LONG SHORT TREASURY FUND CLASS I	66539A868	PTAIX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTHERN LIGHTS TRUST	PRINCETON PREMIUM FUND CLASS A	66539A405	PPFAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NORTHERN LIGHTS TRUST	PRINCETON PREMIUM FUND CLASS I	66539A603	PPFIX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUANCE FUNDS	NUANCE CONCENTRATED VALUE FUND INSTITUTIONAL CLASS	56166Y206	NCLVL	No/Low Load	Initial : 5000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUANCE FUNDS	NUANCE CONCENTRATED VALUE FUND INVESTOR CLASS	56166Y602	NCAVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUANCE FUNDS	NUANCE CONCENTRATED VALUE LONG SHORT FUND INST CLASS	56166Y255	NCLSX	No/Low Load	Initial : 5000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUANCE FUNDS	NUANCE CONCENTRATED VALUE LONG SHORT FUND INVESTOR CLASS	56166Y263	NCLIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUANCE FUNDS	NUANCE MID CAP VALUE FUND CLASS Z	56167N712	NMVZX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUANCE FUNDS	NUANCE MIDCAP VALUE FUND INSTITUTIONAL CLASS	56166Y511	NMVLX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUANCE FUNDS	NUANCE MIDCAP VALUE FUND INVESTOR CLASS	56166Y495	NMAVX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN ALL AMERICAN MUNICIPAL BOND CLASS A	67065Q889	FLAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN ALL AMERICAN MUNICIPAL BOND FUND CLASS I	67065Q855	FAARX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN ALL AMERICAN MUNICIPAL BOND FUND CLASS R6	67065Q566	FAAWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN ARIZONA MUNICIPAL BOND FUND CLASS A	67065L104	FAZTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN ARIZONA MUNICIPAL BOND FUND CLASS I	67065L401	NMARX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN CALIFORNIA HIGH YIELD MUNI BOND FUND CLASS A	67065N589	NCHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN CALIFORNIA HIGH YIELD MUNI BOND FUND CLASS I	67065N555	NCHRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN CALIFORNIA INTERMEDIATE MUNICIPAL BOND FUND CLASS A	67065N472	NUCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN CALIFORNIA INTERMEDIATE MUNICIPAL BOND FUND CLASS I	67065N456	NUCIX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN CALIFORNIA MUNICIPAL BD CLASS A	67065N100	NCAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN CALIFORNIA MUNICIPAL BOND FUND CLASS I	67065N407	NCSPX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN COLORADO MUNICIPAL BOND FUND CLASS A	67065L609	FCOTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN COLORADO MUNICIPAL BOND FUND CLASS I	67065L880	FCORX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN CONNECTICUT MUNI BOND CLASS A	67065N886	FCTTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN CONNECTICUT MUNICIPAL BOND FUND CLASS I	67065N852	FCTRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN DIVIDEND VALUE FUND CLASS A	670678887	FFEIF	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN DIVIDEND VALUE FUND CLASS I	670678879	FAQIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN DIVIDEND VALUE FUND CLASS R3	670678531	FEISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN DIVIDEND VALUE FUND CLASS R6	670690130	FFEFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN EMERGING MARKETS EQUITY FUND CLASS A	670713734	NEKAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN EMERGING MARKETS EQUITY FUND CLASS I	670713718	NEKIX	No/Low Load	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN EQUITY LONG/SHORT FUND CLASS A	67065W183	NELAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN EQUITY LONG/SHORT FUND CLASS I	67065W167	NELIX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN EQUITY MARKET NEUTRAL FUND CLASS A	670729763	NMAEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN EQUITY MARKET NEUTRAL FUND CLASS I	670729748	NIMEX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN GEORGIA MUNICIPAL BOND FUND CLASS A	67065P501	FGATX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN GEORGIA MUNICIPAL BOND FUND CLASS I	67065P808	FGARX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN GLOBAL INFRASTRUCTURE FUND CLASS A	670690494	FGIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN GLOBAL INFRASTRUCTURE FUND CLASS I	670690510	FGIYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN GLOBAL INFRASTRUCTURE FUND CLASS R6	670693852	FGIWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN GLOBAL REAL ESTATE SECURITIES FUND CLASS A	670700665	NGIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN GLOBAL REAL ESTATE SECURITIES FUND CLASS I	670700640	NGIIX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN GLOBAL REAL ESTATE SECURITIES FUND CLASS R6	670700632	NGIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN GRESHAM DIVERSIFIED COMMODITY FUND CLASS A	670700871	NGVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN GRESHAM DIVERSIFIED COMMODITY FUND CLASS I	670700855	NGVIX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN GRESHAM MANAGED FUTURES STRATEGY FUND CLASS A	670700616	NGAFX	Load	Initial : 3000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN GRESHAM MANAGED FUTURES STRATEGY FUND CLASS I	670700582	NGIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN HIGH INCOME BOND FUND CLASS R3	670690643	FANSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN HIGH INCOME BOND FUND CLASS A	670678218	FJSIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN HIGH INCOME BOND FUND CLASS I	670678234	FJSYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN HIGH YIELD MUNICIPAL BOND FD CLASS A	67065Q749	NHMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN HIGH YIELD MUNICIPAL BOND FUND CLASS I	67065Q772	NHMRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN HIGH YIELD MUNICIPAL BOND FUND CLASS R6	67065Q558	NHMFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN INTERMEDIATE DURATION MUNICIPAL BOND FUND CLASS A	67065Q202	NMBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN INTERMEDIATE DURATION MUNICIPAL BOND FUND CLASS I	67065Q400	NUVBX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
NUVEEN FUNDS	NUVEEN INTERNATIONAL GROWTH FUND CLASS A	'670725738	NBQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN INTERNATIONAL GROWTH FUND CLASS I	'670725712	NBQIX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN INTERNATIONAL GROWTH FUND CLASS R6	'670713304	NBQFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN INVESTMENT SMALL- CAP VALUE FUND CL I	'670678200	FSCCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN KANSAS MUNICIPAL BOND FUND CLASS A	'67065R101	FKSTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN KANSAS MUNICIPAL BOND FUND CLASS I	'67065R408	FRK5X	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN KENTUCKY MUNICIPAL BOND FUND CLASS A	'67065R507	FKYTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN KENTUCKY MUNICIPAL BOND FUND CLASS I	'67065R804	FKYRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LARGE CAP CORE FUND CLASS A	'670729730	NLACX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LARGE CAP CORE FUND CLASS I	'670729714	NLCIX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LARGE CAP CORE FUND CLASS R6	'670729516	NLCFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LARGE CAP GROWTH FUND CLASS A	'670729664	NLAGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LARGE CAP GROWTH FUND CLASS I	'670729649	NLIGX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LARGE CAP GROWTH FUND CLASS R6	'670729482	NLAFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LARGE CAP SELECT FUND CLASS I	'670690338	FLRYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LARGE CAP VALUE FUND CLASS I	'67064Y800	NNGRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LARGE CAP VALUE FUND CLASS R6	'670729490	NNGFY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LARGE-CAP SELECT FUND CLASS A	'670690296	FLRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LARGE-CAP VALUE FUND CLASS A	'67064Y503	NNGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LIMITED TERM MUNI BOND CLASS A	'67065Q848	FLTDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LIMITED-TERM MUNICIPAL BOND FUND CLASS I	'67065Q822	FLTRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LOUISIANA MUNICIPAL BOND FUND CLASS A	'67065P881	FTLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN LOUISIANA MUNICIPAL BOND FUND CLASS I	'67065P857	FTLRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MARYLAND MUNICIPAL BD CLASS A	'67065L831	NMDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MARYLAND MUNICIPAL BOND FUND CLASS I	'67065L799	NMMDX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MASSACHUSETTS MUNICIPAL BD CLASS A	'67065N845	NMMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MASSACHUSETTS MUNICIPAL BOND FUND CLASS I	'67065N811	NBMAX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MICHIGAN MUNICIPAL BOND FUND CLASS A	'67065R853	FMITX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MICHIGAN MUNICIPAL BOND FUND CLASS I	'67065R820	NM MIX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MID CAP GROWTH OPPORTUNITIES CL A	'670690718	FRSLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MID CAP GROWTH OPPORTUNITIES CL R3	'670690742	FMEYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MID CAP GROWTH OPPORTUNITIES FUND CLASS I	'670690759	FISGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MID CAP GROWTH OPPORTUNITIES FUND CLASS R6	'670690114	FMEFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MID CAP VALUE FUND CLASS R3	'670690882	FMV5X	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MID-CAP VALUE FUND CLASS A	'670678853	FASEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MID-CAP VALUE FUND CLASS I	'670678663	FSEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MINNESOTA INTER TAX FREE FUND CLASS A	'670678713	FAMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MINNESOTA INTER TAX FREE FUND CLASS I	'670678689	FAMTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MINNESOTA MUNICIPAL BOND FUND CLASS I	'670678192	FYMNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MINNESOTA TAX FREE FUND CLASS A	'670678184	FJMNX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MISSOURI MUNICIPAL BOND FUND CLASS A	'67065R812	FMOTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MISSOURI MUNICIPAL BOND FUND CLASS I	'67065R770	FM MRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN MULTI-CAP VALUE FUND CLASS A	'67064Y792	NQVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NEBRASKA TAX-FREE FUND CLASS A	'670678499	FNTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NEBRASKA TAX-FREE FUND CLASS I	'670678523	FNTYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NEW JERSEY MUNICIPAL BOND CLASS A	'67065N753	NNJAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NEW JERSEY MUNICIPAL BOND FUND CLASS I	'67065N720	NMNJX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NEW MEXICO MUNICIPAL BOND FUND CLASS A	'67065L781	FNMTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NEW MEXICO MUNICIPAL BOND FUND CLASS I	'67065L757	FNMRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NEW YORK MUNICIPAL BOND CLASS A	'67065N670	NNYAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NEW YORK MUNICIPAL BOND FUND CLASS I	'67065N647	NTNYX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NORTH CAROLINA MUNICIPAL BOND FUND CLASS A	'67065P840	FLNCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NORTH CAROLINA MUNICIPAL BOND FUND CLASS I	'67065P816	FCNRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW FLEXIBLE INCOME FUND CLASS R6	'670700798	NQWFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW FLEXIBLE INCOME FUND CLASS A	'670700608	NWQAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW FLEXIBLE INCOME FUND CLASS I	'670700806	NWQIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW GLOBAL EQUITY INCOME FUND CLASS A	'67064Y321	NQGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW GLOBAL EQUITY INCOME FUND CLASS I	'67064Y297	NQGIY	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW GLOBAL EQUITY INCOME FUND CLASS R3	'67064Y289	NQGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW INTERNATIONAL VALUE FUND CLASS A	'67065W506	NAIGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW INTERNATIONAL VALUE FUND CLASS I	'67065W803	NGRRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW LARGE CAP VALUE FUND CLASS I	'67064Y586	NQCRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW LARGE CAP VALUE FUND CLASS A	'67064Y628	NQCAQ	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW MULTI-CAP VALUE FUND CLASS I	'67064Y768	NQVRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW SMALL CAP VALUE FUND CLASS A	'67064Y750	NSCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW SMALL CAP VALUE FUND CLASS I	'67064Y727	NSCRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW SMALL MIDCAP VALUE FUND CLASS A	'67064Y578	NSMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW SMALL-CAP VALUE FUND CLASS R6	'670729847	NSCFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW SMALL/ MID CAP VALUE FUND CLASS R6	'670729466	NWQFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN NOW SMALL/ MIDCAP VALUE FUND CLASS I	'67064Y545	NSMRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN OHIO MUNICIPAL BOND FUND CLASS A	'67065R762	FOHTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN OHIO MUNICIPAL BOND FUND CLASS I	'67065R739	NXOHX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN OREGON INTERMEDIATE TAX FREE FD CLASS A	'670678242	FOTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN OREGON INTERMEDIATE TAX FREE FUND CL I	'670678408	FORCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN PENNSYLVANIA MUNICIPAL BOND FUND CLASS A	'67065L740	FPNTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
NUVEEN FUNDS	NUVEEN PENNSYLVANIA MUNICIPAL BOND FUND CLASS I	67065L716	NBPAX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN PREFERRED SECURITIES AND INCOME FUND CLASS A	670700103	NPSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN PREFERRED SECURITIES AND INCOME FUND CLASS I	670700400	NPSRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN PREFERRED SECURITIES AND INCOME FUND CLASS R3	670700509	NPSFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN PREFERRED SECURITIES AND INCOME FUND CLASS R6	670700814	NPSFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN REAL ASSET INCOME FUND CLASS A	670690171	NRIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN REAL ASSET INCOME FUND CLASS I	670690155	NRIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN REAL ASSET INCOME FUND CLASS R6	670693860	NRIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN REAL ESTATE FUND CLASS I	670678507	FARCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN REAL ESTATE SECURITIES FUND CLASS A	670678705	FREAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN REAL ESTATE SECURITIES FUND CLASS R3	670678549	FRSSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN REAL ESTATE SECURITIES FUND CLASS R6	670678119	FREGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SANTA BARBARA DIVIDEND GROWTH FUND CLASS A	67065W662	NSBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SANTA BARBARA DIVIDEND GROWTH FUND CLASS I	67065W639	NSBRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SANTA BARBARA DIVIDEND GROWTH FUND CLASS R3	670725795	NBDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SANTA BARBARA DIVIDEND GROWTH FUND CLASS R6	670725365	NSBFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SANTA BARBARA GLOBAL DIVIDEND GROWTH FUND CLASS A	670725464	NUGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SANTA BARBARA GLOBAL DIVIDEND GROWTH FUND CLASS I	670725449	NUGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SANTA BARBARA INTL DIVIDEND GROWTH FUND CLASS A	670725423	NUIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SANTA BARBARA INTL DIVIDEND GROWTH FUND CLASS I	670725399	NUIIX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SANTA BARBARA INTL DIVIDEND GROWTH FUND CLASS R3	670725381	NUIWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SHORT DURATION HIGH YIELD MUNICIPAL BOND FUND CLASS A	67065Q673	NVHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SHORT DURATION HIGH YIELD MUNICIPAL BOND FUND CLASS I	67065Q699	NVHIX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SHORT TERM MUNICIPAL BOND FUND CLASS A	670690593	FSHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SHORT TERM MUNICIPAL BOND FUND CLASS I	670690486	FSHYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SMALL-CAP GROWTH OPPS FUND CLASS I	670690817	FIMPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SMALL CAP GROWTH OPPORTUNITIES FUND CLASS R6	670693845	FMPFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SMALL CAP SELECT FUND CLASS I	670690874	ARSTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SMALL CAP VALUE FUND CLASS A	670678309	FSKAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SMALL CAP VALUE FUND CLASS R6	670693837	FSWCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SMALL-CAP GROWTH OPPORTUNITIES FD CL A	670690767	FRMPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SMALL-CAP GROWTH OPPORTUNITIES FD CL R3	670690791	FMPYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SMALL-CAP SELECT FUND CLASS A	670690833	EMGRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SMALL-CAP SELECT FUND CLASS R3	670690866	ASEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SMALL-CAP VALUE FUND CLASS R3	670690825	FSVXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRAT CONSERVATIVE ALLOCATION FD CL A	67074V101	FSFIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRAT CONSERVATIVE ALLOCATION FD CL I	67074V200	FSFYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRAT CONSERVATIVE ALLOCATION FD CL R3	67074V507	FSJIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGIC INCOME FUND CLASS A	670678366	FCDDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGIC INCOME FUND CLASS I	670678390	FCBYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGIC INCOME FUND CLASS R3	670678572	FABSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGIC INCOME FUND CLASS R6	670693878	FSFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGIC MUNICIPAL OPPORTUNITIES FUND CLASS A	67065Q590	NSAOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGIC MUNICIPAL OPPORTUNITIES FUND CLASS I	67065Q574	NSIOX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGY AGGRESSIVE GROWTH ALLOCATION FD CL R3	67074V853	FSASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGY AGGRESSIVE GROWTH ALLOCATION FUND CLASS A	67074V861	FAAGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGY AGGRESSIVE GROWTH ALLOCATION FUND CLASS I	67074V820	FSAYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGY BALANCED ALLOCATION FUND CLASS A	67074V606	FSGNX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGY BALANCED ALLOCATION FUND CLASS I	67074V705	FSKYY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGY BALANCED ALLOCATION FUND CLASS R3	67074V879	FSKXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGY GROWTH ALLOCATION FUND CLASS A	67074V812	FSNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGY GROWTH ALLOCATION FUND CLASS I	67074V796	FSGYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN STRATEGY GROWTH ALLOCATION FUND CLASS R3	67074V762	FSNSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SYMPHONY FLOATING RATE INCOME FUND CLASS A	67066D713	NFRAX	Load; FundVest Institutional	Initial : 3000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SYMPHONY FLOATING RATE INCOME FUND CLASS I	67066D689	NFRIX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SYMPHONY FLOATING RATE INCOME FUND CLASS R6	67066D556	NFRFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SYMPHONY HIGH YIELD INCOME FUND CLASS A	67066D754	NCOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SYMPHONY HIGH YIELD INCOME FUND CLASS I	67066D739	NCOIX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN SYMPHONY HIGH YIELD INCOME FUND CLASS R6	67066D564	NCSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN TENNESSEE MUNICIPAL BOND FUND CLASS A	67065P758	FTNTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN TENNESSEE MUNICIPAL BOND FUND CLASS I	67065P725	FTNRX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN VIRGINIA MUNICIPAL BOND FUND CLASS A	67065L690	FVATX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN VIRGINIA MUNICIPAL BOND FUND CLASS I	67065L666	NMVAX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN WINSLOW INTERNATIONAL SMALL CAP FUND CLASS A	670713502	NWAIX	Load; FundVest Institutional	Initial : 3000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN WINSLOW INTERNATIONAL SMALL CAP FUND CLASS I	670713700	NWPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN WINSLOW INTERNATIONAL SMALL CAP FUND CLASS R6	670713809	NWIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN WINSLOW LARGE-CAP GROWTH FUND CLASS A	670725688	NWCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN WINSLOW LARGE-CAP GROWTH FUND CLASS I	670725662	NVLIX	No/Low Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
NUVEEN FUNDS	NUVEEN WINSLOW LARGE-CAP GROWTH FUND CLASS R6	670725373	NWCFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
OAKMARK FUNDS	OAKMARK EQUITY AND INCOME FUND ADVISOR CLASS	413838772	OAYBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
OAKMARK FUNDS	OAKMARK EQUITY AND INCOME FUND INSTITUTIONAL CLASS	413838764	OANBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
OAKMARK FUNDS	OAKMARK FUND ADVISOR CLASS	413838798	OAYMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
OAKMARK FUNDS	OAKMARK FUND INSTITUTIONAL CLASS	413838780	OANMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
OAKMARK FUNDS	OAKMARK GLOBAL FUND ADVISOR CLASS	413838681	OAYGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
OAKMARK FUNDS	OAKMARK GLOBAL FUND INSTITUTIONAL CLASS	413838673	OANGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

Closed to new investors

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus. Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
OAKMARK FUNDS	OAKMARK GLOBAL SELECT FUND ADVISOR CLASS	413838756	OAWWX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	OAKMARK GLOBAL SELECT FUND INSTITUTIONAL CLASS	413838749	OANWX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	OAKMARK GLOBAL SELECT FUND INVESTOR CLASS	413838822	OAKWX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	OAKMARK INTERNATIONAL FUND ADVISOR CLASS	413838731	OAIYX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	OAKMARK INTERNATIONAL FUND INSTITUTIONAL CLASS	413838723	OANIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	OAKMARK INTERNATIONAL SMALL CAP FUND ADVISOR CLASS	413838665	OAEVX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	OAKMARK INTERNATIONAL SMALL CAP FUND INSTITUTIONAL CLASS	413838657	OANEX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	OAKMARK SELECT FUND ADVISOR CLASS	413838715	OAYLX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	OAKMARK SELECT FUND INSTITUTIONAL CLASS	413838699	OANLX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	THE OAKMARK EQUITY AND INCOME FUND INVESTOR CLASS	413838400	OAKBX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	THE OAKMARK FUND INVESTOR CLASS	413838103	OAKMX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	THE OAKMARK GLOBAL FUND INVESTOR CLASS	413838830	OAKGX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	THE OAKMARK INTERNATIONAL FUND INVESTOR CLASS	413838202	OAKIX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	THE OAKMARK INTERNATIONAL SMALL-CAP FUND INVESTOR CLASS	413838509	OAKEV	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OAKMARK FUNDS	THE OAKMARK SELECT FUND INVESTOR CLASS	413838608	OAKLX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS CHINA OPPORTUNITIES FUND	674375407	OBCHX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS CHINA OPPORTUNITIES FUND INSTITUTIONAL CLASS	674375860	OCHIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS EMERGING MARKETS FUND INSTITUTIONAL CLASS	674375845	OIEMX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS EMERGING MARKETS FUND INVESTOR CLASS	674375837	OBEVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS GLOBAL OPPORTUNITIES FUND INSTITUTIONAL CLASS	674375886	OBGIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS GLOBAL OPPORTUNITIES FUND INVESTOR CLASS	674375100	OBEGX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS INTERNATIONAL OPPORTUNITIES FUND	674375506	OBIOX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS INTERNATIONAL OPPORTUNITIES FUND CLASS I	674375704	OBIIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS MICRO CAP FUND INSTITUTIONAL CLASS	674375803	OMICX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS MICRO-CAP FUND	674375209	OBMCX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS SMALL CAP OPPORTUNITIES FUND INSTITUTIONAL CLASS	674375878	OBSIX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS SMALL-CAP OPPORTUNITIES FUND	674375308	OBSOX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS SMALL-CAP VALUE FUND INSTITUTIONAL CLASS	674375852	OBVLX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OBERWEIS FUNDS	OBERWEIS SMALL-CAP VALUE FUND INVESTOR CLASS	674375829	OBIVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ORINDA FUNDS	ORINDA INCOME OPPORTUNITIES FUND CLASS A	74925K144	OIOAX	Load; FundVest Institutional	Initial: 5000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ORINDA FUNDS	ORINDA INCOME OPPORTUNITIES FUND CLASS D	74925K136	OIODX	No/Low Load	Initial: 5000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
ORINDA FUNDS	ORINDA INCOME OPPORTUNITIES FUND CLASS I	74925K151	OIOIX	No/Low Load; FundVest Institutional	Initial: 5000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OSTERWEIS FUNDS	OSTERWEIS EMERGING OPPORTUNITY FUND	74316P744	OSTGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OSTERWEIS FUNDS	OSTERWEIS TOTAL RETURN FUND	74316P736	OSTRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OSTERWEIS FUNDS	THE OSTERWEIS FUND	742935406	OSTFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OSTERWEIS FUNDS	THE OSTERWEIS STRATEGIC INCOME FUND	742935489	OSTIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OSTERWEIS FUNDS	THE OSTERWEIS STRATEGIC INVESTMENT FUND	74316I771	OSTVX	No/Low Load	Initial: 1500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OTTER CREEK FUNDS	OTTER CREEK LONG/SHORT OPPORTUNITY FUND INSTITUTIONAL CLASS	74316J342	OTTRX	No/Low Load	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
OTTER CREEK FUNDS	OTTER CREEK LONG/SHORT OPPORTUNITY FUND INVESTOR CLASS	74316J334	OTCRX	No/Low Load	Initial: 2500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC ADVISORS FUNDS	PACIFIC ADVISORS BALANCED FUND CLASS A	694336306	PAABX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC ADVISORS FUNDS	PACIFIC ADVISORS INCOME AND EQUITY FUND CLASS A	694336207	PADIX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC ADVISORS FUNDS	PACIFIC ADVISORS LARGE CAP VALUE FUND CLASS A	694336884	PAGTX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC ADVISORS FUNDS	PACIFIC ADVISORS MID CAP VALUE FUND CLASS A	694336868	PAMVX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC ADVISORS FUNDS	PACIFIC ADVISORS SMALL CAP VALUE FUND CLASS I	694336843	PGISX	No/Low Load; FundVest Institutional	Initial: 1000000.0; Sub: 500.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC ADVISORS FUNDS	PACIFIC ADVISORS SMALL-CAP VALUE FUND CLASS A	694336405	PASMX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO 30 PLUS FUND CLASS R	66538J605	PFSEX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO AGGRESSIVE 30 PLUS FUND CLASS R	66538J704	PFLWX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO ALTERNATIVE 0-15 FUND CLASS R	66538J811	PFAOX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO DYNAMIC 0-10 FUND CLASS R	66538J878	PFDOX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO DYNAMIC 15-25 FUND CLASS R	66538J860	PFDPX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO DYNAMIC 20-30 FUND CLASS R	66538J852	PFJDX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO PFG 0-15 FUND CLASS R	66538J829	PFADX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO PFG 30 PLUS FUND CLASS R	66538J506	PFSMX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO PFG AGGRESSIVE 30 PLUS FUND CLASS R	66538J407	PFSUX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO PFG BALANCED 20-30 FUND CLASS R	66538J845	PFDVX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO PFG EQUITY 30 PLUS FUND CLASS R	66538J803	PFDEX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO PFG GLOBAL 30 PLUS FUND CLASS R	66538J886	PFDGX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PACIFIC FINANCIAL FUNDS	RISKPRO TACTICAL 0-30 FUND CLASS R	66538J837	PFTFX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARADIGM FUNDS	PARADIGM MICRO-CAP FUND	69901E500	PVIVX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARADIGM FUNDS	PARADIGM OPPORTUNITY FUND	69901E203	PFOPX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARADIGM FUNDS	PARADIGM SELECT FUND	69901E302	PFLSX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARADIGM FUNDS	PARADIGM VALUE FUND	69901E104	PVFX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARNASSUS FUNDS	PARNASSUS CORE EQUITY FUND INSTITUTIONAL CLASS	701769408	PRLX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARNASSUS FUNDS	PARNASSUS CORE EQUITY FUND INVESTOR CLASS	701769101	PRBLX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARNASSUS FUNDS	PARNASSUS ENDEAVOR FUND	701765869	PARWX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARNASSUS FUNDS	PARNASSUS ENDEAVOR FUND INSTITUTIONAL CLASS	701765406	PFVWX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARNASSUS FUNDS	PARNASSUS FIXED INCOME FUND	701769200	PRFIX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARNASSUS FUNDS	PARNASSUS FIXED INCOME FUND INSTITUTIONAL CLASS	701765703	PFLPX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARNASSUS FUNDS	PARNASSUS FUND	701765109	PARNX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARNASSUS FUNDS	PARNASSUS FUND INSTITUTIONAL CLASS	701765307	PFRPX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARNASSUS FUNDS	PARNASSUS MID CAP FUND INSTITUTIONAL CLASS	701765505	PFPVX	No/Low Load	Initial: 1000000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PARNASSUS FUNDS	PARNASSUS MID-CAP FUND	701765885	PARMX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PAYDEN & RYSEL FUNDS	PAYDEN & RYSEL ABSOLUTE RETURN BOND FUND INVESTOR CL	70432T107	PYARX	No/Low Load	Initial: 2000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PAYDEN & RYSEL FUNDS	PAYDEN & RYSEL CA MUNICIPAL INCOME FUND INVESTOR CLASS	704329515	PYCRX	No/Low Load	Initial: 5000.0; Sub: 250.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
PAYDEN & RYSEL FUNDS	PAYDEN & RYSEL CORE BOND FUND ADVISER CLASS	704329333	PYCWX	No/Low Load; FundVest Focus	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or "Class A" funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL CORE BOND FUND INVESTOR CLASS	704329408	PYCBX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL CORPORATE BOND FUND INVESTOR CLASS	704329366	PYACX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL EMERGING MARKETS BOND FUND ADVISER CLASS	704329325	PYEWX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL EMERGING MARKETS BOND FUND INST CLASS	704329242	PYEXE	No/Low Load	Initial : 9999999.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL EMERGING MARKETS BOND FUND INVESTOR CLASS	704329531	PYEMX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL EMERGING MARKETS CORPORATE BOND FUND INVESTOR CLASS	704329234	PYCEX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL EMERGING MARKETS LOCAL BOND FUND INVESTOR CLASS	704329275	PYELX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL EQUITY INCOME FUND ADVISER CLASS	704329259	PYVAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL EQUITY INCOME FUND INVESTOR CLASS	704329739	PYVLX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL FLOATING RATE FUND INVESTOR CLASS	704329226	PYFRX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL GLOBAL FIXED INCOME FUND INVESTOR CLASS	704329101	PYGFV	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL GLOBAL LOW DURATION FUND INVESTOR CLASS	704329697	PYGSX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL GNMA FUND INVESTOR CLASS	704329473	PYGNX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL HIGH INCOME FUND INVESTOR CLASS	704329572	PYHRX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL LIMITED MATURITY FUND INVESTOR CLASS	704329606	PYLMX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL LOW DURATION FUND INVESTOR CLASS	704329200	PYSBX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL P/K CASH BALANCE PLAN FUND ADVISER CLASS	70432R101	PKCBX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL P/K CASH BALANCE PLAN FUND INSTL CLASS	70432R200	PKBIX	No/Low Load	Initial : 9999999.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL P/K CASH BALANCE PLAN FUND RETIREMENT CLASS	704329358	PKCRX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN & RYGEL U.S. GOVERNMENT FUND INVESTOR CLASS	704329796	PYUSX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PAYDEN & RYGEL FUNDS	PAYDEN STRATEGIC INCOME FUND INVESTOR CLASS	704329168	PYSGX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PEAR TREE FUNDS	PEAR TREE PANAGORA EMERGING MARKETS FUND INSTITUTIONAL CLASS	70472Q872	QEMAX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PEAR TREE FUNDS	PEAR TREE PANAGORA EMERGING MARKETS FUND ORDINARY SHARES	70472Q880	QFQFO	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PEAR TREE FUNDS	PEAR TREE POLARIS SMALL CAP FUND INSTITUTIONAL SHARES	70472Q302	QBNAX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PEAR TREE FUNDS	PEAR TREE POLARIS SMALL CAP FUND ORDINARY SHARES	70472Q401	USBNX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PEAR TREE FUNDS	PEAR TREE QUALITY FUND INSTITUTIONAL FUND	70472Q104	QGIAX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PEAR TREE FUNDS	PEAR TREE QUALITY FUND ORDINARY SHARES	70472Q203	USBOX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PENN CAPITAL FUNDS	PENN CAPITAL DEFENSIVE FLOATING RATE INCOME FUND INST CLASS	707269700	PFRNX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PENN CAPITAL FUNDS	PENN CAPITAL DEFENSIVE SHORT DURATION HIGH INCOME FD INST CL	707269882	PSHNX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PENN CAPITAL FUNDS	PENN CAPITAL MANAGED ALPHA SMID CAP EQUITY FUND INST CLASS	707269106	PSMPX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PENN CAPITAL FUNDS	PENN CAPITAL MULTI-CREDIT HIGH INCOME FUND INSTITUTIONAL CLASS	707269502	PHYNX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PENN CAPITAL FUNDS	PENN CAPITAL SPECIAL SITUATIONS SMALL CAP EQUITY FUND INST CLASS	707269304	PSNCX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERFORMANCE TRUST FUNDS	PERFORMANCE TRUST MUNICIPAL BOND FUND CLASS A	89833W162	PTRMX	Load; FundVest Institutional	Initial : 1000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERFORMANCE TRUST FUNDS	PERFORMANCE TRUST MUNICIPAL BOND FUND INSTITUTIONAL CLASS	89833W170	PTIMX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERFORMANCE TRUST FUNDS	PERFORMANCE TRUST STRATEGIC BOND FUND CLASS A	89833W121	PTAOX	Load; FundVest Institutional	Initial : 1000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERFORMANCE TRUST FUNDS	PERFORMANCE TRUST STRATEGIC BOND FUND INSTITUTIONAL CLASS	89833W394	PTIAX	No/Low Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERMANENT FUNDS	PERMANENT AGGRESSIVE GROWTH PORTFOLIO FUND CLASS A	714199346	PAGDX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERMANENT FUNDS	PERMANENT PORTFOLIO AGGRESSIVE GROWTH FUND CLASS I	714199304	PAGRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERMANENT FUNDS	PERMANENT PORTFOLIO FUND CLASS A	714199148	PRPDX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERMANENT FUNDS	PERMANENT PORTFOLIO FUND CLASS I	714199106	PRPFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERMANENT FUNDS	PERMANENT PORTFOLIO TREASURY BILL FUND CLASS I	714199205	PRTBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERMANENT FUNDS	PERMANENT PORTFOLIO VERSATILE BOND FUND CLASS I	714199403	PRVBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERMANENT FUNDS	PERMANENT VESATILE BOND PORTFOLIO FUND CLASS A	714199445	PRVDX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERRITT FUNDS	PERRITT MICROCAP OPPORTUNITIES FUND	714402203	PRCGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERRITT FUNDS	PERRITT ULTRA MICROCAP FUND	714402104	PREOX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PERSIMMON FUNDS	PERSIMMON LONG/SHORT FUND CLASS I	66538E770	LSEIX	No/Low Load	Initial : 100000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PFS FUNDS	BRETTON FUND	71709W500	BRNTX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PFS FUNDS	CASTLE FOCUS FUND INVESTOR CLASS	71709W302	MOATX	No/Low Load; FundVest Focus	Initial : 4000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PFS FUNDS	CHRISTOPHER WEIL & CO. CORE INVESTMENT FUND	71709W807	CWCFX	No/Low Load; FundVest Focus	Initial : 3500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PFS FUNDS	THE WIRELESS FUND	71709W203	WIREX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIA FUNDS	PIA BBB BOND FUND MANAGED ACCOUNT COMPLETION SHARES	007989577	PBBBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIA FUNDS	PIA HIGH YIELD FUND INSTITUTIONAL CLASS	007989163	PHYSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIA FUNDS	PIA HIGH YIELD MANAGED ACCOUNT COMPLETION SHARES FUND	00770X378	PIAMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIA FUNDS	PIA MBS BOND FUND MANAGED ACCOUNT COMPLETION SHARES	007989494	PMTGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIA FUNDS	PIA SHORT-TERM SECURITIES FUND	007989551	PIASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO ALL ASSET ALL AUTHORITY FUND CLASS A	72200Q232	PAUAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO ALL ASSET ALL AUTHORITY FUND CLASS I-2	72201M438	PAUPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO ALL ASSET ALL AUTHORITY FUND CLASS I-3	72202E518	PAUNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO ALL ASSET ALL AUTHORITY FUND INSTITUTIONAL SHARES	72200Q182	PAUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO ALL ASSET FUND ADMIN CLASS	722005618	PAALX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO ALL ASSET FUND CLASS A	72200Q711	PASAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO ALL ASSET FUND CLASS I-2	72201M867	PALPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO ALL ASSET FUND CLASS I-3	72202E492	PAANX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO ALL ASSET FUND INSTITUTIONAL CLASS	722005626	PAAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO CA INTERM MUNICIPAL BOND FUND CLASS A	693389785	PCMBX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO CA SHORT DURATION MUNI FUND CLASS A	72201F649	PCDAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO CALIFORNIA INTERMEDIATE MUNICIPAL BOND FUND CLASS I-2	72201M859	PCIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO CALIFORNIA INTERMEDIATE MUNICIPAL BOND FUND INSTITUTIONAL CLASS	693389769	PCIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO CALIFORNIA MUNICIPAL BOND FUND CLASS A	72201U877	PCTTX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO CALIFORNIA MUNICIPAL BOND FUND CLASS I-2	72201U885	PCTPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO CALIFORNIA MUNICIPAL BOND FUND INSTITUTIONAL CLASS	72201U802	PCTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO CALIFORNIA SHORT DURATION MUNI INCOME FUND INSTL CL	72201F656	PCDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO CALIFORNIA SHORT DURATION MUNICIPAL INCOME FUND CLASS I-2	72201M420	PCDPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO COMMODITIES PLUS STRATEGY FUND CLASS A	72201P159	PCLAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO COMMODITIES PLUS STRATEGY FUND CLASS I-2	72201P167	PCLPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PIMCO FUNDS	PIMCO COMMODITIES PLUS STRATEGY FUND CLASS I-3	72202E484	PCLNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO COMMODITIES PLUS STRATEGY FUND INSTITUTIONAL CLASS	72201P175	PCLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO COMMODITIESPLUS STRATEGY FUND ADMINISTRATIVE CLASS	72202E104	PCPSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO COMMODITY REAL RETURN STRATEGY FUND A	722005584	PCRAA	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO COMMODITY REAL RETURN STRATEGY FUND ADMIN CLASS	722005659	PCRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS I-2	72201M842	PCRPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS I-3	72202E476	PCRNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO COMMODITY REAL RETURN STRATEGY FUND INSTITUTIONAL CLASS	722005667	PCRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO CREDIT OPPORTUNITIES BOND FUND CLASS A	72201W451	PZCRX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO CREDIT OPPORTUNITIES BOND FUND CLASS I-2	72201W428	PPCRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO CREDIT OPPORTUNITIES BOND FUND INSTL CLASS	72201W394	PCARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO DIVERSIFIED INCOME FUND CLASS A	72200Q661	PDVAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO DIVERSIFIED INCOME FUND CLASS I-2	72201M826	PDVFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO DIVERSIFIED INCOME FUND CLASS I-3	72202E468	PDNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO DIVERSIFIED INCOME FUND INSTITUTIONAL CLASS	693391880	PDIIH	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO DIVIDEND AND INCOME FUND CLASS A	72201T748	PQIZX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO DIVIDEND AND INCOME FUND CLASS I-2	72201T714	PQIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO DIVIDEND AND INCOME FUND INSTITUTIONAL CLASS	72201T672	PQIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO DYNAMIC BOND FUND CLASS A	72201M479	PUBAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO DYNAMIC BOND FUND CLASS I-2	72201M453	PUCPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO DYNAMIC BOND FUND CLASS I-3	72202E179	PFNUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO DYNAMIC BOND FUND INSTL CLASS	72201M487	PFLUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERG MKRTS CURRENCY AND SHORT- TERM INVESTS FUND CLASS A	72201F102	PLMAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERG MKRTS CURRENCY AND SHORT- TERM INVESTS FUND INSTL CL	72201F409	PLMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERGING MARKETS BOND FUND CLASS A	693391575	PAEMX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERGING MARKETS BOND FUND CLASS I-2	72201M818	PEMPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERGING MARKETS BOND FUND CLASS I-3	72202E443	PEBNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERGING MARKETS BOND FUND INSTL CL	693391559	PEBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERGING MARKETS CORPORATE BOND FUND INSTL CL	72201P522	PEMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERGING MARKETS CURRENCY AND SHORT TERM INVESTS FUND CL I-2	72201M834	PLMPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERGING MARKETS FULL SPECTRUM BOND FUND INSTITUTIONAL CLASS	72201U562	PFSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERGING MARKETS LOCAL CURRENCY AND BOND FUND CLASS A	72201F425	PELAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERGING MARKETS LOCAL CURRENCY AND BOND FUND CLASS I2	72201M396	PELPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERGING MARKETS LOCAL CURRENCY AND BOND FUND CLASS I3	72202E450	PELNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMERGING MARKETS LOCAL CURRENCY AND BOND FUND INSTL CLASS	72201F516	PELBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EMG INTL LOW VOLATILITY RAFI-PLUS AR FUND INSTITUTIONAL CLASS	72201U380	PLVLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EQS LONG /SHORT FUND CLASS I-3	72202L355	PMHNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EQS LONG/SHORT FUND CLASS A	72201T581	PMHAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EQS LONG/SHORT FUND CLASS I-2	72201T524	PMHBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EQS LONG/SHORT FUND INSTITUTIONAL CLASS	72201T540	PMHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EXTENDED DURATION FUND CLASS I-2	72201M388	PEDPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO EXTENDED DURATION FUND INSTITUTIONAL CLASS	72201F599	PEDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO FLEXIBLE CREDIT INCOME FUND CLASS A	72202M205	PFFLX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO FLEXIBLE CREDIT INCOME FUND INSTITUTIONAL CLASS	72202M106	PFFLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO FLEXIBLE MUNICIPAL INCOME FUND INSTITUTIONAL CLASS	72203E103	PMFLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO FUNDAMENTAL ADVANTAGE ABSOLUTE RETURN STRATEGY FUND INST CLASS	72201F110	PFATX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO FUNDAMENTAL ADVANTAGE PLUS FUND CLASS I-2	72201W105	PFAPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL ADVANTAGE STRATEGY BOND FD INSTL CLASS	72201M446	PSAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL ADVANTAGE STRATEGY BOND FUND CLASS A	72201M321	PGSAX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL ADVANTAGE STRATEGY BOND FUND CLASS I-2	72201P886	PGBPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL BOND OPPORT FUND CL A (U.S. DOLLAR-HEGDED)	693390346	PAIIX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL BOND OPPORT FUND CL I-2 (U.S. DOLLAR-HEGDED)	72201M750	PGNPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL BOND OPPORT FUND INSTL CL (U.S. DOLLAR- HEGDED)	693390130	PGBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL BOND OPPORTUNITIES FUND ADMIN (U.S. DOLLAR- HEGDED)	693390148	PGDAX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL BOND OPPORTUNITIES FUND ADMIN CLASS (UNHEGDED)	693390684	PADMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL BOND OPPORTUNITIES FUND INSTL CLASS (UNHEGDED)	693390874	PICLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL BOND PPORTUNITIES FUND CLASS A (UNHEGDED)	72202G356	PAGPX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL CORE ASSET ALLOCATION FUND CLASS A	72201P407	PGMAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL CORE ASSET ALLOCATION FUND CLASS I-2	72201P605	PGAPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GLOBAL CORE ASSET ALLOCATION FUND INSTITUTIONAL CLASS	72201P100	PGAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GNMA AND GOVERNMENT SECURITIES FUND CL I-2	72201M743	PPGNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GNMA AND GOVERNMENT SECURITIES FUND CLASS I3	72202G349	PANNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GNMA AND GOVERNMENT SECURITIES FUND INSTL CL	693391450	PDPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GNMA AND GOVERNMENT SECURITIES FUND SECURITIES FUND	693391476	PAGNX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GOVERNMENT MONEY MARKET FUND ADMINISTRATIVE CLASS	72202E526	PGOXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GOVERNMENT MONEY MARKET FUND CLASS I-2	72201P795	PGPPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GOVERNMENT MONEY MARKET FUND INSTITUTIONAL CLASS	72202E534	PGVXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GURTIN CALIFORNIA MUNICIPAL INTERMEDIATE VALUE FUND INSTL CLASS	72202G331	GCMVX	No/Low Load	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO GURTIN NATIONAL MUNICIPAL INTERMEDIATE VALUE FUND INST CLASS	72202G315	GMMVX	No/Low Load	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO HIGH YIELD CLASS A	693390379	PHDAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO HIGH YIELD FUND CLASS I-2	72201M735	PHLPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO HIGH YIELD FUND CLASS I-3	72202E161	PHNNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO HIGH YIELD FUND INSTITUTIONAL CLASS	693390841	PHIYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO HIGH YIELD MUNICIPAL BOND FUND CLASS A	72201F730	PYMAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO HIGH YIELD MUNICIPAL BOND FUND CLASS I-2	72201M727	PYMPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PIMCO FUNDS	PIMCO HIGH YIELD MUNICIPAL FUND INST CLASS	72201F672	PHMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO HIGH YIELD SPECTRUM FUND CLASS A	72201W600	PHSAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO HIGH YIELD SPECTRUM FUND CLASS I-2	72201W303	PHSPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO HIGH YIELD SPECTRUM FUND CLASS I-3	72202E419	PHFNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO HIGH YIELD SPECTRUM FUND INSTITUTIONAL CLASS	72201W204	PHSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO HIGH-YIELD FUND (ADMIN SHARES)	693390650	PHYAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INCOME FUND ADMIN CLASS	72201F482	PIHNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INCOME FUND CLASS A	72201F474	PONAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INCOME FUND CLASS I-2	72201M719	PONPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INCOME FUND CLASS I-3	72202E393	PIPNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INCOME FUND INSTITUTIONAL CLASS	72201F490	PIMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INFLATION RESPONSE MULTI-ASSET FUND CLASS A	72201W386	PZRMX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INFLATION RESPONSE MULTI-ASSET FUND CLASS I-2	72201W352	PPRMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INFLATION RESPONSE MULTI-ASSET FUND INST CLASS	72201W337	PIRMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INTERNATIONAL BOND FUND (U.S. DOLLAR-HEDGED) CLASS I-3	72202E435	PFONX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INTERNATIONAL BOND FUND (UNHEDGED) CLASS I-3	72202E427	PFUNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INTERNATIONAL BOND FUND ADMIN CL (U.S. DOLLAR-HEDGED)	693390692	PFPRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INTERNATIONAL BOND FUND ADMIN CLASS (UNHEDGED)	72201F771	PFUUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INTERNATIONAL BOND FUND CLASS A (U.S. DOLLAR-HEDGED)	693391245	PFOAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INTERNATIONAL BOND FUND CLASS A (UNHEDGED)	722005196	PFUAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INTERNATIONAL BOND FUND CLASS I-2 (UNHEDGED)	72201M776	PFUPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INTERNATIONAL BOND FUND CLASS I-2 (US DOLLAR-HEDGED)	72201M784	PFBPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INTERNATIONAL BOND FUND INST CLASS (UNHEDGED)	722005220	PFUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INTERNATIONAL BOND FUND INSTL CL (U.S. DOLLAR-HEDGED)	693390882	PFORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INTERNATIONAL LOW VOLATILITY RAFI-PLUS AR FUND INSTITUTIONAL CLASS	72201U273	PLVTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INTERNATIONAL STOCKSPUR AR STRATEGY FUND (UNHEDGED) INST CL	72201F573	PSKIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INVESTMENT GRADE CREDIT BOND FUND ADMIN CLASS	722005592	PGCAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INVESTMENT GRADE CREDIT BOND FUND CLASS A	722008307	PBDAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INVESTMENT GRADE CREDIT BOND FUND CLASS I-2	72201M685	PBDPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INVESTMENT GRADE CREDIT BOND FUND CLASS I-3	72202E385	PCNNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO INVESTMENT GRADE CREDIT BOND FUND INSTL CLASS	722005816	PIGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LONG DURATION TOTAL RETURN BOND FUND CLASS A	72202G372	PLRAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LONG DURATION TOTAL RETURN FD INSTL CL	72201F623	PLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LONG DURATION TOTAL RETURN FUND CLASS I2	72201M362	PLRPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LONG TERM U.S. GOVT CLASS A	693391187	PFGAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LONG-TERM CREDIT BOND FUND CLASS I-2	72201P621	PLCPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LONG-TERM CREDIT BOND FUND INSTITUTIONAL CLASS	72201P647	PTCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LONG-TERM REAL RETURN FUND CLASS I-2	72201W816	PRTPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LONG-TERM REAL RETURN FUND INSTL CLASS	72200Q505	PRAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LONG-TERM U.S. GOVERNMENT FUND (ADMIN SHARES)	693390775	PLGBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LONG-TERM U.S. GOVERNMENT FUND CLASS I-2	72201M677	PLTPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LONG-TERM U.S. GOVERNMENT FUND INSTITUTIONAL CLASS	693390205	PGOVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION CLASS A	693390411	PTLAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION ESG FUND CLASS I-2	72201W824	PLUPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION ESG FUND CLASS INST	693390858	PLDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION FUND (ADMIN SHARES)	693390767	PLDAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION FUND CLASS I-2	72201M669	PLDPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION FUND CLASS I-3	72202E377	PLTNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION FUND INSTITUTIONAL CLASS	693390304	PLTDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION II FUND (ADMIN SHARES)	693390668	PDFAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION II FUND INSTITUTIONAL CLASS	693390791	PLDTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION INCOME FUND CLASS A	722005162	PFIAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION INCOME FUND CLASS I-2	72201M792	PFTPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION INCOME FUND CLASS I-3	72202E369	PFNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW DURATION INCOME FUND INSTITUTIONAL CLASS	722005170	PFHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO LOW VOLATILITY RAFI-PLUS AR FUND INSTITUTIONAL CLASS	72201U331	PILVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MODERATE DURATION FUND CLASS I-2	72201P233	PMOPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MODERATE DURATION FUND INSTITUTIONAL CLASS	693390593	PMDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MORTGAGE BACKED SECURITIES FUND CLASS I-3	72202E344	PSANX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MORTGAGE OPPORTUNITIES AND BOND FUND CLASS A	72201U679	PMZAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MORTGAGE OPPORTUNITIES AND BOND FUND CLASS I-2	72201U646	PMZPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MORTGAGE OPPORTUNITIES AND BOND FUND CLASS I-3	72202E351	PMZNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MORTGAGE OPPORTUNITIES AND BOND FUND INSTL CLASS	72201U638	PMZIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MORTGAGE-BACKED SECURITIES FD CL A	693391526	PMRAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MORTGAGE-BACKED SECURITIES FD CL I2	72201M651	PMRPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MORTGAGE-BACKED SECURITIES FUND INST CLASS	693391500	PTRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MULTI-STRATEGY ALTERNATIVE FUND CLASS A	72202E799	PXAXX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MULTI-STRATEGY ALTERNATIVE FUND CLASS I-2	72202E831	PXAPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MULTI-STRATEGY ALTERNATIVE FUND INSTITUTIONAL CLASS	72202E849	PXAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MUNICIPAL BOND FUND CLASS A	693391617	PMLAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MUNICIPAL BOND FUND CLASS I-2	72201M644	PMUPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO MUNICIPAL BOND FUND INSTITUTIONAL CLASS	693391658	PFMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO NATIONAL INTERMEDIATE MUNICIPAL BOND FUND CLASS A	72201U307	PMNTX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO NATIONAL INTERMEDIATE MUNICIPAL BOND FUND CLASS I-2	72201U208	PMNPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO NATIONAL INTERMEDIATE MUNICIPAL BOND FUND INSTITUTIONAL CLASS	72201U109	PMNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PIMCO FUNDS	PIMCO NEW YORK MUNICIPAL BOND FUND INSTITUTIONAL CLASS	693389710	PNVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO NY INTERM MUNICIPAL BOND FUND CLASS A	693389736	PNVAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO NY MUNICIPAL BOND FUND CLASS I-2	72201M347	PNYPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO PREFERRED AND CAPITAL SECURITIES FUND CL A	72202E666	PFANX	Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO PREFERRED AND CAPITAL SECURITIES FUND CLASS I-2	72202E658	PFPNX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO PREFERRED AND CAPITAL SECURITIES FUND CLASS I-3	72202E336	PFNNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO PREFERRED AND CAPITAL SECURITIES FUND INSTL CL	72202E682	PFINX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE EMERGING MARKETS FUND CLASS A	72202L678	PEAFX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE EMERGING MARKETS FUND CLASS I-2	72202L652	PEPFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE EMERGING MARKETS FUND INSTL CLASS	72202L645	PEIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE FUNDAMENTAL ADVANTAGE PLUS FUND CLASS A	72201M164	PTFAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE GLOBAL EX-U.S. FUND CLASS A	72202L587	PZCLAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE GLOBAL EX-U.S. FUND CLASS I-2	72202L561	PZRPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE GLOBAL EX-U.S. FUND INSTL CLASS	72202L553	PZRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE GLOBAL FUND CLASS A	72202L637	PFOAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE GLOBAL FUND CLASS I-2	72202L611	PFOPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE GLOBAL FUND INSTITUTIONAL CLASS	72202L595	PFOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE INTERNATIONAL FUND CLASS A	72202L546	PPYAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE INTERNATIONAL FUND CLASS I-2	72202L520	PPYPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE INTERNATIONAL FUND INSTL CLASS	72202L512	PPYIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE LOW VOLATILITY PLUS FUND CLASS A	72201U372	PXLVX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE LOW VOLATILITY PLUS INTERNATIONAL FUND CLASS I-2	72201U281	PLVZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS EMG FUND CLASS A	72201U539	PEFFX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS EMG FUND CLASS I-2	72201M115	PEFPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS EMG FUND INST CLASS	72201M131	PEFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS FUND ADMIN CLASS	72201F839	PXTAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS FUND CLASS A	72201F888	PIXAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS FUND CLASS I-2	72201M768	PIXPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS FUND CLASS I-3	72202E328	PXTNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS FUND INSTL CLASS	72201F854	PXTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS INTERNATIONAL FUND CLASS A	72201W139	PTSIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS INTERNATIONAL FUND CLASS I-2	72201U232	PTPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS INTERNATIONAL FUND INSTL CLASS	72201W667	PTSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS SMALL FUND CLASS A	72201U265	PCFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS SMALL FUND CLASS I-2	72201U224	PCCPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE PLUS SMALL FUND INSTL CLASS	72201W675	PCFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE U.S. FUND CLASS A	72202L496	PKAAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE U.S. FUND CLASS I-2	72202L470	PKAPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE U.S. FUND INSTITUTIONAL CLASS	72202L462	PKAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE U.S. SMALL FUND CLASS A	72202L454	PMJAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE U.S. SMALL FUND CLASS I-2	72202L439	PMJPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO RAE U.S. SMALL FUND INSTITUTIONAL CLASS	72202L421	PMJIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REAL ESTATE REAL RETURN STRATEGY FUND CLASS I-2	72201M628	PETPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REAL ESTATE REAL RETURN STRATEGY FUND CLASS A	72200Q299	PETAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REAL ESTATE REAL RETURN STRATEGY FUND CLASS I-3	72202E294	PNNRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REAL ESTATE REAL RETURN STRATEGY FUND INSTITUTIONAL CLASS	72200Q257	PRRXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REAL RETURN FUND (ADMIN SHARES)	693391112	PARRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REAL RETURN FUND CLASS A	693391120	PRTNX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REAL RETURN FUND CLASS I-2	72201M636	PRLPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REAL RETURN FUND CLASS I-3	72202E310	PRNPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REAL RETURN FUND INSTITUTIONAL CLASS	693391104	PRRXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2020 FUND ADMINISTRATIVE CLASS	72202L504	PBZDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2020 FUND CLASS A	72202L405	PBZAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2020 FUND INSTITUTIONAL CLASS	72202L603	PBZNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2025 FUND ADMINISTRATIVE CLASS	72202L801	PPZDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2025 FUND CLASS A	72202L702	PPZAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2025 FUND INSTITUTIONAL CLASS	72202L884	PPZRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2030 FUND ADMINISTRATIVE CLASS	72202L868	PBPRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2030 FUND CLASS A	72202L876	PBPAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2030 FUND INSTITUTIONAL CLASS	72202L850	PBPNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2035 FUND ADMINISTRATIVE CLASS	72202L835	PDGDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2035 FUND CLASS A	72202L843	PDGAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2035 FUND INSTITUTIONAL CLASS	72202L827	PDGZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2040 FUND ADMINISTRATIVE CLASS	72202L793	PVPRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2040 FUND CLASS A	72202L819	PVPAJ	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2040 FUND INSTITUTIONAL CLASS	72202L785	PVPNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2045 FUND ADMINISTRATIVE CLASS	72202L769	PVQDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2045 FUND CLASS A	72202L777	PVQAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2045 FUND INSTITUTIONAL CLASS	72202L751	PVQNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2050 FUND ADMINISTRATIVE CLASS	72202L736	PPQDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2050 FUND CLASS A	72202L744	PPQAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2050 FUND INSTITUTIONAL CLASS	72202L728	PPQZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2055 FUND ADMINISTRATIVE CLASS	72202L694	PRQDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2055 FUND CLASS A	72202L710	PRQAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND 2055 FUND INSTITUTIONAL CLASS	72202L686	PRQZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PIMCO FUNDS	PIMCO REALPATH BLEND INCOME FUND ADMINISTRATIVE CLASS	72202L207	PBRDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND INCOME FUND CLASS A	72202L108	PBRAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO REALPATH BLEND INCOME FUND INSTITUTIONAL CLASS	72202L306	PBRNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SENIOR FLOATING RATE FUND CLASS A	72201W758	PSRZX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SENIOR FLOATING RATE FUND CLASS I-2	72201W782	PSRPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SENIOR FLOATING RATE FUND INSTITUTIONAL CLASS	72201W790	PSRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT ASSET INVESTMENT FUND ADMINISTRATIVE CLASS	72201U786	PAIQX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT ASSET INVESTMENT FUND CLASS A	72201U794	PAIAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT ASSET INVESTMENT FUND CLASS I-2	72201U810	PAIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT ASSET INVESTMENT FUND CLASS I-3	72202E286	PANDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT ASSET INVESTMENT FUND INSTITUTIONAL CLASS	72201U828	PAIDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT DURATION MUNI INCOME FUND CLASS A	693389843	PSDAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT DURATION MUNICIPAL INCOME FUND INSTITUTIONAL CLASS	693389827	PSDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT TERM CLASS A	693391211	PSHAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT TERM FUND CLASS I-2	72201M594	PTSPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT-DURATION MUNI INCOME FUND CLASS I2	72201M610	PSDPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT-TERM FUND (ADMIN SHARES)	693390734	PSFAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT-TERM FUND CLASS I-3	72202E278	PTSNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SHORT-TERM FUND INSTITUTIONAL CLASS	693390601	PTSHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO SMALL CAP STOCKPLUS AR STRATEGY FUND ADMINISTRATIVE CLASS	72201U216	PCKTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKPLUS INTERNATIONAL FUND (UNHEDGED) CLASS A	72201F557	PPUAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKPLUS INTERNATIONAL FUND (UNHEDGED) CLASS I2	72201M693	PPLPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKPLUS INTERNATIONAL FUND CLASS A (US DOLLAR HEDGED)	72200Q430	PIPAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKPLUS INTERNATIONAL FUND CLASS I-2 (US DOLLAR HEDGED)	72201M370	PIUHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKPLUS INTERNATIONAL FUND INSTITUTIONAL CLASS (US DOLLAR HEDGED)	72200Q380	PISIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKPLUS LONG DURATION FUND INSTITUTIONAL CLASS	72201F433	PSLDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKPLUS SMALL FUND CLASS A	72201F698	PCKAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKPLUS SMALL FUND CLASS I-2	72201M586	PCKPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKS PLUS FUND (ADMIN SHARES)	693390759	PPLAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKS PLUS FUND INSTITUTIONAL CLASS	693390403	PSSTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS ABSOLUTE RETURN FD CLASS A	72200Q620	PTOAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS ABSOLUTE RETURN FD CLASS I-2	72201M560	PTOPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS ABSOLUTE RETURN FD INSTITUTIONAL CLASS	722005642	PSPTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS ABSOLUTE RETURN FUND CLASS I-3	72202E260	PSPNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS AR SHORT STRATEGY FUND CLASS A	72201F763	PSAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS CLASS A	693391393	PSPAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS FUND CLASS I-2	72201M578	PSKPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS FUND CLASS I-3	72202E252	PSNTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS INTERNATIONAL FUND (U.S. DOLLAR-HEDGED) CLASS I-3	72202E245	PISNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS INTERNATIONAL FUND (UNHEDGED) CLASS I-3	72202E237	PSKNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS SHORT FUND CLASS I-2	72201M339	PSPLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS SHORT FUND CLASS I-3	72202E229	PSNNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS SHORT FUND INSTITUTIONAL CLASS	693390486	PSITX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STOCKSPLUS SMALL FUND CLASS I-3	72202E211	PSNSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STRATEGIC BOND FUND CLASS A	72201P738	ATMAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STRATEGIC BOND FUND CLASS I-2	72201P753	PUTPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO STRATEGIC BOND FUND INST CLASS	72201P746	PUTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN CLASS A	693390445	PTTAX	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN ESG FUND ADMIN CLASS	693390627	PRFAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN ESG FUND CLASS I-2	72201P597	PRAPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN ESG FUND CLASS INSTL	693390866	PTSAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN FUND (ADMIN SHARES)	693390726	PTRAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN FUND CLASS I-2	72201M552	PTTPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN FUND CLASS I-3	72202E195	PTTNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN FUND II CLASS I-2	72201P258	PMTPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN FUND INSTITUTIONAL CLASS	693390700	PTTRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN FUND IV INSTITUTIONAL CLASS	72201W717	PTUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN II FUND (ADMIN SHARES)	693390544	PRADX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN II FUND INSTITUTIONAL CLASS	693390551	PMBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TOTAL RETURN IV FUND CLASS A	72201W691	PTUZX	Load; FundVest Institutional	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TRENDS MANAGED FUTURES STRATEGY FUND CL I-3	72202E187	PQTNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TRENDS MANAGED FUTURES STRATEGY FUND CLASS A	72201U497	PQTXA	Load; FundVest Institutional	Initial : 250.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TRENDS MANAGED FUTURES STRATEGY FUND CLASS I-2	72201U463	PQTPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO TRENDS MANAGED FUTURES STRATEGY FUND INSTITUTIONAL CLASS	72201U455	PQTIQ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIMCO FUNDS	PIMCO WORLDWIDE LONG/SHORT FUNDAMENTAL STRATEGY FUND INST	72202E609	PWLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PINNACLE FUNDS	PINNACLE DYNAMIC GROWTH FUND CLASS A	66538R805	PADGX	Load	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PINNACLE FUNDS	PINNACLE DYNAMIC GROWTH FUND CLASS I	66538R870	PIDGX	No/Low Load	Initial : 1000000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PINNACLE FUNDS	PINNACLE SHERMAN MULTI-STRATEGY CORE FUND CLASS A	66538G452	APSHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PINNACLE FUNDS	PINNACLE SHERMAN MULTI-STRATEGY CORE FUND CLASS I	66538G437	IPSHX	No/Low Load	Initial : 1000000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PINNACLE FUNDS	PINNACLE SHERMAN TACTICAL ALLOCATION FUND CLASS A	66538E564	PTAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PINNACLE FUNDS	PINNACLE SHERMAN TACTICAL ALLOCATION FUND CLASS I	66538E549	PTIFX	No/Low Load	Initial : 1000000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PINNACLE FUNDS	PINNACLE TRENDING INNOVATIVE EQUITY FUND CLASS A	66538R862	APTRX	Load	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PINNACLE FUNDS	PINNACLE TRENDING INNOVATIVE EQUITY FUND CLASS I	66538R847	IPTRX	No/Low Load	Initial : 1000000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER AMT-FREE MUNICIPAL FUND CLASS A	72387W705	PBMFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PIONEER FUNDS	PIONEER AMT-FREE MUNICIPAL FUND CLASS Y	72387W747	PBYMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER BALANCED ESG FUND CLASS A	72387P106	AOBLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER BALANCED ESG FUND CLASS Y	72387P403	AYBLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER BOND FUND CLASS A	723622106	PIOBX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER BOND FUND CLASS R	723622502	PBFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER BOND FUND CLASS Y	723622403	PICYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER CORE EQUITY FUND CLASS A	724010103	PIOTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER CORE EQUITY FUND CLASS Y	724010509	PVFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER DISCIPLINED GROWTH FUND CLASS A	723922100	PINDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER DISCIPLINED GROWTH FUND CLASS Y	723922407	INVDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER DISCIPLINED VALUE FUND CLASS A	72387X109	CVFCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER DISCIPLINED VALUE FUND CLASS R	72387X505	CVRFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER DISCIPLINED VALUE FUND CLASS Y	72387X406	CVFYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER DYNAMIC CREDIT FUND CLASS A	72388E100	RCRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER DYNAMIC CREDIT FUND CLASS Y	72388E308	RCRYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER EQUITY INCOME FUND CLASS A	72366V108	PEQIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER EQUITY INCOME FUND CLASS R	72366V504	PQIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER EQUITY INCOME FUND CLASS Y	72366V405	PYEQX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER FLEXIBLE OPPORTUNITIES FUND CLASS A	72387S407	PMARX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER FLEXIBLE OPPORTUNITIES FUND CLASS Y	72387S605	PMYRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER FLOATING RATE FUND CL Y	72387S308	FLYRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER FLOATING RATE FUND CLASS A	72387S100	FLARX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER FUND CLASS A	723682100	PIODX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER FUND CLASS R	723682506	PIORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER FUND CLASS Y	723682407	PYODX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER FUNDAMENTAL GROWTH FUND CLASS A	723695102	PIGFY	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER FUNDAMENTAL GROWTH FUND CLASS R	723695508	PFGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER FUNDAMENTAL GROWTH FUND CLASS Y	723695409	FUNYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER GLOBAL EQUITY FUND CLASS A	72387N705	GLOSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER GLOBAL EQUITY FUND CLASS R	72387N655	PRGEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER GLOBAL EQUITY FUND CLASS Y	72387N788	PGSYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER GLOBAL HIGH YIELD FUND CLASS A	72369G108	PGHYX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER GLOBAL HIGH YIELD Y	72369G405	GHHYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER GLOBAL MULTISECTOR INCOME FUND CLASS A	72388C104	PGABX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER GLOBAL MULTISECTOR INCOME FUND CLASS Y	72388C302	PGYBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER HIGH INCOME MUNICIPAL FUND CLASS A	72387N846	PIMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER HIGH INCOME MUNICIPAL FUND CLASS Y	72387N820	HIMYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER HIGH YIELD FUND CLASS A	72369B109	TAHYX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER HIGH YIELD FUND CLASS R	72369B505	TYHRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER HIGH YIELD FUND CLASS Y	72369B406	TYHYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER ILS INTERVAL FUND COMMON CLASS	72369L107	XILSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER INTERNATIONAL EQUITY FUND CLASS A	723709101	PIIFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER INTERNATIONAL EQUITY FUND CLASS Y	723709507	INYYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER MID CAP VALUE FUND CLASS R	72375Q504	PCMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER MID-CAP VALUE FUND CLASS A	72375Q108	PCGRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER MID-CAP VALUE FUND CLASS Y	72375Q405	PCYCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER MULTI ASSET INCOME FUND CLASS R	72387P593	PMFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER MULTI-ASSET INCOME FUND CLASS A	72387P643	PMAIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER MULTI-ASSET INCOME FUND CLASS Y	72387P627	PMFYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER MULTI-ASSET REAL RETURN FUND CLASS R	72387S886	MUARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER MULTI-ASSET ULTRASHORT INCOME FUND CLASS A	72388E407	MAFRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER MULTI-ASSET ULTRASHORT INCOME FUND CLASS Y	72388E605	MYFRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER REAL ESTATE FUND CLASS Y	723848404	PYREX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER REAL ESTATE SHARES CLASS A	723848107	PWREX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER SELECT MID CAP GROWTH FUND CLASS A	72387W408	PGOFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER SELECT MID CAP GROWTH FUND CLASS R	72387W739	PGRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER SELECT MID CAP GROWTH FUND CLASS Y	72387W762	GROYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER SHORT-TERM INCOME FUND CLASS A	72387U105	STABX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER SHORT-TERM INCOME FUND CLASS Y	72387U402	PSHYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER SOLUTIONS BALANCED FUND CLASS A	723556106	PIALX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER SOLUTIONS BALANCED FUND CLASS Y	723556825	IMOYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER STRATEGIC INCOME FUND CLASS A	723884102	PSRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER STRATEGIC INCOME FUND CLASS R	723884508	STRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER STRATEGIC INCOME FUND CLASS Y	723884409	STRYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER U.S. CORPORATE HIGH YIELD FUND CLASS Y	72387N622	HYCYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER U.S. GOV'T MONEY MARKET FUND CLASS A	723755104	PMTXX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PIONEER FUNDS	PIONEER U.S. GOVERNMENT MONEY MARKET FUND CLASS Y	723755609	PRYXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PMC FUNDS	PMC CORE FIXED INCOME FUND	89833W816	PMFXX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PMC FUNDS	PMC CORE FIXED INCOME FUND CLASS I	89834G802	PMFQX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PMC FUNDS	PMC DIVERSIFIED EQUITY FUND	89833W618	PMDEX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PMC FUNDS	PMC DIVERSIFIED EQUITY FUND CLASS I	89834G885	PMDQX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC BALANCED ALLOCATION FUND CLASS A	69351J710	PBAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC BALANCED ALLOCATION FUND CLASS I	69351J736	PBLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC EMERGING MARKETS EQUITY FUND CLASS A	69351K568	PAEFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC EMERGING MARKETS EQUITY FUND CLASS I	69351K550	PIEFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PNC FUNDS	PNC GOVERNMENT MONEY MARKET FUND ADVISOR CLASS	69351K618	PAGXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC INTERMEDIATE TAX EXEMPT BOND FUND CLASS A	69351J678	PTBIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC INTERMEDIATE TAX EXEMPT BOND FUND CLASS I	69351J694	PTIIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC INTERNATIONAL EQUITY FUND CLASS A	69351J306	PMIEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC INTERNATIONAL EQUITY FUND CLASS I	69351J108	PIIUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC INTERNATIONAL GROWTH FUND CLASS A	69351K584	PIGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC INTERNATIONAL GROWTH FUND CLASS I	69351K592	PIGDY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC MULTI-FACTOR ALL CAP FUND CLASS A	69351J603	PLEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC MULTI-FACTOR ALL CAP FUND CLASS I	69351J405	PLEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC MULTI-FACTOR LARGE CAP GROWTH FUND CLASS A	69351J249	PEWAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC MULTI-FACTOR LARGE CAP GROWTH FUND CLASS I	69351J256	PEWIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC MULTI-FACTOR LARGE CAP VALUE FUND CLASS A	69351K105	PLVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC MULTI-FACTOR LARGE CAP VALUE FUND CLASS I	69351K303	PLVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC MULTI-FACTOR SMALL CAP CORE FUND CLASS A	69351J389	PLOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC MULTI-FACTOR SMALL CAP CORE FUND CLASS I	69351J413	PLPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC MULTI-FACTOR SMALL CAP GROWTH FUND CLASS A	69351J421	PLWAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC MULTI-FACTOR SMALL CAP GROWTH FUND CLASS I	69351J447	PLTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC MULTI-FACTOR SMALL CAP VALUE FUND CLASS A	69351J264	PMRRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC MULTI-FACTOR SMALL CAP VALUE FUND CLASS I	69351J280	PMUIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC SMALL CAP FUND CLASS A	69351J298	PPCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC SMALL CAP FUND CLASS I	69351J322	PPCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC TAX-EXEMPT LIMITED MATURITY BOND CLASS I	69351K881	PDLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC TAX-EXEMPT LIMITED MATURITY BOND FUND CLASS A	69351K709	PDLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
PNC FUNDS	PNC TOTAL RETURN ADVANTAGE FUND CLASS A	69351J777	PTVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC TOTAL RETURN ADVANTAGE FUND CLASS I	69351J793	PTVIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC TREASURY MONEY MARKET FUND CLASS A	69351J199	PRAXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC ULTRA SHORT BOND CLASS A	69351J520	PSBAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PNC FUNDS	PNC ULTRA SHORT BOND FUND CLASS I	69351J538	PNCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POPLAR FOREST FUNDS	POPLAR FOREST CORNERSTONE FUND CLASS A	00770X543	PFCFX	Load	Initial : 25000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POPLAR FOREST FUNDS	POPLAR FOREST CORNERSTONE FUND INSTITUTIONAL CLASS	00770X535	IPFCX	No/Low Load	Initial : 1000000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POPLAR FOREST FUNDS	POPLAR FOREST PARTNERS FUND CLASS A	00768D814	PFPFX	Load; FundVest Institutional	Initial : 25000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POPLAR FOREST FUNDS	POPLAR FOREST PARTNERS FUND INSTITUTIONAL CLASS	00768D798	IPFPX	No/Low Load	Initial : 1000000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PORTFOLIO 21 FUNDS	PORTFOLIO 21 FUND CLASS R	742935588	PORTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PORTFOLIO 21 FUNDS	PORTFOLIO 21 INSTITUTIONAL CLASS	742935356	PORIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PORTFOLIO 21 FUNDS	TRILLIUM SMALL MID CAP FUND INSTITUTIONAL CLASS	74316P785	TSMDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POWER INCOME FUND	POWER DIVIDEND INDEX FUND CLASS A	66538B834	PWDAX	Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POWER INCOME FUND	POWER DIVIDEND INDEX FUND CLASS I	66538B826	PWDIX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POWER INCOME FUND	POWER DIVIDEND MID CAP INDEX FUND CLASS A	66538I761	DMCAX	Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POWER INCOME FUND	POWER DIVIDEND MID CAP INDEX FUND CLASS I	66538I746	DMCIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POWER INCOME FUND	POWER FLOATING RATE INDEX FUND CLASS A	66538I795	FLOAX	Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POWER INCOME FUND	POWER FLOATING RATE INDEX FUND CLASS I	66538I779	FLOTX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POWER INCOME FUND	POWER GLOBAL TACTICAL ALLOCATION JA FORLINES FUND CLASS A	66538I662	GTAAX	Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POWER INCOME FUND	POWER GLOBAL TACTICAL ALLOCATION JA FORLINES FUND CLASS I	66538I647	GTAIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POWER INCOME FUND	POWER INCOME FUND CLASS A	66537V294	PWRAX	Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POWER INCOME FUND	POWER INCOME FUND CLASS I	66537V278	PWRIX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POWER INCOME FUND	POWER MOMENTUM INDEX FUND CLASS A	66539A108	MOJAX	Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
POWER INCOME FUND	POWER MOMENTUM INDEX FUND CLASS I	66539A306	MOJIX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRIMECAP ODYSSEY FUNDS	PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND	74160Q202	POAGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
PRIMECAP ODYSSEY FUNDS	PRIMECAP ODYSSEY GROWTH FUND	74160Q103	POGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRIMECAP ODYSSEY FUNDS	PRIMECAP ODYSSEY STOCK FUND	74160Q301	POSKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PFI FINISTERRE UNCONSTRAINED EMERGING MARKETS FUND CLASS A	74255L191	PFUEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PFI FINISTERRE UNCONSTRAINED EMERGING MARKETS FUND CLASS I	74255L175	PFUMX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL BLUE CHIP FUND CLASS A	74255L472	PBLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL BLUE CHIP FUND CLASS I	74255L589	PBCIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL BLUE CHIP FUND CLASS J	74257B100	PBCJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL BLUE CHIP FUND CLASS R6	74256W535	PGBHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL BOND MARKET INDEX FUND CLASS J	742553134	PBIJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL BOND MARKET INDEX FUND INSTITUTIONAL CLASS	742553316	PNIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL CALIFORNIA MUNICIPAL FD CLASS A	74254V695	SRMCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL CALIFORNIA MUNICIPAL FUND CLASS I	742537459	PCMFIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL CAPITAL APPRECIATION FUND CLASS A	74254V349	CMNWX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL CAPITAL APPRECIATION FUND CLASS I	74254U432	PWCIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL CAPITAL SECURITIES FUND CLASS S	742537202	PCSFY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL CORE PLUS BOND FUND CLASS A	74254T245	PRBDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL CORE PLUS BOND FUND CLASS I	74253M159	PMSIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL CORE PLUS BOND FUND CLASS J	74253M167	PBMJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL DIVERSIFIED INT'L FUND CLASS I	74253Q879	PIIIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL DIVERSIFIED INTERNATIONAL FUND CLASS J	74253Q887	PIIUX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL DIVERSIFIED INTL FUND CLASS A	74254T328	PRWLX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL DIVERSIFIED REAL ASSET FUND CLASS A	74254V182	PRDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL DIVERSIFIED REAL ASSET FUND CLASS I	74254V166	PDRDX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL DIVERSIFIED REAL ASSET FUND CLASS R6	742537467	PDRAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL EDGE MIDCAP FUND CLASS A	74257B308	PEMCX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL EDGE MIDCAP FUND CLASS I	742537426	PEDEX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL EDGE MIDCAP FUND CLASS R6	74256W527	PEDMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PRINCIPAL FUNDS	PRINCIPAL EQUITY INC OME FUND CLASS J	74257B209	PEIJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL EQUITY INCOME FUND CLASS A	74254V869	PQIAIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL EQUITY INCOME FUND CLASS I	74254U499	PEIIX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GLOBAL DIVERSIFIED INCOME FUND CLASS A	74254V224	PGBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GLOBAL DIVERSIFIED INCOME FUND CLASS I	74254V232	PGDIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GLOBAL DIVERSIFIED INCOME FUND CLASS R6	742537244	PGBLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GLOBAL MULTI STRATEGY FUND CLASS A	74255L720	PMSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GLOBAL MULTI STRATEGY FUND CLASS I	74255L696	PSMIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GLOBAL MULTI-STRATEGY FUND CLASS R6	742537236	PGLSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GLOBAL OPPORTUNITIES FUND CLASS A	74255L449	PGLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GLOBAL OPPORTUNITIES FUND CLASS I	742537103	PGOIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GLOBAL REAL ESTATE SEC FUND INSTL CLASS	74254V273	POSIIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GLOBAL REAL ESTATE SECURITIES FUND CL A	74254V299	POSAIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GLOBAL REAL ESTATE SECURITIES FUND CLASS R6	742537624	PGRSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GOVERNMENT & HIGH QUALITY BOND FD CL A	74254V372	CMPGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GOVERNMENT & HIGH QUALITY BOND FD CL I	74254U457	PMRIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL GOVERNMENT & HIGH QUALITY BOND FD CL J	742553514	PMRJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL HIGH INCOME FUND CLASS A	74255L498	PYHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL HIGH INCOME FUND CLASS I	74254R637	PYHIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL HIGH YIELD CLASS I	74254U481	PHYTX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL HIGH YIELD FUND CLASS A	74254V661	CPHYX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL HIGH YIELD FUND CLASS R6	74256W626	PHYFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INCOME FUND CLASS A	74254V638	CMPIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INCOME FUND CLASS I	74254U473	PIOIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INCOME FUND CLASS J	742553449	PIOJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INCOME FUND CLASS R6	742537616	PICNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INFLATION PROTECTION FUND CLASS A	74254T146	PITAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INFLATION PROTECTION FUND CLASS I	74254T815	PIPIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INFLATION PROTECTION FUND CLASS J	74254T823	PIPJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INT'L EQUITY INDEX FUND INSTL CLASS	742553324	PIDIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INTERNATIONAL EMERGING MARKETS FUND CLASS J	74253Q705	PIEIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INTERNATIONAL EMERGING MARKETS FUND CLASS R6	74256W618	PIIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INTERNATIONAL EQUITY INDEX FUND CLASS R6	74256W519	PFIEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INTERNATIONAL FUND I CLASS A	742537707	PFAFX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INTERNATIONAL FUND I CLASS R6	74256W592	PIIDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INTERNATIONAL I FUND INSTL CLASS	74253Q226	PINIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INTERNATIONAL SMALL COMPANY FUND CLASS A	742537855	PICAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INTERNATIONAL SMALL COMPANY FUND CLASS I	742537475	PISMX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INTERNATIONAL SMALL COMPANY FUND CLASS R6	74256W493	PFISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INTERNATIONAL VALUE I FD INSTL CL	742553571	PINZX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INTL EMERGING MARKETS FUND CLASS A	74254T294	PRIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LARGE CAP GROWTH FUND I CLASS R6	742537590	PLCGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LARGE CAP GROWTH FUND I CLASS A	74255L480	PLGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LARGE CAP GROWTH FUND I CLASS I	742537174	PLGIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LARGE CAP GROWTH FUND I CLASS J	74253Q481	PLGJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LARGE CAP S&P 500 INDEX FUND CLASS A	74254T476	PLSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LARGE CAP S&P 500 INDEX FUND CLASS I	74253Q788	PLFIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LARGE CAP S&P 500 INDEX FUND CLASS J	74253Q796	PSPIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LARGE CAP VALUE FUND III CLASS I	742536177	PLVIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LARGE CAP VALUE FUND III CLASS J	74253M738	PLVJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFE TIME HYBRID 2015 FUND CLASS I	74255L365	PHTMX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFE TIME HYBRID 2020 FUND CLASS I	74255L332	PHTTX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFE TIME HYBRID 2025 FUND CLASS I	74255L290	PHTQX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFE TIME HYBRID 2030 FUND CLASS I	74255L266	PHTNX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFE TIME HYBRID 2035 FUND CLASS I	74255L233	PHTJX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFE TIME HYBRID 2040 FUND CLASS I	742537780	PLTOX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFE TIME HYBRID 2045 FUND CLASS I	742537756	PHTYX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFE TIME HYBRID 2050 FUND CLASS I	742537723	PHTUX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFE TIME HYBRID 2055 FUND CLASS I	742537681	PLTNX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFE TIME HYBRID 2060 FUND CLASS I	742537657	PLTHX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFE TIME HYBRID INCOME FUND CLASS I	74255L399	PHTFX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2010 FUND CLASS A	74254T120	PENAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2010 FUND CLASS J	74253M530	PTAJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2010 FUND INSTITUTIONAL CLASS	74253M548	PTTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2020 FUND CLASS A	74254U101	PTBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2020 FUND CLASS J	74253M472	PLFIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2020 FUND INSTITUTIONAL CLASS	74253M464	PLWIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2030 FUND CLASS A	74254U309	PTCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2030 FUND CLASS I	74253M415	PLTIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2030 FUND INSTITUTIONAL CLASS	74253M399	PMTIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2040 FUND CLASS A	74254U507	PTDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2040 FUND CLASS J	74253M340	PTDJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2040 FUND INSTITUTIONAL CLASS	74253M332	PTDIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2050 FUND CLASS A	74254U705	PPEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2050 FUND CLASS J	74253M274	PFLIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus. Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2050 FUND INSTITUTIONAL CLASS	74253M266	PPLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2060 FUND CLASS I	74255L563	PLTZ	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2060 FUND CLASS J	74255L571	PLTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME 2065 FUND INSTITUTIONAL CLASS	74256W238	PLIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2015 FUND CLASS R6	74256W105	PLRR	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2015 FUND INSTITUTIONAL CLASS	742553605	LTNX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2020 FUND CLASS R6	74256W204	PLTT	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2025 FUND CLASS R6	74256W303	PLFT	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2030 FUND CLASS R6	74256W402	PLTZ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2035 FUND CLASS R6	74256W501	PLRT	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2035 FUND INSTITUTIONAL CLASS	742553720	LTUX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2040 FUND CLASS R6	74256W600	PLMT	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2045 FUND CLASS R6	74256W709	PLNT	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2045 FUND INSTITUTIONAL CLASS	742553746	LTRX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2050 FUND CLASS R6	74256W808	PLTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2055 FUND CLASS R6	74256W881	PLHT	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2055 FUND INSTITUTIONAL CLASS	742553712	LTFX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2060 FUND CLASS R6	74256W873	PLKT	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID 2065 FUND INSTITUTIONAL CLASS	74256W162	PLHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME HYBRID INCOME FUND CLASS R6	74256W865	PLTY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME STRATEGIC INCOME CLASS J	74253M217	PLSX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME STRATEGIC INCOME FUND CLASS A	74254T138	PALT	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL LIFETIME STRATEGIC INCOME FUND INSTITUTIONAL CLASS	74253M191	PLSX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL MID CAP S&P 400 INDEX FUND CLASS R6	74256W576	PMAFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL MID-CAP VALUE I FUND CLASS A	74257B662	PCMVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL MID-CAP VALUE I FUND CLASS R6	74257B654	PCMSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL MIDCAP FUND CLASS A	74254T443	PEMGX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
PRINCIPAL FUNDS	PRINCIPAL MIDCAP FUND CLASS J	74253Q754	PMBJ	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
PRINCIPAL FUNDS	PRINCIPAL MIDCAP FUND CLASS R6	74256W584	PMAGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
PRINCIPAL FUNDS	PRINCIPAL MIDCAP FUND INSTITUTIONAL CLASS	74253Q747	PCBX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
PRINCIPAL FUNDS	PRINCIPAL MIDCAP GROWTH FUND CLASS I	74253Q721	PGWIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL MIDCAP GROWTH FUND CLASS J	74253Q739	PMGIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL MIDCAP GROWTH FUND III CLASS I	74253Q614	PMIMX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL MIDCAP GROWTH FUND III CLASS J	74253Q622	PPQIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL MIDCAP S&P 400 INDEX FUND CLASS I	74253Q697	MPSIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL MIDCAP S&P 400 INDEX FUND CLASS J	74253Q713	PMFJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL MIDCAP VALUE I FUND CLASS I	74253Q192	PVMIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL MIDCAP VALUE I FUND CLASS J	742553464	PVEJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL MONEY MARKET FUND CLASS J	74253Q663	PMJXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL OPPORTUNISTIC MUNICIPAL FUND CLASS A	74255L639	PMOAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL ORIGIN EMERGING MARKETS FUND CLASS A	742537517	POEYX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL ORIGIN EMERGING MARKETS FUND CLASS I	742537491	POEIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL ORIGIN EMERGING MARKETS FUND CLASS R6	742537483	POEFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL REAL ESTATE SECURITIES FD CL I	74253Q580	PIREX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL REAL ESTATE SECURITIES FUND CLASS A	74254T278	PRRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL REAL ESTATE SECURITIES FUND CLASS J	74253Q598	PREJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL REAL ESTATE SECURITIES FUND CLASS R6	74256W568	PFRSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM BALANCED PORTFOLIO CLASS A	74254V547	SABPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM BALANCED PORTFOLIO FUND CLASS I	74254U424	PSBIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM BALANCED PORTFOLIO FUND CLASS J	74254U416	PSAJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM CONS BALANCED PORTFOLIO FUND CL I	74254U341	PCCIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM CONS BALANCED PORTFOLIO FUND CL J	74254U333	PCBJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM CONSERV GROWTH PORTFOLIO FUND CL I	74254V315	PCWIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM CONSERVATIVE BALANCED PORT CL A	74254V513	SAIPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM CONSERVATIVE GROWTH PORT FD CL A	74254V471	SAGPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM CONSERVATIVE GROWTH PORTFOLIO FUND CL J	74254U267	PCGJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM FLEXIBLE INCOME PORTFOLIO FUND CL A	74254V448	SAUPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM FLEXIBLE INCOME PORTFOLIO FUND CL I	74254U192	PIFIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM FLEXIBLE INCOME PORTFOLIO FUND CL J	74254U184	PFJIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM STRATEGIC GROWTH PORTFOLIO FD CLASS A	74254V414	SACAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM STRATEGIC GROWTH PORTFOLIO FUND CL I	74254V109	PSWIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SAM STRATEGIC GROWTH PORTFOLIO FUND CL J	74254V208	PSWJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SHORT TERM INCOME FUND CLASS J	74255L605	PSJIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SHORT- TERM INCOME FUND CLASS I	74254U440	PSHIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SHORT-TERM INCOME FUND CLASS A	74254V562	SRHQX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALL CAP FUND CLASS R6	74256W550	PSMLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALL CAP GROWTH FUND I CLASS R6	742537574	PCSMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALL CAP S&P 600 INDEX FUND CLASS R6	74256W543	PSPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALL CAP VALUE FUND II CLASS R6	742537566	PSMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALL CAP VALUE II FUND INSTITUTIONAL SHARES	74254R694	PPVIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALL MID CAP DIVIDEND INCOME FUND CLASS A	74255L753	PMDAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALL MID CAP DIVIDEND INCOME FUND CLASS I	74255L738	PMDIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALL MID CAP DIVIDEND INCOME FUND CLASS R6	74256W469	PMDHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALL-MIDCAP GROWTH FUND INSTITUTIONAL CLASS	74257B647	PSMHX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALLCAP FUND CLASS A	74254T369	PLLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus. Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PRINCIPAL FUNDS	PRINCIPAL SMALLCAP FUND CLASS I	74253Q564	PSLX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALLCAP FUND CLASS J	74253Q572	PSBJ	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALLCAP GROWTH FUND I CLASS I	74253J461	PGRTX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALLCAP GROWTH FUND I CLASS J	74253M837	PSJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALLCAP S&P 600 INDEX FUND CLASS I	74253Q523	PSIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALLCAP S&P 600 INDEX FUND CLASS J	74253Q531	PSJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALLCAP VALUE FUND II CLASS A	742537509	PSVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SMALLCAP VALUE II FUND CLASS J	742553456	PSMJX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SPECTRUM PREFERRED AND CAPITAL SECURITIES INCOME FUND CL A	74254T252	PPSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SPECTRUM PREFERRED AND CAPITAL SECURITIES INCOME FUND CL I	74253Q416	PPSIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SPECTRUM PREFERRED AND CAPITAL SECURITIES INCOME FUND CL J	74253Q184	PPSIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SPECTRUM PREFERRED AND CAPITAL SECURITIES INCOME FUND CL R6	74256W485	PPREX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SYSTEMATEX INTERNATIONAL FUND CLASS I	742537368	PSOMX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL SYSTEMATEX INTERNATIONAL FUND CLASS R6	742537350	PSMTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL TAX EXEMPT BOND FUND CLASS A	74254V802	PTEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL TAX EXEMPT BOND FUND INSTITUTIONAL CLASS	742537434	PITEX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL INTL EMERGING MKTS FUND CLASS I	74253Q804	PIEIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PRINCIPAL FUNDS	PRINCIPAL OPPORTUNISTIC MUNICIPAL FUND CLASS I	742537442	POMFX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PROBABILITIES FUNDS	PROBABILITIES FUND CLASS A	66538B727	PROAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PROBABILITIES FUNDS	PROBABILITIES FUND CLASS I	66538B792	PROTX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PSI FUNDS	PSI ALL ASSET FUND CLASS A	66537V211	FXMAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PSI FUNDS	PSI STRATEGIC GROWTH FUND CLASS A	66537V187	FXSAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PSI FUNDS	PSI TACTICAL GROWTH FUND CLASS A	66537V179	FXTAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	GEORGE PUTNAM BALANCED FUND CLASS A	37252M108	PGEOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	GEORGE PUTNAM BALANCED FUND CLASS M	37252M405	PGEOM	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	GEORGE PUTNAM BALANCED FUND CLASS Y	37252M603	PGEYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM AMT-FREE MUNICIPAL FUND CLASS A	746872308	PPNAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM AMT-FREE MUNICIPAL FUND CLASS M	746872605	PPMTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM AMT-FREE MUNICIPAL FUND CLASS Y	746872886	PAMYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM CALIFORNIA TAX EXEMPT INCOME FUND CLASS Y	746449305	PCYIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM CALIFORNIA TAX-EXEMPT INCOME FUND CLASS A	74645A301	PCTEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM CALIFORNIA TAX-EXEMPT INCOME FUND CLASS M	74645A509	PCLMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM CAPITAL SPECTRUM FUND CLASS A	74676P102	PVSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM CAPITAL SPECTRUM FUND CLASS M	74676P136	PVSMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM CAPITAL SPECTRUM FUND CLASS R	74676P144	PVSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM CAPITAL SPECTRUM FUND CLASS Y	74676P151	PVSYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM CONVERTIBLE SECURITIES FUND CLASS A	746476100	PCONX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM CONVERTIBLE SECURITIES FUND CLASS M	746476308	PCNMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM CONVERTIBLE SECURITIES FUND CLASS Y	746476407	PCGYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DIVERSIFIED INCOME FUND CLASS Y	746704501	PDVYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DIVERSIFIED INCOME TRUST FUND CLASS A	746704105	PDINX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DIVERSIFIED INCOME TRUST FUND CLASS M	746704402	PDVMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC ASSET ALLOCATION BALANCED FUND CL M	746444835	PABMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC ASSET ALLOCATION BALANCED FUND CL R	746444819	PAARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC ASSET ALLOCATION BALANCED FUND CL Y	746444884	PABYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC ASSET ALLOCATION BALANCED FUND CL A	746444306	PABAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC ASSET ALLOCATION CONSERVATIVE FD CL A	746444504	PACAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC ASSET ALLOCATION CONSERVATIVE FD CL M	746444827	PACMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC ASSET ALLOCATION CONSERVATIVE FD CL R	746444785	PACRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC ASSET ALLOCATION CONSERVATIVE FD CL Y	746444801	PACYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC ASSET ALLOCATION GROWTH FUND CL A	746444108	PAEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC ASSET ALLOCATION GROWTH FUND CL M	746444843	PAGMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC ASSET ALLOCATION GROWTH FUND CL R	746444793	PASRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC ASSET ALLOCATION GROWTH FUND CL Y	746444702	PAGYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC RISK ALLOCATION FUND CLASS A	746764240	PDREX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC RISK ALLOCATION FUND CLASS M	746764216	PDRTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC RISK ALLOCATION FUND CLASS R	746764190	PDRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM DYNAMIC RISK ALLOCATION FUND CLASS Y	746764182	PDRYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM EMERGING MARKETS EQUITY FUND CLASS M	746764406	PEMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM EMERGING MARKETS EQUITY FUND CLASS R	746764505	PEMLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM EMERGING MARKETS EQUITY FUND CLASS Y	746764604	PEMYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM EMERGING MARKETS FUND CLASS A	746764109	PEMMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM EQUITY INCOME FD CLASS M	746745306	PEIMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM EQUITY INCOME FUND CLASS A	746745108	PEYAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM EQUITY INCOME FUND CLASS R	746745603	PEQRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM EQUITY INCOME FUND CLASS Y	746745405	PEYIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM EQUITY SPECTRUM FUND CLASS A	74676P169	PYSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM EQUITY SPECTRUM FUND CLASS M	74676P193	PYSMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM EQUITY SPECTRUM FUND CLASS R	74676P201	PYSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM EQUITY SPECTRUM FUND CLASS Y	74676P219	PYSYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM FIXED INCOME ABSOLUTE RETURN FUND CLASS A	746764372	PTRNX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM FIXED INCOME ABSOLUTE RETURN FUND CLASS M	746764349	PZARX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM FIXED INCOME ABSOLUTE RETURN FUND CLASS R	746764331	PTRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM FIXED INCOME ABSOLUTE RETURN FUND CLASS Y	746764323	PYTRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM FLOATING RATE INCOME FUND CLASS A	746763481	PFLRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PUTNAM FUNDS	PUTNAM FLOATING RATE INCOME FUND CLASS M	746763457	PFLMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM FLOATING RATE INCOME FUND CLASS R	746763440	PFLXL	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM FLOATING RATE INCOME FUND CLASS Y	746763226	PFRYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM FOCUSED EQUITY FUND CLASS A	746764646	PGIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM FOCUSED EQUITY FUND CLASS M	746764612	PGIHX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM FOCUSED EQUITY FUND CLASS R	746764596	PGIOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM FOCUSED EQUITY FUND CLASS Y	746764588	PGILX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL EQUITY FUND CLASS A	746772102	PEQUX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL EQUITY FUND CLASS M	746772508	PEQMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL EQUITY FUND CLASS R	746772607	PGLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL EQUITY FUND CLASS Y	746772409	PEQYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL HEALTH CARE FUND CLASS A	746778109	PHSTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL HEALTH CARE FUND CLASS M	746778406	PHLMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL HEALTH CARE FUND CLASS Y	746778505	PHSYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL INCOME FUND CLASS Y	74677Q604	PGGYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL INCOME TRUST FUND CLASS A	74677Q109	PGGIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL INCOME TRUST FUND CLASS M	74677Q406	PGGMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL TECHNOLOGY FUND CLASS A	746764570	PGTAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL TECHNOLOGY FUND CLASS M	746764547	PGTMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL TECHNOLOGY FUND CLASS R	746764539	PGTRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GLOBAL TECHNOLOGY FUND CLASS Y	746764521	PGTYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GOVERNMENT MONEY MARKET FUND CLASS A	74680A505	PGDXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GROWTH OPPORTUNITIES FUND CLASS A	746802800	POGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GROWTH OPPORTUNITIES FUND CLASS M	746802743	PGOMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM GROWTH OPPORTUNITIES FUND CLASS Y	746802586	PGOYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM HIGH YIELD FUND CLASS R	74678I609	PFIAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM HIGH YIELD FUND CLASS Y	74678I401	PHAYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM HIGH-YIELD FUND CLASS A	74678I104	PHYIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM HIGH-YIELD FUND CLASS M	74678J302	PHYMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INCOME FUND CLASS A	746792100	PINCX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INCOME FUND CLASS M	746792506	PNCMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INCOME FUND CLASS R	746792605	PIFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INCOME FUND CLASS Y	746792407	PNCYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INT'L CAPITAL OPPTS FUND CLASS Y	746802495	PVIYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERMEDIATE-TERM MUNICIPAL INCOME FUND CLASS A	74676A816	PIMEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERMEDIATE-TERM MUNICIPAL INCOME FUND CLASS M	74676A774	PIMMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERMEDIATE-TERM MUNICIPAL INCOME FUND CLASS Y	74676A766	PIMYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERNATIONAL EQUITY FUND CLASS A	74680E101	POVSX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERNATIONAL EQUITY FUND CLASS M	74680E408	POVMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERNATIONAL EQUITY FUND CLASS R	74680E606	PIERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERNATIONAL EQUITY FUND CLASS Y	74680E507	POVYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERNATIONAL GROWTH FUND CLASS A	746802206	PINOX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERNATIONAL GROWTH FUND CLASS M	746802701	PINMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERNATIONAL GROWTH FUND CLASS Y	74680L303	PINYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERNATIONAL VALUE FUND CLASS A	746763200	PNGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERNATIONAL VALUE FUND CLASS M	746763408	PIGMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTERNATIONAL VALUE FUND CLASS Y	746763614	PNGYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTL CAPITAL OPPORTUNITIES FUND CLASS A	746802859	PNVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTL CAPITAL OPPORTUNITIES FUND CLASS M	746802784	PIVMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM INTL CAPITAL OPPORTUNITIES FUND CLASS R	746802149	PICRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MASS TAX EXEMPT INCOME FUND CLASS Y	74683H507	PMAYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MASSACHUSETTS TAX- EXEMPT INCOME FUND CLASS A	74683H309	PXMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MASSACHUSETTS TAX- EXEMPT INCOME FUND CLASS M	74683H200	PMAMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MINNESOTA TAX EXEMPT INCOME FUND CLASS Y	74683M506	PMNYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MINNESOTA TAX-EXEMPT INCOME FUND CLASS A	74683M308	PXMNX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MINNESOTA TAX-EXEMPT INCOME FUND CLASS M	74683M209	PMNMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MONEY MARKET FD CLASS A	746923101	PDDXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MONEY MARKET FUND CLASS M	746923408	PTMXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MORTGAGE OPPORTUNITIES FUND CLASS A	74676A493	PMORX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MORTGAGE OPPORTUNITIES FUND CLASS Y	74676A477	PMOYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MORTGAGE SECURITIES FUND CLASS Y	746885409	PUSYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MORTGAGE SECURITIES FUND CLASS A	746885102	PGSIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MORTGAGE SECURITIES FUND CLASS M	746885508	PGSMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MULTI ASSET ABSOLUTE FUND CLASS A	746764315	PDMAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MULTI ASSET ABSOLUTE RETURN FUND CLASS M	746764273	PDMMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MULTI ASSET ABSOLUTE RETURN FUND CLASS R	746764265	PDMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MULTI ASSET ABSOLUTE RETURN FUND CLASS Y	746764257	PDMYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MULTI-CAP CORE FUND CLASS A	74676P888	PMYAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MULTI-CAP CORE FUND CLASS M	74676P854	PMYMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM MULTI-CAP CORE FUND CLASS Y	74676P839	PMYYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM NEW JERSEY TAX EXEMPT INCOME FUND CLASS A	746915107	PTNIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM NEW JERSEY TAX EXEMPT INCOME FUND CLASS M	746915305	PNJMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM NEW JERSEY TAX EXEMPT INCOME FUND CLASS Y	746915503	PNJYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM NEW YORK TAX EXEMPT INCOME FUND CL Y	746837301	PNYXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM NEW YORK TAX- EXEMPT INCOME FUND CLASS A	74683Q309	PTEIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PUTNAM FUNDS	PUTNAM NEW YORK TAX-EXEMPT INCOME FUND CLASS M	74683Q507	PNVMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM OHIO TAX EXEMPT INCOME FUND CL Y	746849504	POTYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM OHIO TAX- EXEMPT FUND CLASS M	746849207	POHMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM OHIO TAX- EXEMPT INCOME FUND CLASS A	746849306	PXOHX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PANAGORA MANAGED FUTURES STRATEGY FUND CLASS A	74680L642	PPMFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PANAGORA MANAGED FUTURES STRATEGY FUND CLASS M	74680L618	PPVFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PANAGORA MANAGED FUTURES STRATEGY FUND CLASS R	74680L592	PPFWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PANAGORA MANAGED FUTURES STRATEGY FUND CLASS Y	74680L568	PPFYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PANAGORA MARKET NEUTRAL FUND CLASS A	74680L550	PPMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PANAGORA MARKET NEUTRAL FUND CLASS M	74680L527	PPMVX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PANAGORA MARKET NEUTRAL FUND CLASS R	74680L519	PPMLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PANAGORA MARKET NEUTRAL FUND CLASS Y	74680L477	PPMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PANAGORA RISK PARITY CLASS Y	74680L386	PPRYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PANAGORA RISK PARITY FUND CLASS M	74680L436	PPRWX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PANAGORA RISK PARITY FUND CLASS R	74680L428	PPROX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PENNSYLVANIA TAX EX INCL CLASS M	746852300	PPAMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PENNSYLVANIA TAX EXEMPT INCOME FUND CL Y	746852508	PPTYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM PENNSYLVANIA TAX EXEMPT INCOME FUND CLASS A	746852102	PTEPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RESEARCH FUND CLASS A	746802883	PNRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RESEARCH FUND CLASS M	746802677	PRFMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RESEARCH FUND CLASS Y	746802487	PURYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT INCOME FUND LIFESTYLE 1 CLASS A	746859537	PRMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2020 FUND CLASS A	746859693	PRRMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2020 FUND CLASS M	746859669	N/A	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2025 FUND CLASS A	746859750	PRROX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2025 FUND CLASS M	746859727	N/A	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2030 FUND CLASS A	746859818	PRROX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2030 FUND CLASS M	746859776	N/A	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2035 FUND CLASS A	746859867	PRRWX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2035 FUND CLASS M	746859834	N/A	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2040 FUND CLASS A	746859602	PRRZX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2040 FUND CLASS M	746859883	N/A	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2045 FUND CLASS A	746859107	PRVLX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2045 FUND CLASS M	746859404	N/A	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2050 FUND CLASS A	746859370	PRRX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2050 FUND CLASS M	746859347	N/A	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2055 FUND CLASS A	746859313	PRRFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2060 FUND CLASS A	746859248	PRTFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2060 FUND CLASS M	746859214	N/A	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2060 FUND CLASS R	746859198	PRTRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY 2060 FUND CLASS Y	746859180	PRTYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT READY MATURITY FUND CLASS Y	746859388	PRMYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENTREADY 2020 FUND CLASS Y	746859420	PRRNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENTREADY 2025 FUND CLASS Y	746859438	PRRPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENTREADY 2030 FUND CLASS Y	746859446	PRRTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENTREADY 2035 FUND CLASS Y	746859453	PRRYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENTREADY 2040 FUND CLASS Y	746859461	PRZZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENTREADY 2045 FUND CLASS Y	746859479	PRVYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENTREADY 2050 FUND CLASS Y	746859321	PRRUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENTREADY 2055 FUND CLASS M	746859271	N/A	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM RETIREMENT INCOME FUND LIFESTYLE 1 CLASS M	746859495	PRMMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SHORT DURATION BOND FUND CLASS A	746764448	PARTX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SHORT DURATION BOND FUND CLASS M	746764414	PARZX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SHORT DURATION BOND FUND CLASS R	746764398	PRARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SHORT DURATION BOND FUND CLASS Y	746764380	PARYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SHORT-TERM MUNICIPAL INCOME FUND CLASS A	74676A865	PSMEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SHORT-TERM MUNICIPAL INCOME FUND CLASS M	74676A832	PSMMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SHORT-TERM MUNICIPAL INCOME FUND CLASS Y	74676A824	PSMYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SMALL CAP GROWTH FUND CLASS A	746763549	PNSAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SMALL CAP GROWTH FUND CLASS M	746763515	PSGMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SMALL CAP GROWTH FUND CLASS R	746763366	PSGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SMALL CAP GROWTH FUND CLASS Y	746763499	PSVYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SMALL CAP VALUE FUND CLASS A	746802610	PSLAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SMALL CAP VALUE FUND CLASS M	746802420	PSLMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SMALL CAP VALUE FUND CLASS R	74680L402	PSCRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SMALL CAP VALUE FUND CLASS Y	746802289	PYSVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SUSTAINABLE FUTURE FUND CLASS A	746802511	PMVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SUSTAINABLE FUTURE FUND CLASS M	746802255	PMCVX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SUSTAINABLE FUTURE FUND CLASS Y	746802198	PMVYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SUSTAINABLE LEADERS FUND CLASS A	746916105	PNOPX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SUSTAINABLE LEADERS FUND CLASS M	746916501	PNOMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SUSTAINABLE LEADERS FUND CLASS R	746916600	PNORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM SUSTAINABLE LEADERS FUND CLASS Y	746916402	PNOYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM TAX EXEMPT INCOME FUND CL Y	746870500	PTYEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM TAX FREE HIGH YIELD FUND CLASS Y	746872878	PTYFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
PUTNAM FUNDS	PUTNAM TAX-EXEMPT INCOME FUND CLASS A	746870104	PTAEX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM TAX-EXEMPT INCOME FUND CLASS M	746870302	PTMXM	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM TAX-FREE HIGH YIELD FUND CLASS A	746872407	PTHAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM TAX-FREE HIGH YIELD FUND CLASS M	746872506	PTYMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM ULTRA SHORT DURATION INCOME FUND CLASS A	74676P755	PSDTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM ULTRA SHORT DURATION INCOME FUND CLASS M	74676P722	PSDGX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM ULTRA SHORT DURATION INCOME FUND CLASS R	74676P714	PSDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
PUTNAM FUNDS	PUTNAM ULTRA SHORT DURATION INCOME FUND CLASS Y	74676P698	PSDYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RAREVIEW FUNDS	RAREVIEW LONGEVITY INCOME GENERATION FUND INSTITUTIONAL CLASS	81752T874	RVIGX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RAREVIEW FUNDS	RAREVIEW LONGEVITY INCOME GENERATION FUND RETAIL CLASS	81752T882	RLIGX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC ACCESS CAPITAL COMMUNITY INVESTMENT FUND CLASS A	74926P779	ACASX	Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC ACCESS CAPITAL COMMUNITY INVESTMENT FUND CLASS I	74926P761	ACCSX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC BLUEBAY EMERGING MARKET SELECT BOND FUND CLASS A	74926P456	RESAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC BLUEBAY EMERGING MARKET SELECT BOND FUND CLASS I	74926P399	RBESX	No/Low Load; FundVest Institutional	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC BLUEBAY GLOBAL HIGH YIELD BOND FUND CLASS A	74926P423	RHYAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC BLUEBAY GLOBAL HIGH YIELD BOND FUND CLASS I	74926P381	RGHYX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC BLUEBAY TOTAL RETURN CREDIT FUND CLASS I	74926P217	RBTRX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC EMERGING MARKET EQUITY FUND CLASS A	74926P324	REAXX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC EMERGING MARKET SMALL CAP EQUITY FUND CLASS A	74926P290	RSMAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC EMERGING MARKETS EQUITY FUND CLASS R6	74933U100	RREMX	No/Low Load	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC EMERGING MARKETS SMALL CAP EQUITY FUND CLASS I	74926P282	RESIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC EMERGING MARKETS VALUE EQUITY FUND CLASS I	74933U803	REVMX	No/Low Load	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC ENTERPRISE FUND CLASS A	74926P605	TETAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC ENTERPRISE FUND CLASS I	74926P803	TETIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC GLOBAL OPPORTUNITIES FUND CLASS I	74926P183	RGOIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC INTERNATIONAL OPPORTUNITIES FUND CLASS I	74926P175	RIOIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC MARKETS EQUITY FUND CLASS I	74926P316	REIEX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC MICROCAP VALUE FUND CLASS A	74926P829	TMVAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC MICROCAP VALUE FUND CLASS I	74926P365	RMVIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC MID CAP GROWTH FUND CLASS A	74926P100	TMCAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC MID CAP GROWTH FUND CLASS I	74926P308	TMCIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC SHORT DURATION FIXED INCOME FUND CLASS F	74926P258	RSHFH	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC SHORT DURATION FIXED INCOME FUND CLASS I	74926P274	RSDIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC SMALL CAP CORE FUND CLASS A	74926P860	TEEAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC SMALL CAP CORE FUND CLASS I	74926P357	RCSIX	No/Low Load; FundVest Institutional	Initial : 250000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC SMALL CAP VALUE FUND CLASS I	74926P225	RSVIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC U.S. GOVERNMENT MONEY MARKET FUND INSTITUTIONAL CLASS	74926P696	TUGXX	No/Low Load	Initial : 9999999.99; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC ULTRA-SHORT FIXED INCOME FUND CLASS F	74926P241	RULFX	No/Low Load; FundVest Institutional	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RBC FUNDS	RBC ULTRA-SHORT FIXED INCOME FUND CLASS I	74926P266	RUSIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 10000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
REINHART FUNDS	REINHART MIDCAP PRIVATE MARKET VALUE FD ADVISOR CL	56166Y834	RPMVX	No/Low Load	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
REINHART FUNDS	REINHART MIDCAP PRIVATE MARKET VALUE FD INVESTOR CLASS	56166Y842	RPMMX	No/Low Load	Initial : 5000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RESQ FUNDS	RESQ DYNAMIC ALLOCATION FUND CLASS A	66538E291	RQEAX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RESQ FUNDS	RESQ DYNAMIC ALLOCATION FUND CLASS I	66538E267	RQEIX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RESQ FUNDS	RESQ STRATEGIC INCOME FUND CLASS A	66538E283	RQIAX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RESQ FUNDS	RESQ STRATEGIC INCOME FUND CLASS I	66538E275	RQIIX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
REYNOLDS FUNDS	REYNOLDS BLUE CHIP GROWTH FUND	761724103	RBCGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RIVERPARK FUNDS	RIVERPARK FLOATING RATE CMBS FUND INSTITUTIONAL CLASS	76882K660	RCRIX	No/Low Load	Initial : 1000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RIVERPARK FUNDS	RIVERPARK FLOATING RATE CMBS FUND RETAIL CLASS	76882K678	RCRFH	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RIVERPARK FUNDS	RIVERPARK LARGE GROWTH FUND INSTITUTIONAL CLASS	76882K108	RPXIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RIVERPARK FUNDS	RIVERPARK LARGE GROWTH FUND RETAIL CLASS	76882K207	RPXFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RIVERPARK FUNDS	RIVERPARK LONG / SHORT OPPORTUNITY FUND INSTITUTIONAL CLASS	76882K850	RLSIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RIVERPARK FUNDS	RIVERPARK LONG / SHORT OPPORTUNITY FUND RETAIL CLASS	76882K868	RLSFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RIVERPARK FUNDS	RIVERPARK SHORT TERM HIGH YIELD FUND INSTITUTIONAL CLASS	76882K702	RPHIX	No/Low Load	Initial : 1000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RIVERPARK FUNDS	RIVERPARK SHORT TERM HIGH YIELD FUND RETAIL CLASS	76882K801	RPHYX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
RIVERPARK FUNDS	RIVERPARK STRATEGIC INCOME FUND INSTITUTIONAL CLASS	76882K769	RSIIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RIVERPARK FUNDS	RIVERPARK STRATEGIC INCOME FUND RETAIL CLASS	76882K751	RSIYX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RIVERPARK FUNDS	RIVERPARK/WEDGEWOOD FUND INSTITUTIONAL CLASS	76882K306	RWGIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RIVERPARK FUNDS	RIVERPARK/WEDGEWOOD FUND RETAIL CLASS	76882K405	RWGFH	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE DIVIDEND VALUE FUND CONSULTANT CLASS	780811634	RDVXC	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE DIVIDEND VALUE FUND INSTITUTIONAL CLASS	780811717	RDIX	No/Low Load	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE DIVIDEND VALUE FUND INVESTMENT CLASS	780905188	RDVIX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE DIVIDEND VALUE FUND SERVICE CLASS	780905436	RYDXX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE GLOBAL FINANCIAL SERVICES FUND INSTITUTIONAL CLASS	780811626	RGFIX	No/Low Load	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE GLOBAL FINANCIAL SERVICES FUND SERVICE CLASS	780905469	RYFSX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE INTERNATIONAL PREMIER FUND CONSULTANT CLASS	780811618	RINPX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE INTERNATIONAL PREMIER FUND INSTITUTIONAL CLASS	780811576	RIPIX	No/Low Load	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE INTERNATIONAL PREMIER FUND INVESTMENT CLASS	780811667	RIPNX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE INTERNATIONAL PREMIER FUND SERVICE CLASS	780811790	RYPIX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE MICRO-CAP FUND CONSULTANT CLASS	780905774	RYMCC	Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE MICRO-CAP FUND INVESTMENT CLASS	780905709	RYOTX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE MICRO-CAP FUND SERVICE CLASS	780905659	RMCFX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE OPPORTUNITY FUND CONSULTANT CLASS	780905378	ROFCX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE OPPORTUNITY FUND INSTITUTIONAL CLASS	780905691	ROFIX	No/Low Load	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE OPPORTUNITY FUND INVESTMENT CLASS	780905832	RYPNX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE OPPORTUNITY FUND SERVICE CLASS	780905758	RYOFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
ROYCE FUNDS	ROYCE PENNSYLVANIA MUTUAL FUND CONSULTANT CLASS	780905816	RYPCX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE PENNSYLVANIA MUTUAL FUND INSTITUTIONAL CLASS	78081A303	RPIMX	No/Low Load	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE PENNSYLVANIA MUTUAL FUND INVESTMENT CLASS	780905840	PENNXX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE PENNSYLVANIA MUTUAL FUND SERVICE CLASS	780905386	RYPFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE PREMIER FUND CONSULTANT CLASS	780905550	RPRCX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE PREMIER FUND INSTITUTIONAL CLASS	780905683	RPFIX	No/Low Load	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE PREMIER FUND INVESTMENT CLASS	780905600	RYPRX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE PREMIER FUND SERVICE CLASS	780905634	RPFXX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE SMALL CAP VALUE FUND INVESTMENT CL	780905220	RVVHX	No/Low Load; FundVest Institutional	Initial : 50.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE SMALL-CAP FUND CONSULTANT CL	780905360	RVFCX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE SMALL-CAP VALUE FUND SERVICE CLASS	780905733	RVVFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE SMALLER COMPANIES GROWTH FUND CONSULTANT CL	780905345	RVPCX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE SMALLER COMPANIES GROWTH FUND INST CLASS	780905337	RVPIX	No/Low Load	Initial : 100000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE SMALLER COMPANIES GROWTH FUND INVESTMENT CLASS	780905212	RVPHX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE SMALLER COMPANIES GROWTH FUND SERVICE CLASS	780905741	RVVPX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE SPECIAL EQUITY FUND CONSULTANT CLASS	780905543	RSQCX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE SPECIAL EQUITY FUND INSTITUTIONAL CLASS	780905535	RSEIX	No/Low Load	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE SPECIAL EQUITY FUND INVESTMENT CLASS	780905782	RYSEX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE SPECIAL EQUITY FUND SERVICE CLASS	780905527	RSEFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE TOTAL RETURN FUND CONSULTANT CLASS	780905592	RYTCX	Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE TOTAL RETURN FUND INST CLASS	780905717	RTRIX	No/Low Load	Initial : 1000000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE TOTAL RETURN FUND INVESTMENT CLASS	780905881	RYTRX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ROYCE FUNDS	ROYCE TOTAL RETURN FUND SERVICE CLASS	780905642	RYTFX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RVX CROW POINT FUNDS	RVX EMERGING MARKETS FUND INSTITUTIONAL CLASS	885572495	RVEMX	No/Low Load	Initial : 100000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
RYAN FUNDS	RYAN LABS CORE BOND FUND	90386H792	RLCBX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT FUNDS	SALIENT GLOBAL REAL ESTATE FUND CLASS A	34987A210	KIRAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT FUNDS	SALIENT GLOBAL REAL ESTATE FUND INSTITUTIONAL CLASS	34986P101	KIRYX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT FUNDS	SALIENT GLOBAL REAL ESTATE FUND INVESTOR CLASS	34987A186	FFIRX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT FUNDS	SALIENT INTERNATIONAL SMALL CAP FUND INVESTOR CL	349913830	PISRX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT FUNDS	SALIENT INTERNATIONAL SMALL CAP FUNDS INST CL	349913822	PTSCX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT FUNDS	SALIENT SELECT INCOME FUND CLASS A	34987A319	KIFAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT FUNDS	SALIENT SELECT INCOME FUND INSTITUTIONAL CLASS	34987A160	KIFYX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT FUNDS	SALIENT SELECT INCOME FUND INVESTMENT CLASS	34987A178	FFSLX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT FUNDS	SALIENT TACTICAL GROWTH FUND CLASS A	34986P846	FTAGX	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT FUNDS	SALIENT TACTICAL GROWTH FUND INSTITUTIONAL CLASS	34986P408	FTGWX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT FUNDS	SALIENT TACTICAL GROWTH FUND INVESTOR CLASS	34986P309	FFTGX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT MF TRUST FUNDS	SALIENT MLP & ENERGY INFRASTRUCTURE FD CL A	79471L404	SMAPX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT MF TRUST FUNDS	SALIENT MLP & ENERGY INFRASTRUCTURE FD CL I	79471L602	SMLPX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT MF TRUST FUNDS	SALIENT TACTICAL PLUS FUND CLASS A	79471L750	SBTAX	Load; FundVest Institutional	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT MF TRUST FUNDS	SALIENT TACTICAL PLUS FUND CLASS F	79471L743	BTPIX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SALIENT MF TRUST FUNDS	SALIENT TACTICAL PLUS FUND CLASS I	79471L768	SBTIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA EHS PORTFOLIO CLASS A	803431106	JAHAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA EHS PORTFOLIO CLASS I	803431304	JEHIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA EVENT DRIVEN PORTFOLIO CLASS A	803431403	JAEAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA EVENT DRIVEN PORTFOLIO CLASS I	803431601	JAEIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA FAMILY OFFICE PORTFOLIO FUND CLASS A	803431311	JFOAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA FAMILY OFFICE PORTFOLIO FUND CLASS I	803431287	JFOIX	No/Low Load	Initial : 2000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA GLOBAL REAL ESTATE FUND CLASS A	803431428	JAREX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FD CL C	803431386	JACRX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS PTF FUND CLASS I	803431410	JARIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA HEDGED HIGH INCOME FUND CLASS A	803431212	INCAIX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA HEDGED HIGH INCOME FUND CLASS I	803431196	INCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA MACRO PORTFOLIO FUND CLASS A	803431444	GRRAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA MACRO PORTFOLIO FUND CLASS I	803431436	GRRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA MANAGED RISK DOMESTIC EQUITY PORT FD CL A	803431279	JDAEX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA MANAGED RISK DOMESTIC EQUITY PORT FD CL I	803431253	JDIEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA MANAGED RISK EMERGING MARKETS EQUITY PORT FUND CLASS A	803431246	JEAMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA MANAGED RISK EMERGING MARKETS EQUITY PORT FUND CLASS I	803431220	JEIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA MOMENTUM PORTFOLIO FUND CLASS A	803431536	MOMAX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA MOMENTUM PORTFOLIO FUND CLASS I	803431544	MOMOX	No/Low Load	Initial : 1000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA MULTI STRATEGY ALTERNATIVE INCOME FUND CLASS A	803431360	JAAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA MULTI STRATEGY ALTERNATIVE INCOME FUND CLASS I	803431378	JAIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA RELATIVE VALUE PORTFOLIO FUND CLASS A	803431700	JRVAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA RELATIVE VALUE PORTFOLIO FUND CLASS I	803431882	JRVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA STRUCTURED CREDIT VALUE PORTFOLIO FUND CLASS A	803431486	JASVX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA STRUCTURED CREDIT VALUE PORTFOLIO FUND CLASS I	803431494	JSVIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA TOTAL HEDGE PORTFOLIO FUND CLASS A	803431874	JTHAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	JAMES ALPHA TOTAL HEDGE PORTFOLIO FUND CLASS I	803431858	JTHIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA ADVANTAGE TRUST INTERNATIONAL EQUITY FUND CLASS I	803431709	SIPEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA ADVANTAGE TRUST INVESTMENT QUALITY BOND FUND CLASS I	803431204	SIBPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA ADVANTAGE TRUST LARGE-CAP GROWTH FUND CLASS I	803431501	SLCGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA ADVANTAGE TRUST LARGE-CAP VALUE FUND CLASS I	803431402	SLCVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA ADVANTAGE TRUST MUNI BOND FUND CL I	803431303	SMBPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA ADVANTAGE TRUST SMALL CAPITALIZATION FUND CLASS A	803431493	SSCYX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA ADVANTAGE TRUST SMALL-CAP FUND CLASS I	803431600	SSCPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
SARATOGA FUNDS	SARATOGA AGGRESSIVE BALANCED ALLOCATION PORTFOLIO FUND CLASS A	803431569	SABAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA AGGRESSIVE BALANCED ALLOCATION PORTFOLIO FUND CLASS I	803431577	SABIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA CONSERVATIVE BALANCED PORTFOLIO FUND CLASS A	803431692	SCAAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA CONSERVATIVE BALANCED PORTFOLIO FUND CLASS I	803431718	LUNAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA ENERGY & BASIC MATERIALS FUND CLASS A	803431618	SBMBX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA ENERGY AND BASIC MATERIAL PORTFOLIO CLASS I	803431576	SEPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA FINANCIAL SERVICES FUND CLASS A	803431659	SFPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA FINANCIAL SERVICES PORTFOLIO CLASS I	803431626	SFPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA HEALTH & BIOTECHNOLOGY FUND CLASS A	803431741	SHPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA HEALTH AND BIOTECHNOLOGY PORTFOLIO CLASS I	803431717	SBHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA INTERNATIONAL EQUITY FUND CLASS A	803431485	SIEYX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA INVESTMENT QUALITY BOND FUND CLASS A	803431477	SQBAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA LARGE CAP GROWTH FUND CLASS A	803431519	SLGYX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA LARGE CAPITALIZATION VALUE FUND CLASS A	803431527	SLVYX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA MID CAP FUND CLASS A	803431568	SPMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA MID CAPITALIZATION PORTFOLIO CLASS I	803431535	SMIPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA MODERATE BALANCED ALLOCATION PORTFOLIO FUND CLASS A	803431635	SMPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA MODERATE BALANCED ALLOCATION PORTFOLIO FUND CLASS I	803431643	SBMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA MODERATELY AGGRESSIVE BALANCED ALLOCATION PORTFOLIO CLASS A	803431593	SAMAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA MODERATELY AGGRESSIVE BALANCED ALLOCATION PORTFOLIO CLASS I	803431619	SAMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA MODERATELY CONSERVATIVE BALANCED PORTFOLIO FUND CLASS A	803431668	SMACK	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA MODERATELY CONSERVATIVE BALANCED PORTFOLIO FUND CLASS I	803431676	SMICX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA TECHNOLOGY & COMM FUND CLASS A	803431691	STPAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA TECHNOLOGY AND COMMUNICATIONS PORTFOLIO CLASS I	803431667	STPIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA U.S. GOVT MONEY MARKET FUND CLASS I	803431105	SGMXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SARATOGA FUNDS	SARATOGA U.S. GOVERNMENT MONEY MARKET FUND CLASS A	803431451	SGAXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHNEIDER FUNDS	SCHNEIDER CAPITAL SMALL CAP VALUE FUND	749255394	SCMVX	No/Low Load	Initial : 20000.0; Sub : 2500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHRODER FUNDS	SCHRODER EMERGING MARKETS SMALL CAP FUND INVESTOR CLASS	80809R881	SMLNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHRODER FUNDS	SCHRODER LONG DURATION INVESTMENT GRADE BOND FUND INVESTOR CLASS	80809R303	STWLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHRODER FUNDS	SCHRODER SHORT DURATION BOND FUND INVESTOR CLASS	80809R865	SDBNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHRODER FUNDS	SCHRODER TOTAL RETURN FIXED INCOME FUND INVESTOR CLASS	808090765	N/A	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	LAUDUS INT'L MARKETMASTERS FUND SELECT SHARES	808509640	SWMIX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	LAUDUS U.S. LARGE CAP GROWTH FUND	51855Q549	LGILX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB 1000 INDEX FUND	808517106	SNFXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB BALANCED FUND	808509863	SWOBY	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB CALIFORNIA LONG-TERM TAX-FREE BOND FUND	808517304	SWCAX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB CORE EQUITY FUND	808509806	SWANX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB DIVIDEND EQUITY FUND	808509657	SWDSX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB FUNDAMENTAL GLOBAL REAL ESTATE INDEX FUND	808509160	SFRFX	No/Low Load	Initial : 100.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB FUNDAMENTAL INTERNATIONAL LARGE COMPANY INDEX FUND	808509376	SFNNX	No/Low Load	Initial : 100.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB FUNDAMENTAL INTERNATIONAL SMALL COMPANY INDEX FUND	808509319	SFILX	No/Low Load	Initial : 100.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB FUNDAMENTAL MARKETS LARGE COMPANY INDEX FUND	808509343	SFENX	No/Low Load	Initial : 100.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB FUNDAMENTAL U.S. LARGE COMPANY INDEX FUND	808509442	SFLNX	No/Low Load	Initial : 100.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB FUNDAMENTAL U.S. SMALL COMPANY INDEX FUND	808509418	SFSNX	No/Low Load	Initial : 100.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB GLOBAL REAL ESTATE FUND	808517759	SWASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB HEALTH CARE FUND	808509731	SWHFX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB HEDGED EQUITY FUND	808509699	SWHEX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB INTERNATIONAL CORE EQUITY FUND	808509210	SICNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB INTERNATIONAL INDEX FUND	808509830	SWISX	No/Low Load	Initial : 100.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB LARGE-CAP GROWTH FUND	808509517	SWLSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB MARKET TRACK ALL EQUITY PORTFOLIO	808509814	SWEGX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB MARKET TRACK BALANCE PORTFOLIO	808509400	SWBGX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB MARKET TRACK CONSERVATIVE PORTFOLIO	808509509	SWCGX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB MARKET TRACK GROWTH PORTFOLIO	808509301	SWHGX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB MONTHLY INCOME ENHANCED PAYOUT FUND	808509285	SWKRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB MONTHLY INCOME MAXIMUM PAYOUT FUND	808509277	SWLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB MONTHLY INCOME MODERATE PAYOUT FUND	808509293	SWJRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB S&P 500 INDEX FUND	808509855	SWPPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB SHORT TERM BOND INDEX FUND	808517692	SWSBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB SMALL-CAP EQUITY FUND	808509673	SWSCX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB SMALL-CAP INDEX FUND	808509848	SWSSX	No/Low Load	Initial : 100.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2010 FUND	808509566	SWBRX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2010 INDEX FUND	808501205	SWYAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2015 FUND	808509269	SWGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2015 INDEX FUND	808501403	SWYBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2020 FUND	808509558	SWCRX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2020 INDEX FUND	808501601	SWYLY	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2025 FUND	808509251	SWHRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2025 INDEX FUND	808501809	SWYDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2030 FUND	808509541	SWDRX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2030 INDEX FUND	808501874	SWYEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2035 FUND	808509244	SWIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2035 INDEX FUND	808501858	SWYFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2040 FUND	808509533	SWERX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2040 INDEX FUND	808501833	SWYGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
SCHWAB FUNDS	SCHWAB TARGET 2045 FUND	808509194	SWMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2045 INDEX FUND	808508187	SWYHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2050 FUND	808509186	SWNRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2050 INDEX FUND	808508783	SWYMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2055 FUND	808509178	SWORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2055 INDEX FUND	808508767	SWYIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2060 FUND	808509152	SWPRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TARGET 2060 INDEX FUND	808508742	SWYNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TAX-FREE BOND FUND	808517403	SWNTX	No/Low Load	Initial : 0.0; Sub : 1.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TOTAL STOCK MARKET INDEX FUND	808509756	SWTSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB TREASURY INFLATION PROTECTED SECURITIES INDEX FUND	808517817	SWRSX	No/Low Load	Initial : 100.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB U.S. AGGREGATE BOND INDEX FUND	808517718	SWAGX	No/Low Load	Initial : 100.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SCHWAB FUNDS	SCHWAB U.S. LARGE-CAP GROWTH INDEX FUND	808508718	SWLGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL COLORADO TAX FREE FUND INSTITUTIONAL CL	81580H738	WICOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL COLORADO TAX FREE FUND RETAIL CLASS	81580H852	WTCOX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL FUNDAMENTAL INTL SMALL CAP FUND INSTL CL	81580H746	WIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL GLOBAL LARGE CAP FUND INSTL CLASS	81580H795	WIMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL GLOBAL LARGE CAP FUND RETAIL CLASS	81580H506	WTMVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL MICRO CAP FUND RETAIL CLASS	81580H803	WTMIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL MID CAP VALUE DIVIDEND FUND INSTL CL	81580H753	WIMCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL MID CAP VALUE DIVIDEND FUND RETAIL CLASS	81580H605	WTMCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL MUNICIPAL OPPORTUNITIES FUND INSTITUTIONAL CLASS	81580H696	WITAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL MUNICIPAL OPPORTUNITIES FUND RETAIL CLASS	81580H845	WTTAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL PLUS BOND FUND INSTITUTIONAL CLASS	81580H761	WIBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL PLUS BOND FUND RETAIL CLASS	81580H860	WITBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL QUALITY HIGH YIELD FUND INSTITUTIONAL CL	81580H779	WILTXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL QUALITY HIGH YIELD FUND RETAIL CLASS	81580H878	WTLTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL SHORT TERM PLUS FUND INSTL CLASS	81580H670	SBAPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL SHORT TERM PLUS FUND RETAIL CLASS	81580H688	SBHPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL SMALL CAP CAP VALUE DIVIDEND FUND RETAIL CL	81580H704	WTSVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL SMALL CAP GROWTH FUND INSTL CLASS	81580H811	WISGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL SMALL CAP GROWTH FUND RETAIL CL	81580H407	WTSGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL SMALL CAP VALUE DIVIDEND FUND INSTL CL	81580H787	WISVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL WORKPLACE EQUALITY FUND INSTITUTIONAL CLASS	81580H837	WEQIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL WORKPLACE EQUALITY FUND RETAIL CLASS	81580H100	WEQRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEGALL BRYANT & HAMILL FDS	SEGALL BRYANT & HAMILL FUNDAMENTAL INTL SMALL CAP FUND RETAIL CL	81580H886	WITFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI AGGRESSIVE STRATEGY FUND CLASS D	784111460	SASDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI AGGRESSIVE STRATEGY FUND CLASS F	784111619	SSGAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI CALIFORNIA MUNICIPAL BOND FUND CLASS F	784118648	SBDBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI CATHOLIC VALUES EQUITY FUND CLASS F	784116105	CAVAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI CATHOLIC VALUES FIXED INCOME FUND CLASS F	784116204	CFVAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI CONSERVATIVE INCOME FUND CLASS F	78413L662	COIAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI CONSERVATIVE STRATEGY FUND CLASS D	784111429	SSTDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI CONSERVATIVE STRATEGY ALLOCATION FUND CLASS F	784111676	SMGAX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI CONSERVATIVE STRATEGY FUND CLASS F	784111692	SVSAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI CORE FIXED INCOME FUND CLASS F	783925506	TRLVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI CORE MARKET STRATEGY FUND CLASS F	784111569	SOKAX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI DEFENSIVE STRATEGY ALLOCATION FUND CLASS F	784111726	STDAV	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI DEFENSIVE STRATEGY FUND CLASS F	784111742	SNSAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI DYNAMIC ASSET ALLOCATION FUND CLASS F	78413L696	SDYAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI GLOBAL MANAGED VOLATILITY FUND FUND CLASS F	783925415	SVTAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI GNMA FUND CLASS F	783965643	SEGMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI HIGH YIELD BOND FUND CLASS F	783925647	SHYAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI INSTITUTIONAL MANAGED TRUST LARGE CAP INDEX FUND CLASS F	78413L597	SLGFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI INTERMEDIATE TERM MUNICIPAL FUND CLASS F	784118408	SEIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI INTERNATIONAL EMERGING MARKETS DEBT FUND CLASS F	78411R851	SITEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI INTERNATIONAL EMERGING MARKETS FUND CLASS F	78411R703	SIEMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI INTERNATIONAL EQUITY FUND CLASS F	78411R109	SEITX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI INTERNATIONAL FIXED-INCOME FUND CLASS F	78411R307	SEFIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI LARGE CAP FUND CLASS F	783925217	SLGAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI LARGE CAP GROWTH FUND CLASS F	783925662	SELGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI LARGE CAP VALUE FUND CLASS F	783925100	TRMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI MARKET GROWTH STRATEGY ALLOCATION FUND CLASS F	784111494	SGOAX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI MARKET GROWTH STRATEGY FUND CLASS D	784111445	SMKDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI MARKET GROWTH STRATEGY FUND CLASS F	784111528	SRWAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI MASSACHUSETTS MUNICIPAL BOND FUND CLASS F	784118663	SMAAX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI MID-CAP FUND CLASS F	783925795	SEMXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI MODERATE STRATEGY FUND CLASS D	784111478	SMSDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI MODERATE STRATEGY FUND CLASS F	784111650	SMOAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI MULTI STRATEGY ALTERNATIVES FUND FUND CLASS F	783925167	SMSAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI MULTI-ASSET ACCUMULATION FUND CLASS F	783925159	SAAAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI MULTI-ASSET CAPITAL STABILITY FUND CLASS F	783925126	SCLAX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI MULTI-ASSET INCOME FUND CLASS F	783925142	SIOAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI MULTI-ASSET INFLATION MANAGED FUND CLASS F	783925134	SIFAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI NEW JERSEY MUNICIPAL BOND FUND CLASS F	784118689	SENJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
SEI FUNDS	SEI NEW YORK MUNICIPAL BOND FUND CLASS F	784118671	SENYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI PENNSYLVANIA MUNICIPAL BOND FUND CLASS F	784118630	SEPAZ	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI REAL ESTATE FUND CLASS F	783925472	SETAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI REAL RETURN FUND CLASS F	783925233	SRAAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI S&P 500 INDEX FUND CLASS F	783925316	SSPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI SAAT MODERATE STRATEGY ALLOCATION FUND CLASS F	784111635	SXMAX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI SHORT DURATION MUNICIPAL FUND CLASS F	784118564	SUMAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI SHORT-DURATION GOVERNMENT FUND CLASS F	783965858	TCSGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI SMALL CAP FUND CLASS F	783925191	LLAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI SMALL CAP GROWTH FUND CLASS F	783925837	SSCGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI SMALL CAP VALUE FUND CLASS F	783925688	SESVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI TAX MANAGED INTERNATIONAL MANAGED VOLATILITY FUND CLASS F	784131621	SMINX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI TAX-ADVANTAGED INCOME FUND CLASS F	784118556	SEATX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI TAX-FREE CONSERVATIVE INCOME FUND CLASS F	784131647	TFCAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI TAX-MANAGED AGGRESSIVE STRATEGY FUND CLASS F	784111585	SISAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI TAX-MANAGED LARGE CAP FUND CLASS F	783925571	TMLCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI TAX-MANAGED MANAGED VOLATILITY FUND CLASS F	783925266	TMMAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI TAX-MANAGED SMALL/MID CAP FUND CLASS F	783925563	STMSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI U.S. MANAGED VOLATILITY FUND CLASS F	783925480	SVOAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEI FUNDS	SEI ULTRA SHORT DURATION BOND FUND CLASS F	783965866	SECPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SELECTED FUNDS	SELECTED AMERICAN SHARES CLASS D	8162221204	SLADX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SELECTED FUNDS	SELECTED AMERICAN SHARES CLASS S	8162221105	SLASX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SELECTED FUNDS	SELECTED INTERNATIONAL FUND CLASS D	816272207	SLSDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SELECTED FUNDS	SELECTED INTERNATIONAL FUND CLASS S	816272108	SLSSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEMPER MBS FUNDS	SEMPER MBS TOTAL RETURN FUND CLASS A	00768D152	SEMOM	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEMPER MBS FUNDS	SEMPER MBS TOTAL RETURN FUND INSTITUTIONAL CLASS	00770X758	SEMMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEMPER MBS FUNDS	SEMPER MBS TOTAL RETURN FUND INVESTOR CLASS	00770X741	SEMPX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEMPER MBS FUNDS	SEMPER SHORT DURATION FUND INSTITUTIONAL CLASS	00770X592	SEMIF	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SEMPER MBS FUNDS	SEMPER SHORT DURATION FUND INVESTOR CLASS	00770X618	SEMRX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHARESPOST INTERVAL FUNDS	SHARESPOST 100 FUND CLASS A	81951Q101	PRIVX	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHARESPOST INTERVAL FUNDS	SHARESPOST 100 FUND CLASS I	81951Q200	PIIVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHARESPOST INTERVAL FUNDS	SHARESPOST 100 FUND CLASS L	81951Q309	PRLVX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON BDC INCOME FUND INSTITUTIONAL SHARE CLASS	78410K501	LOAIX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON BDC INCOME FUND INVESTOR SHARE CLASS	78410K402	LOANX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON CA INSURED INTERMEDIATE FUND	82301Q825	CATFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON CORE VALUE FUND	82301Q759	EQTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON GREEN ALPHA FUND	82301Q692	NEXTX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON GREEN CA TAX-FREE INCOME FUND	82301Q817	CFNTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON INTERNATIONAL SELECT EQUITY FUND INSTITUTIONAL CLASS	78410K865	SISEX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON INTERNATIONAL SELECT EQUITY FUND INVESTOR CLASS	78410K873	SISLX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON NASDAQ 100 INDEX FUND	82301Q726	NASDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON REAL ESTATE INCOME FUND INSTITUTIONAL SHARE CLASS	78410K709	RENIX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON REAL ESTATE INCOME FUND INVESTOR SHARE CLASS	78410K600	RENTX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON S&P 500 INDEX FUND	82301Q775	SPPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON S&P MIDCAP INDEX FUND	82301Q767	SPMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON S&P SMALL CAP INDEX FUND	82301Q742	SMCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON SHORT-TERM U.S. GOV'T BOND FUND	82301Q718	STUSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON TACTICAL CREDIT FUND INST CLASS	78410K881	DEBIX	No/Low Load; FundVest Institutional	Initial : 50000.0; Sub : 2000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON TACTICAL CREDIT FUND INVESTOR CLASS	78410K808	DEBTX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SHELTON FUNDS	SHELTON U.S. GOV'T SECURITIES FUND	82301Q783	CAUSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL ALL ASSET FUND CLASS A	66537T570	SIRAX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL ALL ASSET FUND CLASS A1	66537X282	SIRZX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL ALL ASSET FUND CLASS I1	66537X274	SIRYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL ALL ASSET FUND INSTITUTIONAL CLASS	66537T554	SIRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL ALL ASSET FUND INVESTOR CLASS	66537T562	SIRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL BOND FUND CLASS A	66539A728	STBIX	Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL BOND FUND INSTITUTIONAL CLASS	66538I472	STBIX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL BOND FUND INVESTOR CLASS	66538I456	STBNX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL CORE INCOME FUND CLASS A	66537Y520	SSIZX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL CORE INCOME FUND INSTITUTIONAL CLASS	66537Y488	SSIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL CORE INCOME FUND INVESTOR CLASS	66537Y496	SSIIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL MUNICIPAL FUND CLASS A	66538J589	STMKX	Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL MUNICIPAL FUND INSTITUTIONAL CLASS	66538J555	STMEX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIERRA FUNDS	SIERRA TACTICAL MUNICIPAL SPECIALS SHARES	66538J571	STMXX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT BALANCED FUND	82980D202	SIBAX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT DEVELOPING MARKETS GROWTH FUND	82980D400	SDMGX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT DIVIDEND GROWTH FUND CLASS I	82980D707	SDVGX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT DIVIDEND GROWTH FUND CLASS S	82980D806	SDVSX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT GLOBAL DIVIDEND GROWTH FUND CLASS I	82980D889	GDGIX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT GLOBAL DIVIDEND GROWTH FUND CLASS S	82980D871	GDGSX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT INTERNATIONAL GROWTH FUND	82980D103	SNGRX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT LARGE CAP GROWTH FUND	82979T109	SNIGX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT MID CAP GROWTH FUND	82979E101	NBNGX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT MINNESOTA TAX FREE INCOME FUND	82979K100	SMTFX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT QUALITY INCOME FUND	82979K506	SQIFX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
SIT FUNDS	SIT SMALL CAP DIVIDEND GROWTH FUND CLASS S	82980D855	SDFSX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT SMALL CAP GROWTH FUND	82980D301	SSMGX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT TAX FREE INCOME FUND	829799105	SNITX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SIT FUNDS	SIT U.S. GOVERNMENT SECURITIES FUND	829800101	SNVGV	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SMEAD FUNDS	SMEAD VALUE FUND CLASS A	83178C808	SVFAA	Load; FundVest Institutional	Initial : 3000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SMEAD FUNDS	SMEAD VALUE FUND CLASS I1	83178C873	SVFFX	No/Low Load	Initial : 3000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SMEAD FUNDS	SMEAD VALUE FUND INVESTOR CLASS	83178C881	SMVLX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SOUNDSHORE FUNDS	SOUND SHORE FUND INSTITUTIONAL CLASS	836083204	SSHVX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 12:00 AM	
SOUNDSHORE FUNDS	SOUND SHORE FUND INVESTOR CLASS	836083105	SSHFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 12:00 AM	
SPARROW FUNDS	SPARROW GROWTH FUND	846571206	SGFCX	No/Low Load	Initial : 250.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SPARROW FUNDS	SPARROW GROWTH FUND CLASS A	846571107	SGFFX	Load	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	SSGA EMERGING MARKETS FUND CLASS A	784924236	SSELX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	SSGA EMERGING MARKETS FUND CLASS I	784924292	SSEOX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	SSGA EMERGING MARKETS FUND CLASS K	784924284	SSEQX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	SSGA EMERGING MARKETS FUND CLASS N	784924789	SSEMXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET AGGREGATE BOND INDEX FUND CLASS A	857492540	SSFCX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET AGGREGATE BOND INDEX FUND CLASS I	857492532	SSFDX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET AGGREGATE BOND INDEX FUND CLASS K	857492524	SSFEF	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET CHINA EQUITY SELECT FUND CLASS K	85749Q216	SCLXL	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET DEFENSIVE GLOBAL EQUITY FUND CLASS I	85749R222	SSGMX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET DYNAMIC SMALL CAP FUND CLASS A	784924367	SSSDX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET DYNAMIC SMALL CAP FUND CLASS I	784924342	SSSIX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET DYNAMIC SMALL CAP FUND CLASS K	784924334	SSSKX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET DYNAMIC SMALL CAP FUND CLASS N	784924706	SVSCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET EMERGING MARKETS EQUITY INDEX FUND CLASS K	857492193	SSKEX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET EQUITY 500 INDEX FUND CLASS A	85749R172	SSSVX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET EQUITY 500 INDEX FUND CLASS I	85749R164	SSSWX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET EQUITY 500 INDEX FUND CLASS K	85749R156	SSSYX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET GLOBAL ALL CAP EQUITY EX- U.S. INDEX FD CL A	85749R149	SSGHX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET GLOBAL ALL CAP EQUITY EX- U.S. INDEX FUND CLASS I	85749R131	SSGJX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET GLOBAL ALL CAP EQUITY EX- U.S. INDEX FD CLASS K	85749R123	SSGLX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET HEDGED INTERNATIONAL DEVELOPED EQUITY INDEX FUND CLASS K	857492417	SSHQX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET INTERNATIONAL STOCK SELECTION FUND CLASS A	784924276	SSLIX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET INTERNATIONAL STOCK SELECTION FUND CLASS I	784924250	SSIPX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET INTERNATIONAL STOCK SELECTION FUND CLASS K	784924243	SSIQX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET INTERNATIONAL STOCK SELECTION FUND CLASS N	784924870	SSAIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET S&P 500 INDEX FUND CLASS I	784924888	SVSPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET SMALL/MID CAP EQUITY INDEX FUND CLASS A	857492268	SSMJX	Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET SMALL/MID CAP EQUITY INDEX FUND CLASS I	857492250	SSMLX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT 2015 FUND CLASS K	85749R404	SSBHX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT 2020 FUND CLASS K	85749R800	SSBOX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT 2025 FUND CLASS K	85749R859	SSBSX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT 2030 FUND CLASS K	85749R818	SSBYX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT 2035 FUND CLASS K	85749R768	SSCKX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT 2040 FUND CLASS K	85749R727	SSCQX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT 2045 FUND CLASS K	85749R677	SSDEX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT 2050 FUND CLASS K	85749R636	SSDLX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT 2055 FUND CLASS K	85749R586	SSDOX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT 2060 FUND CLASS K	85749R545	SSDYX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT FUND 2015 CLASS I	85749R305	SSBFX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT FUND 2020 CLASS I	85749R701	SSBNX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT FUND 2025 CLASS I	85749R867	SSBRX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT FUND 2030 CLASS I	85749R826	SSBWX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT FUND 2035 CLASS I	85749R776	SSCJX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT FUND 2040 CLASS I	85749R735	SSCNX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT FUND 2045 CLASS I	85749R685	SSDDX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT FUND 2050 CLASS I	85749R644	SSDIX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT FUND 2055 CLASS I	85749R594	SSDOX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT FUND 2060 CLASS I	85749R552	SSDWX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT FUND CLASS K	85749R495	SSFOX	No/Low Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SSGA FUNDS	STATE STREET TARGET RETIREMENT INCOME FUND CLASS I	85749R511	SSFNX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STADION FUNDS	STADION TACTICAL DEFENSIVE FUND CLASS A	85235B202	ETFRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STADION FUNDS	STADION TACTICAL DEFENSIVE FUND CLASS I	85235B608	ETFWX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STADION FUNDS	STADION TACTICAL GROWTH FUND CLASS A	85235B814	ETFAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STADION FUNDS	STADION TACTICAL GROWTH FUND I	85235B780	ETFOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STADION FUNDS	STADION TRILOGY ALTERNATIVE RETURN FUND A	85235B707	STTFX	Load; FundVest Institutional	Initial : 1000.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STADION FUNDS	STADION TRILOGY ALTERNATIVE RETURN FUND I	85235B889	STTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARDS FUNDS	STEWARDS COVERED CALL INCOME FUND CLASS A	860324714	SCJAX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARDS FUNDS	STEWARDS COVERED CALL INCOME FUND CLASS R6	860324680	SCJXK	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARDS FUNDS	STEWARDS COVERED CALL INCOME FUND INSTITUTIONAL CLASS	860324672	SCJIX	No/Low Load	Initial : 100000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARDS FUNDS	STEWARDS GLOBAL EQUITY INCOME FUND CLASS A	860324862	SGIDX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARDS FUNDS	STEWARDS GLOBAL EQUITY INCOME FUND CLASS R6	860324813	SGIGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARDS FUNDS	STEWARDS GLOBAL EQUITY INCOME FUND INSTITUTIONAL CLASS	860324854	SGISX	No/Low Load	Initial : 100000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARDS FUNDS	STEWARDS INTERNATIONAL ENHANCED INDEX FUND CLASS A	860324805	SNTKX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARDS FUNDS	STEWARDS INTERNATIONAL ENHANCED INDEX FUND CLASS R6	860324789	SNTFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
STEWARD FUNDS	STEWARD INTERNATIONAL ENHANCED INDEX FUND INSTITUTIONAL CLASS	860324706	SNCTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARD FUNDS	STEWARD LARGE CAP ENHANCED INDEX FUND CLASS A	860324201	SEEEK	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARD FUNDS	STEWARD LARGE CAP ENHANCED INDEX FUND CLASS R6	860324763	SEEHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARD FUNDS	STEWARD LARGE CAP ENHANCED INDEX FUND INSTITUTIONAL CLASS	860324102	SEECX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARD FUNDS	STEWARD SELECT BOND FUND CLASS A	860324409	SEAKX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARD FUNDS	STEWARD SELECT BOND FUND CLASS R6	860324748	SEABX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARD FUNDS	STEWARD SELECT BOND FUND INSTITUTIONAL CLASS	860324300	SEACX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARD FUNDS	STEWARD SMALL-MID CAP ENHANCED INDEX FUND CLASS A	860324839	TRDFX	No/Low Load	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARD FUNDS	STEWARD SMALL-MID CAP ENHANCED INDEX FUND CLASS R6	860324722	SSMOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STEWARD FUNDS	STEWARD SMALL-MID CAP ENHANCED INDEX FUND INSTITUTIONAL CLASS	860324847	SCECX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STIFEL FUNDS	1919 FINANCIAL SERVICES FUND CLASS A	89832P879	SBFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STIFEL FUNDS	1919 FINANCIAL SERVICES FUND CLASS I	89832P838	LMRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STIFEL FUNDS	1919 MARYLAND TAX- FREE INCOME FUND CLASS A	89832P754	LMMDX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STIFEL FUNDS	1919 MARYLAND TAX- FREE INCOME FUND CLASS I	89832P721	LMMIK	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STIFEL FUNDS	1919 SOCIALLY RESPONSIVE BALANCED FUND CLASS A	89832P820	SSIAK	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
STIFEL FUNDS	1919 SOCIALLY RESPONSIVE BALANCED FUND CLASS I	89832P762	LMRNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SUMMIT GLOBAL FUNDS	SGI GLOBAL EQUITY FUND CLASS I	74925K417	DWUGX	No/Low Load	Initial : 25000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SUMMIT GLOBAL FUNDS	SGI U.S. LARGE CAP EQUITY FUND CLASS A	74925K516	LDVLX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SUMMIT GLOBAL FUNDS	SGI U.S. LARGE CAP EQUITY FUND CLASS I	74925K524	SILVX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SUMMIT GLOBAL FUNDS	SGI U.S. SMALL CAP EQUITY FUND CLASS A	74925K276	LVSXM	Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SUMMIT GLOBAL FUNDS	SGI U.S. SMALL CAP EQUITY FUND CLASS I	74925K268	SCLVX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SWAN FUNDS	SWAN DEFINED RISK EMERGING MARKETS FUND CLASS A	66538G692	SDFAX	Load	Initial : 1000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SWAN FUNDS	SWAN DEFINED RISK EMERGING MARKETS FUND CLASS I	66538G676	SDFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SWAN FUNDS	SWAN DEFINED RISK EMERGING MARKETS FUND CLASS Y	66538R508	SDFYX	No/Low Load	Initial : 999999.99; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SWAN FUNDS	SWAN DEFINED RISK FUND CLASS A	66538E408	SDRAX	Load	Initial : 1000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SWAN FUNDS	SWAN DEFINED RISK FUND CLASS I	66538E606	SDRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SWAN FUNDS	SWAN DEFINED RISK FUND CLASS Y	66538R409	SDRYX	No/Low Load	Initial : 999999.99; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SWAN FUNDS	SWAN DEFINED RISK GROWTH FUND CLASS A	66538R821	SDAAX	Load	Initial : 2500.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SWAN FUNDS	SWAN DEFINED RISK GROWTH FUND CLASS I	66538R797	SDAIX	No/Low Load	Initial : 100000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SWAN FUNDS	SWAN DEFINED RISK GROWTH FUND CLASS Y	66538R789	SDAYX	No/Low Load	Initial : 999999.99; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SWAN FUNDS	SWAN DEFINED RISK U.S. SMALL CAP FUND CLASS A	66538G254	SDCAX	Load	Initial : 1000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SWAN FUNDS	SWAN DEFINED RISK U.S. SMALL CAP FUND CLASS I	66538G239	SDCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SWAN FUNDS	SWAN DEFINED RISK U.S. SMALL CAP FUND CLASS Y	66538R706	SDCYX	No/Low Load	Initial : 999999.99; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
SYMONS FUNDS	SYMONS VALUE FUND INSTITUTIONAL CLASS II	90470L675	SVTIX	No/Low Load	Initial : 2500.0; Sub : 250.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 AMERICAN MUTUAL PORTFOLIO FUND CLASS A	565016839	JAMAX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 BLUE CHIP GROWTH PORTFOLIO FUND CLASS A	565016805	JBCAX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 CAPITAL APPRECIATION PORTFOLIO FD CL A	47804E108	JJCAX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 COLLEGE PORTFOLIO CLASS A	56501V107	JEHAX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 EQUITY INCOME PORTFOLIO FUND CLASS A	565016789	JIEIX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 EQUITY PORTFOLIO CLASS A	56501V842	JHEAX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 FIXED INCOME PORTFOLIO CLASS A	56501V792	JHFXA	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 FUTURE TRENDS PORTFOLIO CLASS A	56501V826	JJAFX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 INTERNATIONAL VALUE PORTFOLIO FUND CLASS A	47804E405	JIVEX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK AGE BASED 2029-2032 PORTFOLIO FUND CLASS A	280911793	JENAX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM 529 PORTFOLIO 2037-2040 CLASS A	280911470	JHALX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM 529 PORTFOLIO 2037-2040 CLASS F	280911454	JHAKX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM AMERICAN MUTUAL PORTFOLIO FUND CLASS F	280911496	JHOMX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM BLUE CHIP GROWTH PORTFOLIO FUND CLASS F	280911561	JHGBX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM CAPITAL APPRECIATION PORTFOLIO FD CL F	280911512	JIFCL	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM COLLEGE PORTFOLIO FUND CLASS F	280911660	JHCSX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM EQUITY INCOME PORTFOLIO FUND CLASS F	280911538	JHIPX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM EQUITY PORTFOLIO FUND CLASS F	280911637	JHEPX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM FIXED INCOME PORTFOLIO FUND CLASS F	280911645	JHFEX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM FUTURE TRENDS PORTFOLIO FUND CLASS F	280911629	JFILX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM INTERNATIONAL VALUE PORTFOLIO FD CL F	280911546	JITNX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM MID CAP VALUE PORTFOLIO FUND CLASS F	280911553	JHMMX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM MONEY MARKET PORTFOLIO FUND CLASS F	280911488	JHFXK	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM MULTI MANAGER LIFESTYLE BALANCED FD CL F	280911595	JHMOX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM MULTI MANAGER LIFESTYLE GROWTH FUND CLASS F	280911611	JHMLX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM MULTI MANAGER LIFESTYLE MODERATE FD CL F	280911587	JHMMX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM NEW HORIZONS PORTFOLIO FUND CLASS F	280911579	JHNNX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM PORTFOLIO 2021-2024 FUND CLASS F	280911686	JFPAX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM PORTFOLIO 2025-2028 FUND CLASS F	280911694	JHPIX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM PORTFOLIO 2029-2032 FUND CLASS F	280911710	JHDSX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM PORTFOLIO 2033-2036 CLASS A	280911744	JENFX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM PORTFOLIO 2033-2036 FUND CLASS F	280911728	JLDSX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM SHORT TERM BOND PORTFOLIO FUND CLASS F	280911652	JHSYX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK FREEDOM SMALL CAP STOCK PORTFOLIO FUND CLASS F	280911520	JFSCX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK MULTIMANAGER LIFESTYLE BALANCED PORTFOLIO FD CL A	280911801	JLBEX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK MULTIMANAGER LIFESTYLE GROWTH PORTFOLIO FD CL A	280911868	JLMEX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 JOHN HANCOCK MULTIMANAGER LIFESTYLE GROWTH PORTFOLIO FD CL A	280911504	JLGEX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 MID-CAP VALUE PORTFOLIO FUND CLASS A	565016862	JTMAX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 MONEY MARKET PORTFOLIO FUND	280911405	JMMXX	No/Low Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	529 MONEY MARKET PORTFOLIO FUND CLAS A	280911769	JHAXX	Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 NEW HORIZONS PORTFOLIO FD CL A	280911108	JNHAX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
T ROWE PRICE FUNDS	529 PORTFOLIO 2021-2024 CLASS A	565016748	JEVAX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 PORTFOLIO 2025-2028 CLASS A	280911835	JEFAX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 SHORT TERM BOND PORTFOLIO (CLOSED) CLASS A	56501V776	JHSAX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	529 SMALL CAP STOCK PORTFOLIO FUND CLASS A	565016763	JSECX	Load	Initial : 50.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE DIVERSIFIED MID-CAP GROWTH FUND	779585108	PRDMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE GLOBAL GROWTH STOCK FUND	77956H732	RPGEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE GLOBAL GROWTH STOCK FUND ADVISOR CLASS	77956H716	PAGLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE INSTITUTIONAL GLOBAL FOCUSED GROWTH EQUITY FUND	74144Q302	TRGSX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE INSTITUTIONAL GLOBAL GROWTH EQUITY FUND	74144Q708	RPIGX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE AFRICA AND MIDDLE EAST FUND	77956H740	TRAMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE ASIA OPPORTUNITIES FUND ADVISOR CLASS	77956H617	PAAOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE ASIA OPPORTUNITIES FUND INVESTOR CLASS	77956H625	TRAOX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE BALANCED	77954G108	RPBAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE BLUE CHIP GROWTH	77954Q106	TRBCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE BLUE CHIP GROWTH - ADVISOR CLASS	77954Q205	PABGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE BLUE CHIP GROWTH FUND CLASS R	77954Q304	RRBGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE CALIFORNIA TAX-FREE BOND	77954J102	PRXCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE CALIFORNIA TAX-FREE MONEY	77954J201	PCTXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE CAP APPRECIATION FUND ADVISOR CLASS	77954M204	PACLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE CAPITAL APPRECIATION	77954M105	PRWCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE CORPORATE INCOME	741478101	PRPIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE DIVIDEND GROWTH	779546100	PRDGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE DIVIDEND GROWTH FUND ADVISOR CLASS	779546209	TADGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING EUROPE FUND	77956H815	TREMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS BOND	77956H872	PREMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS BOND FD ADVISOR CL	77956H492	PAIKX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS BOND FUND CLASS I	77956H534	PRXIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS CORPORATE BOND FUND	77956H658	TRECX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS CORPORATE BOND FUND ADVISOR CLASS	77956H641	PACEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS STOCK	77956H864	PRMSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS STOCK FUND CLASS I	77956H484	PRZIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE EQUITY INCOME	779547108	PRFDX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EQUITY INCOME - ADVISOR CLASS	779547207	PAFDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EQUITY INCOME FUND CLASS R	779547306	RRFDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EQUITY INDEX 500	779552108	PREIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EQUITY INDEX 500 FUND CLASS I	779552405	PRUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EUROPEAN STOCK	77956H401	PRESX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EXTENDED EQUITY MARKET INDEX	779552207	PEXMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE FINANCIAL SERVICES	77954N103	PRISX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE FLOATING RATE FUND	87279B106	PRFRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE FLOATING RATE FUND ADVISOR CLASS	87279B205	PAFRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GEORGIA TAX-FREE BOND	77957R705	GTFBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL ALLOCATION FUND ADVISOR CLASS	87281T202	PAFGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL ALLOCATION FUND INVESTOR CLASS	87281T103	RPGAAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL CONSUMER FUND INVESTOR CLASS	77956H344	PGLGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL HIGH INCOME BOND FUND CLASS I	77956H476	RPOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL INDUSTRIALS FUND INVESTOR CLASS	77956H633	RPGIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL MULTI-SECTOR BOND FUND	74149N106	PRSNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL MULTI-SECTOR BOND FUND ADVISOR CLASS	74149N205	PRSAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL REAL ESTATE FUND	87279M201	TRGRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL REAL ESTATE FUND ADVISOR CLASS	87279M102	PAGEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL STOCK FUND ADVISOR CLASS	77956H856	PRGSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL STOCK FUND ADVISOR CLASS	77956H765	PAGSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL TECHNOLOGY	74149A108	PRGTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE GNMA	779549104	PRGMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GOVERNMENT MONEY FUND	779573104	PRRXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GROWTH & INCOME	779551100	PRGIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GROWTH STOCK	741479109	PRFGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GROWTH STOCK FUND ADVISOR CLASS	741479208	TRSAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GROWTH STOCK FUND CLASS I	741479406	PRUFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GROWTH STOCK FUND CLASS R	741479307	RRGSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE HEALTH SCIENCES FUND	741480107	PRHSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE HIGH YIELD	741481105	PRHYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE HIGH YIELD - ADVISOR CLASS	741481204	PAHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE HIGH YIELD FUND CLASS I	741481303	PRHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE INFLATION PROTECTED BOND FUND	77958D101	PRPIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INST INTERNATIONAL CONCENTRATED EQUITY FUND	74144Q807	RPICX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INST'L AFRICA & MIDDLE EAST FUND	74144Q609	TRIAAX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INST'L EMERGING MARKETS EQUITY FUND	74144Q203	IEMFX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE INST'L U.S. STRUCTURED RESEARCH FUND	45775L705	TRISX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INSTITUTIONAL CORE PLUS FUND	77958B303	TICPX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INSTITUTIONAL EMERGING MKTS BOND FUND	74144Q401	TREBX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INSTITUTIONAL FLOATING RATE FUND	77958B402	RPIFX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INSTITUTIONAL GLOBAL VALUE EQUITY FUND	74144Q872	PRIGX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INSTITUTIONAL HIGH YIELD FUND	77958B204	TRHYX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
T ROWE PRICE FUNDS	T ROWE PRICE INSTITUTIONAL INTERNATIONAL CORE EQUITY FUND	74144Q880	TRCXC	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INSTITUTIONAL LARGE CAP CORE GROWTH FUND	45775L507	TPGLX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INSTITUTIONAL LARGE CAP GROWTH FUND	45775L408	TRGLX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INSTITUTIONAL LARGE CAP VALUE	45775L200	TILCX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INSTITUTIONAL MID CAP EQUITY GROWTH FUND	45775L101	PMEXG	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE INSTITUTIONAL SMALL CAP STOCK	45775L309	TRSSX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE INT STOCK - ADVISOR CLASS	77956H823	PAITX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERMEDIATE TAX FREE HIGH YIELD FUND ADVISOR CLASS	87279L203	PRAHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERMEDIATE TAX FREE HIGH YIELD FUND INVESTOR CLASS	87279L104	PRHIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL BOND	77956H104	RPIBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL BOND FUND CLASS I	77956H450	RPISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL CONCENTRATED EQUITY FUND ADVISOR CLASS	77956H583	PRNCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL CONCENTRATED EQUITY FUND INVESTOR CLASS	77956H591	PRCNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL DISCOVERY	77956H302	PRIDX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL EQUITY INDEX	77958A107	PIEQX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL STOCK	77956H203	PRITX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL STOCK FUND CLASS I	77956H526	PRUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL STOCK FUND CLASS R	77956H781	RRITX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL VALUE EQUITY FUND	77956H849	TRIGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL VALUE EQUITY FUND ADVISOR CLASS	77956H773	PAIGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL VALUE EQUITY FUND CLASS I	77956H518	TRTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL VALUE EQUITY FUND CLASS R	77956H799	RRIGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTL BOND FUND ADVISOR CLASS	77956H831	PAIBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE JAPAN FUND	77956H708	PRJPX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE LATIN AMERICA	77956H880	PRLAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE MARYLAND TAX FREE MONEY FUND	77957R879	TMDXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE MARYLAND TAX-FREE BOND	77957R101	MDXBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE MD SHORT-TERM TAX-FREE BOND	77957R606	PRMDX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE MEDIA & TELECOMMUNICATIONS & TECHNOLOGY FUND INVESTOR CLASS	741454102	PRMTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE MID CAP GROWTH - ADVISOR CLASS	779556208	PAMCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE MID CAP GROWTH FUND CLASS I	779556406	RPTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE MID CAP VALUE FUND ADVISOR	77957Y304	TAMVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE MID CAP VALUE FUND CLASS I	77957Y403	TRMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE MID-CAP GROWTH	779556109	RPMGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE MID-CAP GROWTH FUND CLASS R	779556307	RRMGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE MID-CAP VALUE	77957Y106	TRMCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE MID-CAP VALUE FUND CLASS R	77957Y205	RRMVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE MULTI STRATEGY TOTAL RETURN FUND CLASS I	77958R209	TMSXX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW AMERICA GROWTH	779557107	PRWAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW AMERICA GROWTH FUND ADVISOR CLASS	779557206	PAWAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW ASIA	77956H500	PRASX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW ERA	779559103	PRNEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW HORIZONS FUND CLASS I	779562206	PRHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE NEW HORIZONS FUND INVESTOR CLASS	779562107	PRNHX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE NEW INCOME	779570100	PRCIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW INCOME FUND ADVISOR CLASS	779570209	PANIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW INCOME FUND CLASS I	779570407	PRPXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW INCOME FUND CLASS R	779570308	RRNIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW JERSEY TAX-FREE BOND	77957R507	NITFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW YORK TAX-FREE BOND	779571108	PRNYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW YORK TAX-FREE MONEY	779571207	NYTXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE OVERSEAS STOCK FUND	77956H757	TROXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE OVERSEAS STOCK FUND ADVISOR CLASS	77956H443	PAEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE OVERSEAS STOCK FUND CLASS I	77956H435	TROIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE PERSONAL STRATEGY BALANCED	77957L104	TRPBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE PERSONAL STRATEGY GROWTH	77957L203	TRSGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE PERSONAL STRATEGY INCOME	77957L302	PRSIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE QM U.S. SMALL CAP GROWTH EQUITY FUND	779917103	PRDSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE REAL ASSETS FUND	87279W100	PRAFV	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE REAL ASSETS FUND CLASS I	87279W209	PRRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE REAL ESTATE	779919109	TRREX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE REAL ESTATE FUND ADVISOR CLASS	779919208	PAREX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2005 FUND	74149P812	TRRFV	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2005 FUND ADVISOR CLASS	74149P713	PARGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2005 FUND CLASS R	74149P697	RRTLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2010 ADVISOR CLASS	74149P861	PARAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2010 FUND	74149P101	TRRAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2010 FUND CLASS R	74149P606	RRTAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2015 FUND	74149P796	TRRGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2015 FUND ADVISOR CLASS	74149P689	PARHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2015 FUND CLASS R	74149P671	RRTMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2020 FUND	74149P200	TRRBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2020 FUND CLASS R	74149P705	RRTBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2025 FUND	74149P788	TRRHX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2025 FUND ADVISOR CLASS	74149P663	PARIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2025 FUND CLASS R	74149P655	RRTNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2030 ADVISOR CLASS	74149P846	PARCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2030 FUND	74149P309	TRRCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2030 FUND CLASS R	74149P804	RRTCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2035 FUND	74149P770	TRRIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2035 FUND CLASS R	74149P630	RRTPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2040 ADVISOR CLASS	74149P838	PARDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2040 FUND	74149P408	TRRDY	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2040 FUND CLASS R	74149P887	RRTDY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2045 FUND	74149P762	TRRKX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2045 FUND CLASS R	74149P614	RRTRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2050 FUND CLASS R	74149P721	RRTFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2055 FUND CLASS R	74149P580	RRTVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT BALANCED FD	74149P507	TRRIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT INCOME FUND ADVISOR CLASS	74149P820	PARIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT INCOME FUND CLASS R	74149P879	RRTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2020 ADVISOR CLASS	74149P853	PARBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SCIENCE & TECH - ADVISOR CLASS	77957M201	PASTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SCIENCE & TECHNOLOGY	77957M102	PRSCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SHORT TERM BOND FUND ADVISOR CLASS	77957P204	PASHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SHORT- TERM BOND	77957P105	PRWBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SMALL CAP STOCK	779572106	OTCFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE SMALL CAP STOCK - ADVISOR CLASS	779572403	PASSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE SMALL CAP STOCK FUND CLASS I	779572502	OTIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE SMALL CAP VALUE - ADVISOR CLASS	77957Q202	PASVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SMALL CAP VALUE FUND CLASS I	77957Q301	PRVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SMALL- CAP VALUE	77957Q103	PRSVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SPECTRUM GROWTH	779906205	PRSGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SPECTRUM INCOME	779906106	RPSIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SPECTRUM INTERNATIONAL	779906304	PSLIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SUMMIT MUNICIPAL INCOME FUND	77957N308	PRNIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SUMMIT MUNICIPAL INCOME FUND ADVISOR CLASS	77957N506	PAIMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE FUND ADVISOR CLASS	77957N407	PAIFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE INVESTOR CLASS	77957N209	PRSMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE SUMMIT MUNICIPAL MONEY	77957N100	TRSMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2005 FD INVESTOR CLASS	74149P572	TRARX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2005 FUND ADVISOR CLASS	74149P440	PANRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2010 FD INVESTOR CLASS	74149P564	TRROX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2010 FUND ADVISOR CLASS	74149P432	PAERX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2015 FUND ADVISOR CLASS	74149P424	PAHRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2015 FUND INVESTOR CLASS	74149P556	TRRTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2020 FUND ADVISOR CLASS	74149P416	PAIRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2020 FUND INVESTOR CLASS	74149P549	TRTRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2025 FUND ADVISOR CLASS	74149P390	PAURX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2025 FUND INVESTOR CLASS	74149P531	TRRVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2030 FUND ADVISOR CLASS	74149P382	PAKRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2030 FUND INVESTOR CLASS	74149P523	TRRWX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2035 FUND ADVISOR CLASS	74149P374	PATVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2035 FUND INVESTOR CLASS	74149P515	RPRGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2040 FD INVESTOR CLASS	74149P499	TRHRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2040 FUND ADVISOR CLASS	74149P366	PAHHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2045 FD INVESTOR CLASS	74149P481	RPTFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2045 FUND ADVISOR CLASS	74149P358	PAFFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2050 FD INVESTOR CLASS	74149P473	TRFOX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2050 FUND ADVISOR CLASS	74149P341	PAOFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2055 FD INVESTOR CLASS	74149P465	TRFFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TARGET RETIREMENT 2055 FUND ADVISOR CLASS	74149P333	PAFTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TAX-FREE INCOME FUND ADVISOR CLASS	779576206	PATAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TAX-EFFICIENT MULTI-CAP GROWTH	779918309	PREFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TAX-EXEMPT MONEY	779575109	PTEXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TAX-FREE HIGH YIELD FUND	741486104	PRFHX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TAX-FREE INCOME	779576107	PRTAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TAX-FREE SHORT INTERMEDIATE	779902105	PRFSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TAX-FREE SHORT-INTERMEDIATE FUND ADVISOR CLASS	779902204	PATIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE TOTAL EQUITY MARKET INDEX	779552306	POMIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE U.S. BOND INDEX	741495105	PBDIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE U.S. LARGE CAP CORE FUND ADVISOR CLASS	74149R206	PAULX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE U.S. LARGE CAP CORE FUND INVESTOR CLASS	74149R107	TRULX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE U.S. TREASURY INTERMEDIATE	779571107	PRTX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE U.S. TREASURY LONG-TERM	779571206	PRULX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE U.S. TREASURY MONEY	779571305	PRTXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE U.S. EQUITY RESEARCH FUND ADVISOR CLASS	77954P306	PACOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE VALUE	779578103	TRVLX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE VALUE FUND CLASS I	779578301	TRPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE VALUE FUND- ADVISOR CLASS	779578202	PAVLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or "Class A" funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
T ROWE PRICE FUNDS	T ROWE PRICE VIRGINIA TAX-FREE BOND FUND	77957R408	PRVAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE ULTRA SHORT TERM BOND FUND	77957P303	TRBUX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE 2050 RETIREMENT FUND	74149P754	TRRMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE 2055 RETIREMENT FUND	74149P747	TRRNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE BALANCED FUND CLASS I	77954G207	RBAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE BLUE CHIP GROWTH FUND CLASS I	77954Q403	TBCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE CALIFORNIA TAX-FREE BOND FUND CLASS I	77954J300	TCFEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE CALIFORNIA TAX-FREE MONEY FUND CLASS I	77954J409	TCBXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE CAPITAL APPRECIATION FD CL I	77954M303	TRAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE CASH RESERVES FUND	77957K106	TSCXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE CORPORATE INCOME FUND CLASS I	87281Q109	TICCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE DIVIDEND GROWTH FUND CLASS I	779546308	PDGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE DYNAMIC CREDIT FUND CLASS I	77956H161	RPELX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE DYNAMIC CREDIT FUND INVESTOR CLASS	77956H179	RPIDX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE DYNAMIC GLOBAL BOND FUND ADVISOR CLASS	77956H567	PAIEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE DYNAMIC GLOBAL BOND FUND INVESTOR CLASS	77956H575	RPEIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS CORPORATE BOND FUND CLASS I	77956H351	TECIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS DISCOVERY STOCK FUND ADVISOR CLASS	77956H393	PAIUX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS DISCOVERY STOCK FUND INVESTOR CLASS	77956H419	PRIUX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS LOCAL CURRENCY BOND FD	77956H674	PRELX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS LOCAL CURRENCY BOND FUND ADVISOR CLASS	77956H666	PAELX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EMERGING MARKETS LOCAL CURRENCY BOND FUND CLASS I	77956H369	TEIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE EQUITY INCOME FUND CLASS I	779547405	REIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GEORGIA TAX-FREE BOND FUND CLASS I	77957R861	TBGAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL HIGH INCOME BOND FUND ADVISOR CLASS	77956H542	PAIHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE GLOBAL HIGH INCOME BOND FUND INVESTOR CLASS	77956H559	RPHIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INFLATION PROTECTED BOND FUND CLASS I	77958D200	TIIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INSTITUTIONAL MARKETS EQUITY CL	74144Q864	PRFFX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INSTL CREDIT OPPORTUNITIES FUND	77958B808	TRXPX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERMEDIATE TAX FREE HIGH YIELD FD CL I	87279L302	TFHAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL BD FD ADVISOR CLASS (USD) (HDG)	77956H187	TTABX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL BD FD INVESTOR CLASS	77956H211	TNIBX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL BOND FUND CLASS I (USD) (HDG)	77956H195	TNBMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE INTERNATIONAL DISCOVERY FD CL I	77956H377	TIDDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T ROWE PRICE LIMITED DURATION INFLATION FOCUSED BOND FD INVESTOR CL	872798103	TRBFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE LIMITED DURATION INFLATION FOCUSED BOND FUND CLASS I	872798202	TRLDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE MARYLAND SHORT-TERM TAX-FREE BOND FD CL I	77957R838	TRMUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE MARYLAND TAX-FREE BOND FUND CLASS I	77957R853	TFBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE MARYLAND TAX-FREE MONEY FUND CLASS I	77957R846	TWNXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE MULTI STRATEGY TOTAL RETURN FUND INVESTOR CLASS	77958R100	TMSRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW AMERICA GROWTH FUND FUND CLASS I	779557305	PNAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW ASIA FUND CLASS I	77956H385	PNSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW ERA FUND CLASS I	87282K101	TRNEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW JERSEY TAX-FREE BOND FUND CLASS I	77957R820	TRJIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW YORK TAX-FREE BOND FUND CLASS I	779571306	TRVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE NEW YORK TAX-FREE MONEY FUND CLASS I	779571405	TRNXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE PERSONAL STRATEGY BALANCED FUND CL I	77957L401	TPPAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE PERSONAL STRATEGY GROWTH FUND CLASS I	77957L500	TGIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE PERSONAL STRATEGY INCOME FUND CLASS I	77957L609	PPPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE QM U.S. SMALL & MID CAP CORE EQUITY FUND ADVISOR CLASS	779917608	TQSAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE QM U.S. SMALL & MID CAP CORE EQUITY FUND CLASS I	779917707	TQSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE QM U.S. SMALL & MID CAP CORE EQUITY FUND INVESTOR CLASS	779917509	TQSMX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE QM U.S. SMALL CAP GROWTH EQUITY FUND ADVISOR CLASS	87283A201	TQAAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE QM U.S. VALUE EQUITY FUND ADVISOR CLASS	779917889	TQVAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE QM U.S. VALUE EQUITY FUND CLASS I	779917871	TQVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE QM U.S. VALUE EQUITY FUND INVESTOR CLASS	779917806	TQMVX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE REAL ESTATE FUND CLASS I	779919307	TIRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2005 FUND CLASS I	872797105	TRFPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2010 FUND CLASS I	872797204	TRPAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2015 FUND CLASS I	872797303	TRFGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2020 FUND CLASS I	872797402	TRBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2025 FUND CLASS I	872797501	TRPHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2030 FUND CLASS I	872797600	TRPCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2035 FUND ADVISOR CLASS	74149P648	PARKX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2035 FUND CLASS I	872797709	TRPJX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2040 FUND CLASS I	872797808	TRPDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2045 FUND ADVISOR CLASS	74149P622	PARLX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2045 FUND CLASS I	872797881	TRPKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2050 FUND ADVISOR CLASS	74149P739	PARFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2050 FUND CLASS I	872797873	TRPMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2055 FUND ADVISOR CLASS	74149P598	PAROX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2055 FUND CLASS I	872797865	TRPNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2060 FUND ADVISOR CLASS	74149P317	TRRYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2060 FUND CLASS I	872797857	TRPLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T ROWE PRICE RETIREMENT 2060 FUND CLASS R	74149P291	TRRXZ	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
T ROWE PRICE FUNDS	T. ROWE PRICE RETIREMENT 2060 FUND INVESTOR CLASS	74149P325	TRLRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE RETIREMENT BALANCED FUND CLASS I	872797840	TRPTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE SHORT TERM BOND FUND CLASS I	77957P402	TBSIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE SUMMIT MUNICIPAL INCOME FUND CLASS I	77957N704	PRIMX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE FUND CLASS I	77957N605	PRTMX	No/Low Load	Initial : 0.01; Sub : 0.01	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET 2005 FUND CLASS I	872797832	TFRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET 2010 FUND CLASS I	872797824	TORFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET 2015 FUND CLASS I	872797816	TRTRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET 2020 FUND CLASS I	872797790	TTURX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET 2025 FUND CLASS I	872797782	TRVXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET 2030 FUND CLASS I	872797774	TWRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET 2035 FUND CLASS I	872797766	TPGPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET 2040 FUND CLASS I	872797758	TRRXR	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET 2045 FUND CLASS I	872797741	TRFWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET 2050 FUND CLASS I	872797733	TOORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET 2055 FUND CLASS I	872797725	TRPPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET 2060 FUND CLASS I	872797717	ITIOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET RETIREMENT 2060 FUND ADVISOR CLASS	74149P283	TRTGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TARGET RETIREMENT 2060 FUND INVESTOR CLASS	74149P275	TRTFX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TAX EFFICIENT EQUITY FUND CLASS I	779918408	TEEFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TAX EXEMPT MONEY FUND CLASS I	779575307	TERXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TAX FREE INCOME FUND CLASS I	779576305	TFILX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TOTAL RETURN FUND ADVISOR CLASS	872803309	PTATX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TOTAL RETURN FUND CLASS I	872803200	PTKIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TOTAL RETURN FUND INVESTOR CLASS	872803101	PTTFX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE ULTRA SHORT TERM BOND FUND CLASS I	77957P501	TRSTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE VIRGINIA TAX-FREE BOND FUND CLASS I	77957R788	TFBVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE QM GLOBAL EQUITY FUND ADVISOR CLASS	779917301	TQGAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE QM GLOBAL EQUITY FUND CLASS I	779917400	TQGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE QM GLOBAL EQUITY FUND INVESTOR CLASS	779917202	TQGX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE U.S. HIGH YIELD FUND ADVISOR CLASS	741481501	TUHAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE U.S. HIGH YIELD FUND CLASS I	741481600	TUHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE U.S. HIGH YIELD FUND INVESTOR CLASS	741481402	TUHYX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE DIVERSIFIED MID CAP GROWTH FUND CLASS I	779585207	RPTTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE GLOBAL INDUSTRIALS FUND CLASS I	77956H229	TRGAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE GLOBAL MULTI-SECTOR BOND FUND CLASS I	87282M107	PGMSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE GNMA FUND CLASS I	779549203	PRAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE GOVERNMENT MONEY FUND CLASS I	87279V102	TTGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE AFRICA & MIDDLE EAST FUND CLASS I	77956H260	PRAMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE ASIA OPPORTUNITIES FUND CLASS I	77956H252	TRASX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE COMMUNICATIONS & TECHNOLOGY FUND CLASS I	87282P100	TTMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE CREDIT OPPORTUNITIES FUND ADVISOR CLASS	87279J208	PAOPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE CREDIT OPPORTUNITIES FUND CLASS I	87279J307	TCRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE CREDIT OPPORTUNITIES FUND INVESTOR CLASS	87279J109	PRCPX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE DYNAMIC GLOBAL BOND FUND CLASS I	77956H468	RPEIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE EMERGING EUROPE FUND CLASS I	77956H245	TTEEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE EMERGING MARKETS DISCOVERY STOCK FUND CLASS I	77956H237	REVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE EUROPEAN STOCK FUND CLASS I	77956H310	TEUIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE FINANCIAL SERVICES FUND CLASS I	87282H108	TFIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE FLOATING RATE FUND CLASS I	87279B304	TFAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE GLOBAL ALLOCATION FUND CLASS I	87281T301	TGAFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE GLOBAL GROWTH STOCK FUND CLASS I	77956H294	RGXIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE GLOBAL REAL ESTATE FUND CLASS I	87279M300	TIRGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE GLOBAL STOCK FUND CLASS I	77956H328	TRGLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE GLOBAL TECHNOLOGY FUND CLASS I	74149A306	PGTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
T ROWE PRICE FUNDS	T. ROWE PRICE GROWTH & INCOME FUND CLASS I	87281V108	TGTIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE HEALTH SCIENCES FUND CLASS I	87281Y102	THISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE INTERNATIONAL CONCENTRATED EQUITY FUND CLASS I	77956H336	RICIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE JAPAN FUND CLASS I	77956H286	RJAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE LATIN AMERICA FUND CLASS I	77956H278	RLAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE QM U.S. SMALL CAP GROWTH EQUITY CLASS I	87283A102	TQAIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE SCIENCE AND TECHNOLOGY FUND CLASS I	87282N105	TSNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TAX FREE HIGH YIELD FUND ADVISOR CLASS	741486203	PATFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TAX FREE HIGH YIELD FUND CLASS I	741486302	PTYIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE TAX FREE SHORT INTERMEDIATE FD CL I	87282A103	TTISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE U.S. EQUITY RESEARCH FUND	77954P108	PROCX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE U.S. EQUITY RESEARCH FUND CLASS I	87282F102	PCCOX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE U.S. EQUITY RESEARCH FUND CLASS R	77954P207	RRCOX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE PRICE U.S. LARGE CAP CORE FUND CLASS I	74149R305	RCLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE U.S. TREASURY INTERMEDIATE FUND CLASS I	77957T404	PRKIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE U.S. TREASURY LONG TERM FUND CLASS I	77957T503	PRUUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
T ROWE PRICE FUNDS	T. ROWE U.S. TREASURY MONEY FUND CLASS I	77957T602	TRGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TCM GROWTH FUNDS	TCM SMALL CAP GROWTH FUND	742935455	TCMSX	No/Low Load	Initial : 100000.0; Sub : 2500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
THE ARBITRAGE FUNDS	THE ARBITRAGE FUND CLASS A	03875R866	ARGAX	Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE ARBITRAGE FUNDS	THE ARBITRAGE FUND CLASS I	03875R205	ARBXX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
THE ARBITRAGE FUNDS	THE ARBITRAGE FUND CLASS R	03875R106	ARBFX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE ARBITRAGE FUNDS	WATER ISLAND CREDIT OPPORTUNITIES FUND CLASS I	03875R809	ACFIX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE ARBITRAGE FUNDS	WATER ISLAND CREDIT OPPORTUNITIES FUND CLASS R	03875R700	ARCFX	No/Low Load	Initial : 2000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE ARBITRAGE FUNDS	WATER ISLAND DIVERSIFIED EVENT-DRIVEN FUND CLASS A	03875R858	AGEAX	Load	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE ARBITRAGE FUNDS	WATER ISLAND DIVERSIFIED EVENT-DRIVEN FUND CLASS I	03875R403	AEDNX	No/Low Load	Initial : 10000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE ARBITRAGE FUNDS	WATER ISLAND DIVERSIFIED EVENT-DRIVEN FUND CLASS R	03875R304	AEDFX	No/Low Load; FundVest Focus	Initial : 2000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE COVERED BRIDGE FUNDS	THE COVERED BRIDGE FUND CLASS A	66538E523	TCBAX	Load	Initial : 5000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE COVERED BRIDGE FUNDS	THE COVERED BRIDGE FUND CLASS I	66538E499	TCBIX	Load	Initial : 1000000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE FX STRATEGY FUNDS	THE GLOBAL RATES FUND CLASS I	66537X795	FXFIX	No/Low Load	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE IMAN FUND	THE IMAN FUND	018866103	IMANX	No/Low Load	Initial : 100.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE NEW ALTERNATIVES FUNDS	NEW ALTERNATIVES FUND CLASS A	641868104	NALFX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE NEW ALTERNATIVES FUNDS	NEW ALTERNATIVES FUND INVESTORS CLASS	641868203	NAEFX	No/Low Load	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE TEBERG FUNDS	TEBERG FUND	66538E226	TEBRX	No/Low Load	Initial : 4000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	APPLIED FINANCE CORE FUND INSTITUTIONAL CLASS	98147A311	AFAZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	APPLIED FINANCE CORE FUND INVESTOR CLASS	98148K292	AFALX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	APPLIED FINANCE DIVIDEND FUND INSTITUTIONAL CLASS	98147A352	AFVDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	APPLIED FINANCE DIVIDEND FUND INVESTOR CLASS	98147A360	AFADX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	APPLIED FINANCE EXPLORER FUND INVESTOR CLASS	98147A295	AFVDX	No/Low Load; FundVest Focus	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	APPLIED FINANCE SELECT FUND INSTITUTIONAL CLASS	98148J188	AFVZX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	APPLIED FINANCE SELECT FUND INVESTOR CLASS	98148J196	AFVLX	No/Low Load	Initial : 25000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	CLIFFORD CAPITAL FOCUSED SMALL CAP VALUE FUND INSTITUTIONAL CLASS	98148K128	FSVXX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	CLIFFORD CAPITAL PARTNERS FUND INSTITUTIONAL CLASS	98147A246	CLIFX	No/Low Load	Initial : 10000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	CLIFFORD CAPITAL PARTNERS FUND INVESTOR CLASS	98147A253	CLFEX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	DGHM MICRO CAP VALUE FUND INSTITUTIONAL CLASS	98148J840	DGMIX	No/Low Load	Initial : 1000000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	DGHM MICRO CAP VALUE FUND INVESTOR CLASS	98148J832	DGMMX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	E VALUATOR AGGRESSIVE GROWTH (85%-99%) RMS FUND CLASS R4	98148J857	EVGFX	No/Low Load	Initial : 10000.0; Sub : 500.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	E VALUATOR AGGRESSIVE GROWTH (85%-99%) RMS FUND SERVICE CLASS	98148J865	EVAGX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	E VALUATOR CONSERVATIVE (15%-30%) RMS FUND CLASS R4	98148J402	EVFCX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	E VALUATOR CONSERVATIVE (15%-30%) RMS FUND SERVICE CLASS	98148J303	EVCLX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	E VALUATOR CONSERVATIVE/ MODERATE (30%-50%) RMS FUND CLASS R4	98148J600	EVFTX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	E VALUATOR CONSERVATIVE/ MODERATE (30%-50%) RMS FUND SERVICE CLASS	98148J501	EVTTX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	E VALUATOR GROWTH (70%-85%) RMS FUND CLASS R4	98148J873	EVGRX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	E VALUATOR GROWTH (70%-85%) RMS FUND SERVICE CLASS	98148J881	EVGLX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	E VALUATOR MODERATE (50%-70%) RMS FUND CLASS R4	98148J808	EVFMX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	E VALUATOR MODERATE (50%-70%) RMS FUND SERVICE CLASS	98148J709	EVMLX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	E VALUATOR VERY CONSERVATIVE (0%-15%) RMS FUND CLASS R4	98148J204	EVVCX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	E VALUATOR VERY CONSERVATIVE (0%-15%) RMS FUND SERVICE CLASS	98148J105	EVVLX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	MISSION AIOUR RISK MANAGED GLOBAL EQUITY FUND CLASS Z	98147A113	OURZX	No/Low Load	Initial : 9999999.99; Sub : 100.0	OURZRX	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	MISSION AIOUR RISK MANAGED GLOBAL EQUITY FUND INSTITUTIONAL CLASS	98147A121	OURIX	No/Low Load	Initial : 100000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	MISSION AIOUR RISK MANAGED GLOBAL EQUITY FUND INVESTOR CLASS	98147A139	OURLX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	MISSION-AIOUR RISK-MANAGED GLOBAL EQUITY FUND CLASS A	98147A444	OURAX	Load	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	OTG LATIN AMERICA FUND CLASS A	98148K227	OTGAX	Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	PERKINS DISCOVERY FUND	98147A337	PDFDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	REMS INTERNATIONAL REAL ESTATE OPP FUND FOUNDERS CLASS	98147A527	REFIX	No/Low Load	Initial : 50000.0; Sub : 5000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	REMS INTERNATIONAL REAL ESTATE VALUE- OPPORTUNITY FUND CL Z	98148K375	REIZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	REMS REAL ESTATE INCOME 50/50 FUND INSTITUTIONAL CLASS	98147A428	RREIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	REMS REAL ESTATE INCOME 50/50 FUND PLATFORM CLASS	98147A410	RREFX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	REMS REAL ESTATE VALUE OPPORTUNITY FUND INSTITUTIONAL CLASS	98147A394	HLRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	REMS REAL ESTATE VALUE OPPORTUNITY FUND PLATFORM CLASS	98147A386	HLPPX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	UNION STREET PARTNERS VALUE FUND ADVISOR CLASS	98147A279	USPFX	No/Low Load	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THE WORLD FUNDS	UNION STREET PARTNERS VALUE FUND CLASS A	98147A691	USPVX	Load	Initial : 2500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THIRD AVENUE FUNDS	THIRD AVENUE REAL ESTATE VALUE FUND CLASS Z	884116831	TARZX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THIRD AVENUE FUNDS	THIRD AVENUE REAL ESTATE VALUE FUND INSTITUTIONAL CLASS	884116401	TAREX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THIRD AVENUE FUNDS	THIRD AVENUE REAL ESTATE VALUE FUND INVESTOR CLASS	884116872	TVRVX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THIRD AVENUE FUNDS	THIRD AVENUE SMALL CAP VALUE FUND	884116203	TASCX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THIRD AVENUE FUNDS	THIRD AVENUE SMALL CAP VALUE FUND CLASS Z	884116849	TASZX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THIRD AVENUE FUNDS	THIRD AVENUE SMALL CAP VALUE FUND INVESTOR CLASS	884116880	TVSVX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THIRD AVENUE FUNDS	THIRD AVENUE VALUE FUND CLASS Z	884116856	TAVZX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THIRD AVENUE FUNDS	THIRD AVENUE VALUE FUND INSTITUTIONAL CLASS	884116104	TAVFX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THIRD AVENUE FUNDS	THIRD AVENUE VALUE FUND INVESTOR CLASS	884116807	TVVFX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THOMPSON IM FUNDS	THOMPSON BOND FUND	884891201	THOPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THOMPSON IM FUNDS	THOMPSON LARGCAP FUND	884891300	THPGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THOMPSON IM FUNDS	THOMPSON MIDCAP FUND	884891607	THPMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THRIVENT FUNDS	THRIVENT AGGRESSIVE ALLOCATION FUND CLASS A	885882332	TAAAX	Load	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THRIVENT FUNDS	THRIVENT AGGRESSIVE ALLOCATION FUND CLASS S	885882258	TAAIX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THRIVENT FUNDS	THRIVENT BALANCED INCOME PLUS FUND CLASS A	885882407	AABFX	Load	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THRIVENT FUNDS	THRIVENT BALANCED INCOME PLUS FUND CLASS S	885882605	IBBFX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THRIVENT FUNDS	THRIVENT DIVERSIFIED INCOME PLUS FUND CLASS A	885882472	AAHYX	Load	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THRIVENT FUNDS	THRIVENT DIVERSIFIED INCOME PLUS FUND CLASS S	885882456	THYFX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THRIVENT FUNDS	THRIVENT GOVERNMENT BOND FUND CLASS A	885882134	TBFAX	Load	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THRIVENT FUNDS	THRIVENT GOVERNMENT BOND FUND CLASS S	885882126	TBFIK	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THRIVENT FUNDS	THRIVENT HIGH INCOME MUNI BOND FUND CLASS S	88588R600	THMBX	No/Low Load	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THRIVENT FUNDS	THRIVENT HIGH YIELD FUND CLASS A	885882795	LBHYX	Load	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THRIVENT FUNDS	THRIVENT HIGH YIELD FUND CLASS S	885882779	LBHIX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
THRIVENT FUNDS	THRIVENT INCOME FUND CLASS A	885882449	LUBIX	Load	Initial : 2000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

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a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
THRIVENT FUNDS	THRIVENT INCOME FUND CLASS S	885882423	LBIX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT LARGE CAP GROWTH FUND CLASS A	885882100	AAAGX	Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT LARGE CAP GROWTH FUND CLASS S	885882308	THLCX	No/Low Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT LARGE CAP STOCK FUND CLASS A	885882860	AALGX	Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT LARGE CAP STOCK FUND CLASS S	885882845	ILIGX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT LARGE CAP VALUE FUND CLASS A	885882837	AAUTX	Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT LARGE CAP VALUE FUND CLASS S	885882811	TLVIX	No/Low Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT LIMITED MATURITY BOND FUND CLASS A	885882415	LBLAX	Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT LIMITED MATURITY BOND FUND CLASS S	885882381	THLIX	No/Low Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT LOW VOLATILITY EQUITY FUND CLASS S	885888303	TLVOX	No/Low Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MID CAP STOCK FUND CLASS A	885882688	AASCX	Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MID CAP STOCK FUND CLASS S	885882662	TMSIX	No/Low Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MODERATE ALLOCATION FUND CLASS A	885882316	THMAX	Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MODERATE ALLOCATION FUND CLASS S	885882233	TMAIX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MODERATELY AGGRESSIVE ALLOCATION FUND CLASS A	885882324	TMAAX	Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MODERATELY AGGRESSIVE ALLOCATION FUND CLASS S	885882241	TMAFX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MODERATELY CONSERVATIVE ALLOCATION FUND CLASS A	885882290	TCAAX	Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MODERATELY CONSERVATIVE ALLOCATION FUND CLASS S	885882225	TCAIX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MONEY MARKET FUND CLASS A	885882654	AMMXX	Load	Initial: 1000.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MONEY MARKET FUND CLASS S	885882639	AALXX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MULTI DIMENSIONAL INCOME FUND CLASS S	885888402	TMLDX	No/Low Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MUNICIPAL BOND FUND CLASS A	885882621	AAMBX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT MUNICIPAL BOND FUND CLASS S	885882597	TMBIX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT OPPORTUNITY INCOME PLUS FUND CLASS A	885882704	AAINX	Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT OPPORTUNITY INCOME PLUS FUND CLASS S	885882886	HIINX	No/Low Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT PARTNER EMERGING MARKETS EQUITY FUND CLASS A	885888105	TPEAX	Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT PARTNER EMERGING MARKETS EQUITY FUND CLASS S	885888204	TPEIX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT PARTNER WORLDWIDE ALLOCATION FUND CLASS A	885882159	TWAAX	Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT PARTNER WORLDWIDE ALLOCATION FUND CLASS S	885882142	TWAIX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT SMALL CAP GROWTH FUND CLASS S	885888501	TSCGX	No/Low Load	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT SMALL CAP STOCK FUND CLASS A	885882571	AA5MX	Load	Initial: 2000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
THRIVENT FUNDS	THRIVENT SMALL CAP STOCK FUND CLASS S	885882555	TSCSX	No/Low Load; FundVest Institutional	Initial: 1000.0; Sub: 50.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	SOCIAL CHOICE BOND FUND RETAIL CLASS	87245R714	TSBRX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	SOCIAL CHOICE BOND FUND RETIREMENT CLASS	87245R698	TSBBX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF 5-15 YEAR LADDERED TAX-EXEMPT BOND FUND RETAIL CLASS	886315878	TIXRX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF BOND FUND RETAIL CLASS	886315712	TIORX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF BOND PLUS FUND RETAIL CLASS	886315407	TCBPX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF EMERGING MARKETS EQUITY INDEX FUND INSTITUTIONAL CLASS	87245M228	TEQLX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF EQUITY INDEX FUND INSTITUTIONAL CLASS	87244W508	TIEXI	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF EQUITY INDEX FUND RETAIL CLASS	886315746	TINRX	No/Low Load	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF EQUITY INDEX FUND RETIREMENT CLASS	886315753	TIQRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF GROWTH AND INCOME FUND RETAIL CLASS	886315761	TIIRX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF HIGH YIELD FUND RETAIL CLASS	886315811	TIYRX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF INFLATION LINK BOND FUND INSTITUTIONAL CLASS	87244W482	TIILX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF INFLATION-LINKED BOND FUND RETAIL CLASS	87244W474	TCILX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF INTERNATIONAL EQUITY FUND RETAIL CLASS	886315779	TIERX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF INTL EQUITY INDEX FUND RETIREMENT CLASS	87244W490	TRIEX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF LARGE-CAP GROWTH INDEX FUND RETIREMENT CLASS	87244W672	TRIRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF LARGE-CAP VALUE FUND RETAIL CLASS	87244W466	TCLCX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF LARGE-CAP VALUE INDEX FUND RETIREMENT CLASS	87244W656	TRCVX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF LIFECYCLE FUND 2010 RETIREMENT CLASS	87244W458	TCLEX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF MANAGED ALLOCATION FUND RETAIL CLASS	886315845	TIIMX	No/Low Load	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF MID-CAP GROWTH FUND RETAIL CLASS	87244W870	TCMGX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF MID-CAP GROWTH FUND RETIREMENT CLASS	87244W888	TRGMX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF MID-CAP VALUE FUND RETAIL CLASS	87244W847	TCMVX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF QUANT SMALL CAP EQUITY FUND RETAIL CLASS	87244W813	TCSEX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF QUANT SMALL CAP EQUITY RETIREMENT FD CL	87244W821	TRSEX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF REAL ESTATE SECS FUND RETAIL CLASS	87244W771	TCREX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF REAL ESTATE SECS FUND RETIREMENT CLASS	87244W789	TRRSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF S&P 500 INDEX FUND RETIREMENT CLASS	87244W698	TRSPX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF SHORT TERM BOND FUND II RETAIL CLASS	886315704	TCRXX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF SMALL-CAP BLEND INDEX FUND RETIREMENT CLASS	87244W565	TRBIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA CREF SOCIAL CHOICE EQUITY FUND RETAIL CLASS	886315738	TCIRX	No/Low Load; FundVest Focus	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF 5-15 YEAR LADDERED TAX-EXEMPT BOND FUND ADVISOR CLASS	87245P627	TIXHX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF 5-15 YEAR LADDERED TAX-EXEMPT BOND FUND INSTITUTIONAL CLASS	886315860	TIITX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF BOND FUND ADVISOR CLASS	87245P718	TIBHX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF BOND FUND CLASS I	87244W607	TIBDX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF BOND FUND RETIREMENT CLASS	886315720	TIDRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF BOND INDEX FUND ADVISOR CLASS	87245P692	TBIAX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF BOND INDEX FUND INSTITUTIONAL CLASS	87245M848	TBIIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF BOND INDEX FUND RETAIL CLASS	87245M616	TBILX	No/Low Load	Initial: 500.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF BOND INDEX FUND RETIREMENT CLASS	87245M855	TBIRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF BOND PLUS FUND ADVISOR CLASS	87245P684	TCBHX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF BOND PLUS FUND CLASS I	886315506	TIBFX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF BOND PLUS II FUND RETIREMENT CLASS	886315605	TCBRX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
TIAA CREF FUNDS	TIAA-CREF EMERGING MARKETS DEBT FUND ADVISOR CLASS	87245R318	TEHDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF EMERGING MARKETS DEBT FUND INSTITUTIONAL CLASS	87245R581	TEDNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF EMERGING MARKETS DEBT FUND RETAIL CLASS	87245R623	TEDLX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF EMERGING MARKETS DEBT FUND RETIREMENT CLASS	87245R615	TEDTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF EMERGING MARKETS EQUITY FUND ADVISOR CLASS	87245R375	TEMHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF EMERGING MARKETS EQUITY FUND CLASS I	87245M269	TEMLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF EMERGING MARKETS EQUITY FUND RETIREMENT CLASS	87245M285	TEMSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF EMERGING MARKETS EQUITY INDEX FD RETIREMENT CLASS	87245M244	TEQSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF EMERGING MARKETS EQUITY INDEX FUND ADVISOR	87245M129	TEQHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF EMERGING MARKETS EQUITY INDEX FUND RETAIL CLASS	87245M251	TEQKX	No/Low Load	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF EMERGING MARKETS EQUITY RETAIL CLASS	87245M293	TEMRX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF EQUITY INDEX FUND ADVISOR CLASS	87245R276	TEIHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF GREEN BOND FUND ADVISOR CLASS	87249N875	TGRKX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF GREEN BOND FUND INSTITUTIONAL CLASS	87249N883	TGRNX	No/Low Load	Initial : 200000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF GREEN BOND FUND RETAIL CLASS	87249N842	TGROX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF GREEN BOND FUND RETIREMENT CLASS	87249N859	TGRMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF GROWTH & INCOME FUND ADVISOR CLASS	87245R185	TGIHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF GROWTH & INCOME FUND CLASS I	87244W409	TIGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF GROWTH & INCOME FUND RETIREMENT CLASS	87244W763	TRGIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF HIGH YIELD BOND FUND RETIREMENT CLASS	886315787	TIHRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF HIGH YIELD FUND ADVISOR CLASS	87245P676	TIHHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF HIGH-YIELD FUND CLASS I	886315795	TIHYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INFLATION LINKED BOND FUND ADVISOR CLASS	87245P668	TIHXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INFLATION- LINKED BOND FUND RETIREMENT CLASS	886315696	TIKRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL BOND FUND ADVISOR CLASS	87245P528	TIBNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL BOND FUND INSTITUTIONAL CLASS	87245P536	TIBWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL BOND FUND RETAIL CLASS	87245P486	TIBEX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL BOND FUND RETIREMENT CLASS	87245P494	TIBVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL EQUITY FUND ADVISOR CLASS	87245R342	TIEXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL EQUITY FUND CLASS I	87244W102	TIEXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL EQUITY FUND RETIREMENT CLASS	87244W748	TRERX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL EQUITY INDEX FUND ADVISOR CLASS	87245M111	TIHXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL EQUITY INDEX FUND INSTITUTIONAL CLASS	87244W516	TCIEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL OPPORTUNITIES FUND ADVISOR CLASS	87245R334	TIOHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL OPPORTUNITIES FUND CLASS I	87245R631	TIOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL OPPORTUNITIES FUND RETAIL CLASS	87245R664	TIOSX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF INTERNATIONAL OPPORTUNITIES FUND RETIREMENT CLASS	87245R656	TIOTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LARGE CAP GROWTH FUND RETAIL CLASS	87244W342	TIRTX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LARGE CAP GROWTH INDEX FUND INSTITUTIONAL CLASS	87244W680	TILUX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LARGE CAP VALUE INDEX FUND INSTITUTIONAL CLASS	87244W664	TILVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LARGE-CAP GROWTH FUND CLASS I	87244W334	TILGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LARGE-CAP GROWTH FUND RETIREMENT CLASS	87244W326	TILRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LARGE-CAP GROWTH INDEX FUND ADVISOR CLASS	87245R292	TRIHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LARGE-CAP ROWTH FUND ADVISOR CLASS	87245R177	TILHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LARGE-CAP VALUE FUND ADVISOR CLASS	87245R169	TRLHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LARGE-CAP VALUE FUND CLASS I	87244W730	TRLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LARGE-CAP VALUE FUND RETIREMENT CLASS	87244W722	TRLCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LARGE-CAP VALUE INDEX FUND ADVISOR CLASS	87245R284	THCVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2010 FUND ADVISOR CLASS	87245P205	TCLHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2010 FUND INSTITUTIONAL CLASS	886315662	TCIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2015 FUND ADVISOR CLASS	87245P304	TCNHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2015 FUND INSTITUTIONAL CLASS	886315654	TCNIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2020 FUND ADVISOR CLASS	87245P403	TCWHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2020 FUND INSTITUTIONAL CLASS	886315647	TCWIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2025 FUND ADVISOR CLASS	87245P502	TCQHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2025 FUND INSTITUTIONAL CLASS	886315639	TCYIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2030 FUND ADVISOR CLASS	87245P601	TCHHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2030 FUND INSTITUTIONAL CLASS	886315621	TCRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2035 FUND ADVISOR CLASS	87245P700	TCYHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2035 FUND INSTITUTIONAL CLASS	886315613	TCIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2040 FUND ADVISOR CLASS	87245P809	TCZHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2040 FUND INSTITUTIONAL CLASS	886315597	TCOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2045 FUND ADVISOR CLASS	87245P882	TFHXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2045 FUND INSTITUTIONAL CLASS	886315589	TFPIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2045 FUND RETIREMENT CLASS	886315522	TFTRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2050 FUND ADVISOR CLASS	87245P874	TFTHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2050 FUND INSTITUTIONAL CLASS	886315571	TFITX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2050 FUND RETIREMENT CLASS	886315514	TLFRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2055 FUND ADVISOR CLASS	87245P866	TTRHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2055 FUND INSTITUTIONAL CLASS	87245M210	TTRIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2055 FUND RETIREMENT CLASS	87245M194	TTRLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2060 FUND ADVISOR CLASS	87245P858	TLHXX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2060 FUND INSTITUTIONAL CLASS	87245R573	TLNXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2060 FUND RETIREMENT CLASS	87245R532	TLRXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE 2060 INDEX FUND INST'L CLASS	87245R565	TVIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A' funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE FUND 2015 RETIREMENT CLASS	87244W441	TCLXL	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE FUND 2020 RETIREMENT CLASS	87244W433	TCLTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE FUND 2025 RETIREMENT CLASS	87244W425	TCLFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE FUND 2030 RETIREMENT CLASS	87244W417	TCLNX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE FUND 2035 RETIREMENT CLASS	87244W391	TCLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE FUND 2040 RETIREMENT CLASS	87244W383	TCLCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2010 FUND ADVISOR CLASS	87245P833	TLTHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2010 FUND INSTITUTIONAL CLASS	87245M830	TLTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2015 FUND ADVISOR CLASS	87245P825	TLFAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2015 FUND INSTITUTIONAL CLASS	87245M822	TLFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2020 FUND ADVISOR CLASS	87245P817	TLWHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2020 FUND INSTITUTIONAL CLASS	87245M814	TLWIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2025 FUND ADVISOR CLASS	87245P791	TLQHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2025 FUND INSTITUTIONAL CLASS	87245M798	TLQIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2030 FUND ADVISOR CLASS	87245P783	TLHHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2030 FUND INSTITUTIONAL CLASS	87245M780	TLHIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2035 FUND ADVISOR CLASS	87245P775	TLVHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2035 FUND INSTITUTIONAL CLASS	87245M772	TLVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2040 FUND ADVISOR CLASS	87245P767	TLZHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2040 FUND INSTITUTIONAL CLASS	87245M764	TLZIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2045 FUND ADVISOR CLASS	87245P759	TLMHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2045 FUND INSTITUTIONAL CLASS	87245M756	TLXIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2050 FUND ADVISOR CLASS	87245P742	TLHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2050 FUND INSTITUTIONAL CLASS	87245M749	TLXIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2055 FUND ADVISOR CLASS	87245P734	TLTHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2055 FUND INSTITUTIONAL CLASS	87245M178	TLTHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2060 FUND ADVISOR CLASS	87245P726	TLVHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX 2060 FUND RETIREMENT CLASS	87245R557	TLVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX FUND RETIREMENT CLASS	87245M889	TRCIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX RETIREMENT INCOME FUND ADVISOR CLASS	87245P841	TLHIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE INDEX RETIREMENT INCOME FUND INSTITUTIONAL CLASS	87245M731	TRLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE RETIREMENT INCOME FUND ADVISOR CLASS	87245P106	TLRHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE RETIREMENT INCOME FUND INSTITUTIONAL CLASS	886315563	TLRHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE RETIREMENT INCOME FUND PREMIER CLASS	87245M335	TPLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE RETIREMENT INCOME FUND RETAIL CLASS	886315498	TLRRX	No/Low Load	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFECYCLE RETIREMENT INCOME FUND RETIREMENT CL	886315480	TLRRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE AGGRESSIVE GROWTH FUND ADVISOR CLASS	87245R227	TSAXH	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE AGGRESSIVE GROWTH FUND CLASS I	87245R748	TSAXI	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE AGGRESSIVE GROWTH FUND RETAIL CLASS	87245R755	TSALX	No/Low Load	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE AGGRESSIVE GROWTH FUND RETIREMENT CL	87245R722	TSARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE CONSERVATIVE FUND ADVISOR CLASS	87245R250	TLSHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE CONSERVATIVE FUND CLASS I	87245R870	TCSEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE CONSERVATIVE FUND RETAIL CLASS	87245R888	TSCLX	No/Low Load	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE CONSERVATIVE FUND RETIREMENT CLASS	87245R854	TSCTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE GROWTH FUND ADVISOR CLASS	87245R235	TSGHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE GROWTH FUND CLASS I	87245R789	TSGGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE GROWTH FUND RETAIL CLASS	87245R797	TSGLX	No/Low Load	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE GROWTH FUND RETIREMENT CLASS	87245R763	TSGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE INCOME FUND ADVISOR CLASS	87245R268	TSIHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE INCOME FUND CLASS I	87245R607	TSITX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE INCOME FUND RETAIL CLASS	87245R508	TSILX	No/Low Load	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE INCOME FUND RETIREMENT CLASS	87245R805	TLSRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE MODERATE FUND ADVISOR CLASS	87245R243	TSMHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE MODERATE FUND CLASS I	87245R839	TSIMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE MODERATE FUND RETAIL CLASS	87245R847	TSMLX	No/Low Load	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF LIFESTYLE MODERATE FUND RETIREMENT CLASS	87245R813	TSMTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF MANAGED ALLOCATION FUND CLASS I	886315837	TIMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF MANAGED ALLOCATION II FUND RETIRE CL	886315829	TITRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF MID-CAP GROWTH FUND ADVISOR CLASS	87245R151	TCMHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF MID-CAP GROWTH FUND CLASS I	87244W805	TRPWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF MID-CAP VALUE FUND ADVISOR CLASS	87245R144	TRVHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF MID-CAP VALUE FUND INSTITUTIONAL CLASS	87244W862	TIMVX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF MID-CAP VALUE FUND RETIREMENT CLASS	87244W854	TRVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF MONEY MARKET FUND ADVISOR CLASS	87245P619	TMHXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF MONEY MARKET FUND RETAIL CLASS	886315670	TIRXX	No/Low Load	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF MONEY MARKET FUND RETIREMENT CLASS	886315688	TIEXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT INTERNATIONAL EQUITY FUND CLASS I	886315555	TFIIX	No/Low Load	Initial : 2000000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT INTERNATIONAL EQUITY INDEX FUND ADVISOR CLASS	87245R367	TEIEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT INTERNATIONAL SMALL-CAP EQUITY FUND ADVISOR CLASS	87245P460	TAISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT INTERNATIONAL SMALL-CAP EQUITY FUND CLASS I	87245P478	TIISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT INTERNATIONAL SMALL-CAP EQUITY FUND RETAIL CLASS	87245P437	TLISX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT INTERNATIONAL SMALL-CAP EQUITY FUND RETIREMENT CLASS	87245P445	TTISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT LARGE-CAP GROWTH FUND ADVISOR CLASS	87245R193	TECGX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT LARGE-CAP GROWTH FUND INSTL CLASS	886315548	TLIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT LARGE-CAP VALUE FUND ADVISOR CLASS	87245R219	TELCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
TIAA CREF FUNDS	TIAA-CREF QUANT LARGE-CAP VALUE FUND CLASS I	886315530	TEVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT SMALL CAP EQUITY INSTL FUND CLASS	87244W839	TISEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT SMALL MID CAP EQUITY FUND ADVISOR CLASS	87245P577	TSMNX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT SMALL MID CAP EQUITY FUND INST CL	87245P585	TSMWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT SMALL MID CAP EQUITY RETAIL FD CL	87245P544	TSMEX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT SMALL MID CAP EQUITY RETIREMENT FD CL	87245P551	TSMGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF QUANT SMALL-CAP EQUITY FUND ADVISOR CLASS	87245R136	TSCHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF REAL ESTATE SECURITIES FUND ADVISOR CLASS	87245P593	TIRHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF REAL ESTATE SECURITIES FUND CLASS I	87244W797	TIREX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF S&P 500 INDEX FUND ADVISOR CLASS	87245M145	TISAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF S&P 500 INDEX FUND CLASS I	87244W714	TISPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SHORT DURATION IMPACT BOND FUND ADVISOR CLASS	87249N826	TSDBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SHORT DURATION IMPACT BOND FUND INSTITUTIONAL CLASS	87249N834	TSDBX	No/Low Load	Initial : 2000000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SHORT DURATION IMPACT BOND FUND RETAIL CLASS	87249N784	TSDBX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SHORT DURATION IMPACT BOND FUND RETIREMENT CLASS	87249N792	TSDDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SHORT TERM BOND FUND ADVISOR CLASS	87245P650	TCTHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SHORT TERM BOND FUND RETIREMENT CLASS	886315886	TISRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SHORT TERM BOND INDEX FD INSTITUTIONAL CL	87245R433	TNSHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SHORT TERM BOND INDEX FD RETIREMENT CL	87245R458	TESHX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SHORT TERM BOND INDEX FUND ADVISOR CLASS	87245P643	TTBHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SHORT TERM BOND INDEX FUND RETAIL CLASS	87245R466	TRSHX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SHORT-TERM BOND SHORT-TERM BOND FUND	886315803	TISIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SMALL CAP BLEND INDEX FUND INSTITUTIONAL CLASS	87244W573	TISBX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SMALL-CAP BLEND INDEX FUND ADVISOR CLASS	87245M137	TRHBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE BOND FUND ADVISOR CLASS	87245P635	TSBHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE BOND FUND CLASS I	87245E672	TSBIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE EQUITY FUND ADVISOR CLASS	87245R128	TICHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE EQUITY FUND INSTITUTIONAL CLASS	87244W300	TISCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE EQUITY FUND RETIREMENT CLASS	87244W755	TRSCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE INTL EQUITY FD INSTITUTIONAL CL	87245R474	TSO NX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE INTL EQUITY FD RETIREMENT CL	87245R490	TSOEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE INTL EQUITY FUND ADVISOR CLASS	87245R326	TSOHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE INTL EQUITY FUND RETAIL CLASS	87245R516	TSORX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE LOW CARBON EQUITY FD INSTL CL	87245R383	TNWCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE LOW CARBON EQUITY FUND ADVISOR CLASS	87245R110	TCCHX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE LOW CARBON EQUITY FUND RETAIL CLASS	87245R425	TLWCX	No/Low Load; FundVest Focus	Initial : 500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TIAA CREF FUNDS	TIAA-CREF SOCIAL CHOICE LOW CARBON EQUITY FUND RETIREMENT CLASS	87245R417	TEWCX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOCQUEVILLE FUNDS	THE TOCQUEVILLE FUND	888894102	TOCQX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOCQUEVILLE FUNDS	THE TOCQUEVILLE SELECT FUND	888894839	TSELX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOCQUEVILLE FUNDS	TOCQUEVILLE GOLD FUND	888894862	TGLDX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOCQUEVILLE FUNDS	TOCQUEVILLE GOLD FUND INSTITUTIONAL CLASS	888894711	TGLIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOCQUEVILLE FUNDS	TOCQUEVILLE OPPORTUNITY FUND	888894409	TOPPX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOCQUEVILLE FUNDS	TOCQUEVILLE PHOENIX FUND	888894847	TOPHX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOEWS FUNDS	TOEWS TACTICAL DEFENSIVE ALPHA FUND	66537X332	TTDAX	No/Low Load	Initial : 10000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOEWS FUNDS	TOEWS TACTICAL GROWTH ALLOCATION FUND	66537V369	THGWX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOEWS FUNDS	TOEWS TACTICAL INCOME FUND	66537V617	THHYX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOEWS FUNDS	TOEWS TACTICAL MONUMENT FUND	66537V583	THLGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOEWS FUNDS	TOEWS TACTICAL OCEANA FUND	66537V591	THIDX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOEWS FUNDS	TOEWS TACTICAL OPPORTUNITY FUND	66537V575	THSMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TOEWS FUNDS	TOEWS UNCONSTRAINED INCOME FUND	66538B883	TUIFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TORTOISE FUNDS	TORTOISE MLP & PIPELINE FUND CLASS A	56166Y305	TORTX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TORTOISE FUNDS	TORTOISE MLP AND PIPELINE FUND INSTITUTIONAL CLASS	56166Y404	TORIX	No/Low Load	Initial : 1000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TORTOISE FUNDS	TORTOISE SELECT OPPORTUNITIES FUND CLASS A	56166Y586	TOPTX	Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TORTOISE FUNDS	TORTOISE SELECT OPPORTUNITIES FUND CLASS I	56166Y578	TOPIX	No/Low Load	Initial : 1000000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA ASSET ALLOCATION CONSERV. PORT. FUND CLASS A	893957811	ICLAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA ASSET ALLOCATION CONSERVATIVE PORTFOLIO FD CL R	893962787	ICVRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA ASSET ALLOCATION CONSERVATIVE PORTFOLIO FUND CL I	893962258	TACIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA ASSET ALLOCATION GROWTH PORT. FUND CLASS A	893957753	IAAAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA ASSET ALLOCATION GROWTH PORTFOLIO FD CL R	893962753	IGWRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA ASSET ALLOCATION GROWTH PORTFOLIO FUND CL I	893962282	TAGIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA ASSET ALLOCATION MODERATE GROWTH PORT. CL A	893957696	IMLAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA ASSET ALLOCATION MODERATE GROWTH PORTFOLIO FD CL R	893962761	IMGRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA ASSET ALLOCATION MODERATE GROWTH PORTFOLIO FUND CLASS I	893962274	TMGIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA ASSET ALLOCATION MODERATE PORTFOLIO FD CL R	893962779	IMDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA ASSET ALLOCATION MODERATE PORTFOLIO FUND CL A	893957647	IMOAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA ASSET ALLOCATION MODERATE PORTFOLIO FUND CL I	893962266	TMMIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA BALANCED II FUND CLASS R	89360T806	TBLRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA BOND FUND CLASS A	893957258	IDITX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA BOND FUND CLASS I	893962142	TFXIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA CAPITAL GROWTH FUND CLASS A	893958462	IALAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA CAPITAL GROWTH FUND CLASS I	893962175	TFOIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA DIVIDEND FOCUSED FUND CLASS A	89355J565	TDFAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA DIVIDEND FOCUSED FUND CLASS I	89355J540	TDFIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA DYNAMIC ALLOCATION FUND CLASS A	89355J755	ATTRX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA DYNAMIC ALLOCATION FUND CLASS I	89355J730	ITTOX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
TRANSAMERICA FUNDS	TRANSAMERICA DYNAMIC INCOME FUND CLASS A	89355J201	IGTAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA DYNAMIC INCOME FUND CLASS I	89355J409	IGTIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA EMERGING MARKETS DEBT FUND CLASS A	893509174	EMTAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA EMERGING MARKETS DEBT FUND CLASS I	893509158	EMTIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA EMERGING MARKETS EQUITY FUND CLASS A	89355J888	AEMTX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA EMERGING MARKETS EQUITY FUND CLASS I	89355J862	IEMTX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA FLOATING RATE FUND CLASS A	89355J292	TFLAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA FLOATING RATE FUND CLASS I	89355J276	TFLIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA GLOBAL EQUITY FUND CLASS A	893962837	IMNAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA GLOBAL EQUITY FUND CLASS I	893962233	TMUIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA GOVERNMENT MONEY MARKET CLASS A	893961755	IATXX	Load	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA HIGH QUALITY BOND FUND CLASS R	89360T863	TBDRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA HIGH YIELD BOND FUND CLASS A	893961102	IHIYX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA HIGH YIELD BOND FUND CLASS I	893962159	TDHIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA HIGH YIELD MUNI FUND CLASS A	89355J490	THAYX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA HIGH YIELD MUNI FUND CLASS I	89355J433	THYIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA INFLATION OPPORTUNITIES FUND CLASS A	89354D874	TIOAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA INFLATION OPPORTUNITIES FUND CLASS I	89354D858	ITIOX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA INTERMEDIATE BOND FUND CLASS R	89360T616	TMBRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
TRANSAMERICA FUNDS	TRANSAMERICA INTERMEDIATE MUNI FUND CLASS A	89355J615	TAMUX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA INTERMEDIATE MUNI FUND CLASS I	89355J581	TIMUX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA INTERNATIONAL EQUITY FUND CLASS A	893509240	TRWAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA INTERNATIONAL EQUITY FUND CLASS I	893509224	TSWIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA INTERNATIONAL EQUITY FUND CLASS R	89360T574	TRWRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
TRANSAMERICA FUNDS	TRANSAMERICA INTERNATIONAL GROWTH FUND CLASS A	89356L478	TGRHX	Load	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA INTERNATIONAL GROWTH FUND CLASS I	89356L460	TGRGX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA INTERNATIONAL SMALL CAP VALUE FUND CLASS I	89355J524	TISVX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA INTERNATIONAL STOCK FUND CLASS A	89360T343	TIHAX	Load	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA INTERNATIONAL STOCK FUND CLASS I	89360T335	TIHBX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA LARGE CAP VALUE FUND CLASS A	893509281	TWQAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA LARGE CAP VALUE FUND CLASS I	893509265	TWQIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA LARGE CORE FUND CLASS R	89360T798	TLARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
TRANSAMERICA FUNDS	TRANSAMERICA LARGE GROWTH FUND CLASS R	89360T764	TGWRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
TRANSAMERICA FUNDS	TRANSAMERICA LARGE VALUE OPPORTUNITIES FUND CLASS R	89360T731	TLORX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
TRANSAMERICA FUNDS	TRANSAMERICA MID CAP GROWTH FUND CLASS A	89355J383	MCGAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA MID CAP GROWTH FUND CLASS I	89355J367	IMCGX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA MID CAP GROWTH FUND CLASS R	89360T541	TMIRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
TRANSAMERICA FUNDS	TRANSAMERICA MID CAP VALUE OPPORTUNITIES FUND CLASS A	89354D791	MCVAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA MID CAP VALUE OPPORTUNITIES FUND CLASS I	89354D775	MVITX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA MID CAP VALUE OPPORTUNITIES FUND CLASS R	89360T517	TOTRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
TRANSAMERICA FUNDS	TRANSAMERICA MLP & ENERGY INCOME FUND CLASS A	89355J458	TMLAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA MLP & ENERGY INCOME FUND CLASS I	89355J474	TMLPX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA MULTI MGR. ALTER. STRT PORTFOLIO FUND CL A	893962654	IMUAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA MULTI- ASSET INCOME FUND CLASS A	89354D601	TASHX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA MULTI- ASSET INCOME FUND CLASS I	89354D809	TSHIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA MULTI- MANAGER ALTERNATIVE STRATEGIES FUND CL I	893962241	TASIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA MULTI-MANAGED BALANCED FUND CL A	893957316	IBALX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA MULTI-MANAGED BALANCED FUND CL I	893962167	TBLIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA SHORT- TERM BOND FUND CLASS A	893962639	ITAXX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA SHORT- TERM BOND FUND CLASS I	893962134	TSTIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA SMALL CAP CORE FUND CLASS A	89355J342	SCCAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA SMALL CAP CORE FUND CLASS I	89355J326	ISMIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA SMALL CAP CORE FUND CLASS R	89360T475	TCCRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
TRANSAMERICA FUNDS	TRANSAMERICA SMALL CAP GROWTH FUND CLASS A	89355J680	ASGTX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA SMALL CAP GROWTH FUND CLASS I	89355J664	ISCGX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA SMALL CAP GROWTH FUND CLASS R	89360T442	TSRPR	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
TRANSAMERICA FUNDS	TRANSAMERICA SMALL CAP VALUE FUND CLASS A	89355J797	TSLAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA SMALL CAP VALUE FUND CLASS I	89355J771	TSLIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA SMALL CAP VALUE FUND CLASS R4	89360T392	TSLFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA SMALLY /MID CAP VALUE FUND CLASS A	893957365	IIVAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA SMALLY /MID CAP VALUE FUND CLASS I	893962191	TSVIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA STOCK INDEX FUND CLASS R	89360T715	TSSTR	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
TRANSAMERICA FUNDS	TRANSAMERICA U. S. GROWTH FUND CLASS A	893962415	TADAX	Load; FundVest Institutional	Initial : 500.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA U. S. GROWTH FUND CLASS I	893962183	TDEIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRANSAMERICA FUNDS	TRANSAMERICA U. S. GROWTH FUND CLASS T	89355J508	TWMTX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
TRANSAMERICA FUNDS	TRANSAMERICA UNCONSTRAINED BOND FUND CLASS I	89355J219	TUNIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRIBUTARY FUNDS	TRIBUTARY BALANCED FUND INSTITUTIONAL FUNDS	89609H837	FOBAX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRIBUTARY FUNDS	TRIBUTARY GROWTH OPPORTUNITIES FUND INSTITUTIONAL FUNDS	89609H845	FOGRX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRIBUTARY FUNDS	TRIBUTARY GROWTH OPPORTUNITIES FUND INSTITUTIONAL PLUS CLASS	89609H605	FOGPN	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRIBUTARY FUNDS	TRIBUTARY INCOME FUND INSTITUTIONAL FUNDS	89609H852	FOINX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRIBUTARY FUNDS	TRIBUTARY INCOME FUND INSTITUTIONAL PLUS CLASS	89609H209	FOIPX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRIBUTARY FUNDS	TRIBUTARY SHORT INTERMEDIATE BOND FUND INSTITUTIONAL FUNDS	89609H860	FOISX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRIBUTARY FUNDS	TRIBUTARY SHORT INTERMEDIATE BOND FUND INSTITUTIONAL PLUS CLASS	89609H100	FOPSX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRIBUTARY FUNDS	TRIBUTARY SMALL COMPANY FUND INSTITUTIONAL FUNDS	89609H878	FOSCX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TRIBUTARY FUNDS	TRIBUTARY SMALL COMPANY FUND INSTITUTIONAL PLUS CLASS	89609H704	FOSBX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

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Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
TWEEDY BROWNE FUNDS	TWEEDY BROWNE GLOBAL VALUE FUND	'901165100	TBGVX	No/Low Load	Initial : 500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TWEEDY BROWNE FUNDS	TWEEDY BROWNE GLOBAL VALUE FUND II	'901165407	TBCUX	No/Low Load	Initial : 500.0; Sub : 200.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TWEEDY BROWNE FUNDS	TWEEDY BROWNE VALUE FUND	'901165209	TWEBX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TWEEDY BROWNE FUNDS	TWEEDY BROWNE WORLDWIDE HIGH DIVIDEND YIELD VALUE FD	'901165308	TBHDX	No/Low Load	Initial : 500.0; Sub : 200.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
TWO OAKS FUNDS	TWO OAKS DIVERSIFIED GROWTH AND INCOME FD CL A	'66538A406	TWOAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
U.S. GLOBAL INVESTORS FDS	HOLMES MACRO TRENDS FUND	'90330L105	MEGAX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
U.S. GLOBAL INVESTORS FDS	U S GLOBAL ACCOLADE EASTERN EUROPEAN FUND	'90330L402	EUROX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
U.S. GLOBAL INVESTORS FDS	U S NEAR TERM TAX FREE FUND	'911476851	NEARX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
U.S. GLOBAL INVESTORS FDS	U.S. GLOBAL INVESTORS U.S. GOV'T ULTRA-SHORT BOND FUND	'911476885	UGSDX	No/Low Load	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
U.S. GLOBAL INVESTORS FDS	US ALL AMERICAN EQUITY FUND	'911476604	GBTFX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
U.S. GLOBAL INVESTORS FDS	US CHINA REGION OPPORTUNITY FUND	'911476828	USCOX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
U.S. GLOBAL INVESTORS FDS	US GLOBAL INVESTORS GOLD AND PRECIOUS METALS FUND	'911478105	USERX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 50.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
U.S. GLOBAL INVESTORS FDS	US GLOBAL INVESTORS WORLD PRECIOUS MINERALS FUND	'911476802	UNWPX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
U.S. GLOBAL INVESTORS FDS	US GLOBAL RESOURCES FUND	'911476208	PSFPX	No/Low Load; FundVest Focus	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
USA MUTUALS FUNDS	USA MUTUALS NAVIGATOR FUND INSTITUTIONAL CLASS	'90347D682	UNAVX	No/Low Load; FundVest Institutional	Initial : 2000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
USA MUTUALS FUNDS	USA MUTUALS VICE FUND CLASS A	'90347D302	VICAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
USA MUTUALS FUNDS	USA MUTUALS VICE FUND INSTITUTIONAL CLASS	'90347D104	VICVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
USA MUTUALS FUNDS	USA MUTUALS VICE FUND INVESTOR CLASS	'90347D203	VICEX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE ASSET ALLOCATION FUND	'920395100	VLAAX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE ASSET ALLOCATION FUND CLASS I	'920395209	VLAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE CAPITAL APPRECIATION FUND	'920440104	VALIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE CAPITAL APPRECIATION FUND INC. INSTITUTIONAL CLASS	'920440203	VLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE CORE BOND FUND	'920394103	VAGIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE LARGER COMPANIES FOCUSED FUND	'920447109	VALLX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE LARGER COMPANIES FOCUSED FUND CLASS I	'920447208	VLLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE MID CAP FOCUSED FUND	'920423100	VLFXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE MIDCAP FOCUSED FUND INSTL CLASS	'920423209	VLMIX	No/Low Load	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE PREMIER GROWTH FUND	'920457108	VALSX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE SMALL CAP OPPORTUNITIES FUND	'920454105	VLEOX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE SMALL CAP OPPORTUNITIES FUND CLASS I	'920454204	VLEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VALUE LINE FUNDS	VALUE LINE TAX EXEMPT HIGH YIELD	'920461209	VLHXX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK CM COMMODITY INDEX FUND CLASS I	'921075297	COMIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK CONSTANT MATURITY COMMODITY INDEX FUND CL A	'921075313	CMCAX	Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK CONSTANT MATURITY COMMODITY INDEX FUND CL Y	'921075289	CMCYX	No/Low Load; FundVest Institutional	Initial : 1000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK EMERGING MARKETS FUND CLASS A	'921075875	GBFAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK EMERGING MARKETS FUND CLASS I	'921075438	EMRIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK EMERGING MARKETS FUND CLASS Y	'921075370	EMRYX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK GLOBAL HARD ASSETS FD CLASS A	'921075750	GHAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK GLOBAL HARD ASSETS FUND CLASS I	'921075412	GHAIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK GLOBAL HARD ASSETS FUND CLASS Y	'921075362	GHAYY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK INT'L INVESTORS GOLD FUND CLASS Y	'921075388	INIXY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK INTERNATL GOLD FUND CLASS A	'921075503	INIVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK INTL INVESTORS GOLD FUND CLASS I	'921075420	INIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK MORNINGSTAR WIDE MOAT FUND CLASS I	'92107P707	MWMIX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK NDR MANAGED ALLOCATION FUND CLASS A	'921075180	NDRMX	Load; FundVest Institutional	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK NDR MANAGED ALLOCATION FUND CLASS Y	'921075164	NDRYX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK UNCONSTRAINED EM BOND FUND CLASS I	'921075255	EMBUX	No/Low Load	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK UNCONSTRAINED EMERGING MARKETS BOND FUND CLASS A	'921075271	EMBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VAN ECK FUNDS	VAN ECK UNCONSTRAINED EMERGING MARKETS BOND FUND CLASS Y	'921075248	EMBXY	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VILLERE FUNDS	VILLERE BALANCED FUND INVESTOR CLASS	'742935539	VILLX	No/Low Load	Initial : 2000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VILLERE FUNDS	VILLERE EQUITY FUND	'74316J391	VLEQX	No/Low Load	Initial : 2000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS AVIVA MULTI - STRATEGY TARGET RETURN FUND A	'92835M794	VMSAX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS AVIVA MULTI - STRATEGY TARGET RETURN FUND I	'92835M778	VMSIX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS CEREDEX LARGE-CAP VALUE EQUITY FUND CLASS A	'92837F524	SVIIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS CEREDEX LARGE-CAP VALUE EQUITY FUND CLASS I	'92837F490	SVTIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS CEREDEX MID-CAP VALUE EQUITY FUND CLASS I	'92837F458	SMVTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS CEREDEX MID-CAP VALUE EQUITY FUND CLASS A	'92837F474	SAMVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS CEREDEX MID-CAP VALUE EQUITY FUND CLASS R6	'92837F441	SMVZX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS CEREDEX SMALL-CAP VALUE EQUITY FUND CLASS A	'92837F433	SASVX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
VIRTUS FUNDS	VIRTUS CEREDEX SMALL-CAP VALUE EQUITY FUND CLASS I	'92837F417	SCETX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
VIRTUS FUNDS	VIRTUS DUFF & INTERNATIONAL REAL ESTATE SECURITIES FUND CLASS I	'92828R735	PXRIX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS DUFF & PHELPS GLOBAL INFRASTRUCTURE FD CL A	'92828R826	PGUAX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS DUFF & PHELPS GLOBAL INFRASTRUCTURE FD CL I	'92828R792	PGIUX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS DUFF & PHELPS GLOBAL REAL ESTATE SECURITIES FUND CLASS A	'92828R412	VGSAX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS DUFF & PHELPS GLOBAL REAL ESTATE SECURITIES FUND CLASS I	'92828R388	VGSIX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS DUFF & PHELPS INT'L REAL ESTATE SECURITIES FUND CLASS A	'92828R750	PXRAX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS DUFF & PHELPS REAL ESTATE SECURITIES FD CL A	'92828R586	PHRAX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS DUFF & PHELPS REAL ESTATE SECURITIES FD CL I	'92828R552	PHRIX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS DUFF & PHELPS SELECT MLP AND ENERGY FUND A	'92835M729	VLPAX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS DUFF & PHELPS SELECT MLP AND ENERGY FUND I	'92835M695	VLPIX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS HERZFELD FUND CLASS A	'92828W874	VHFAX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS HERZFELD FUND CLASS I	'92828W858	VHFIX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS HORIZON WEALTH MASTERS FUND A	'92828W817	VVMAX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS HORIZON WEALTH MASTERS FUND I	'92828W783	VVMIX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR CAPITAL GROWTH FUND CLASS A	'92828N510	PSTAX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
VIRTUS FUNDS	VIRTUS KAR CAPITAL GROWTH FUND CLASS I	92828N478	PLGXG	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR EMERGING MARKETS SMALL-CAP FUND A	92828W627	VAESX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR EMERGING MARKETS SMALL-CAP FUND I	92828W593	VIEXS	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR GLOBAL QUALITY DIVIDEND FUND CLASS A	92828N460	PPTAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR GLOBAL QUALITY DIVIDEND FUND CLASS I	92828N445	PIPTX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR INTERNATIONAL SMALL CAP FUND CLASS R6	92828W551	VRISX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR INTERNATIONAL SMALL-CAP FUND A	92828W841	VISAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR INTERNATIONAL SMALL-CAP FUND I	92828W825	VIHSX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR INTERNATIONAL SMALL-MID CAP FUND CLASS A	92828W171	VKIAK	Load	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR INTERNATIONAL SMALL-MID CAP FUND CLASS I	92828W155	VKIIK	No/Low Load	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR LONG SHORT EQUITY FUND CLASS A	92835M539	VLSAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR LONG SHORT EQUITY FUND CLASS I	92835M513	VLSIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR MID CAP GROWTH FUND CLASS R6	92828N254	VRMGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR MID-CAP CORE FUND A	92828N114	VMACX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR MID-CAP CORE FUND I	92828N130	VIMCX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR MID-CAP GROWTH FUND CLASS A	92828N767	PHSKX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR MID-CAP GROWTH FUND CLASS I	92828N734	PICMX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR SMALL CAP GROWTH FUND CLASS R6	92828N247	VRSGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR SMALL MID CAP CORE FUND CLASS A	92828N221	VKSAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR SMALL MID CAP CORE FUND CLASS I	92828N197	VKSIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR SMALL-CAP CORE FUND CLASS A	92828N551	PKSAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
VIRTUS FUNDS	VIRTUS KAR SMALL-CAP CORE FUND CLASS I	92828N528	PKSFX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
VIRTUS FUNDS	VIRTUS KAR SMALL-CAP GROWTH FUND CLASS A	92828N627	PSGAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
VIRTUS FUNDS	VIRTUS KAR SMALL-CAP GROWTH FUND CLASS I	92828N593	PXSGX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	Closed to new investors
VIRTUS FUNDS	VIRTUS KAR SMALL-CAP VALUE FUND CLASS A	92828N684	PO SAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS KAR SMALL-CAP VALUE FUND CLASS I	92828N668	PXQ SX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET CORE PLUS BOND FUND CLASS A	92828R107	SAVAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET CORE PLUS BOND FUND CLASS I	92828R404	SAVYX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET HIGH YIELD FUND CLASS A	92828R784	PHCHX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET HIGH YIELD FUND I	92828W767	PHCIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET LOW DURATION CORE PLUS BOND FUND CL A	92828W346	HIMZX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET LOW DURATION CORE PLUS BOND FUND CL I	92828W320	HIBIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET MULTI-SECTOR INTERMEDIATE BOND FD CL A	92828R677	NAMFX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET MULTI-SECTOR INTERMEDIATE BOND FUND CLASS I	92828R289	VMFIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET MULTI-SECTOR SHORT TERM BOND FD CL A	92828R644	NARAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET MULTI-SECTOR SHORT TERM BOND FD CL I	92828R610	PIMSX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET SENIOR FLOATING RATE FUND CLASS A	92828R545	PSFRX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET SENIOR FLOATING RATE FUND CLASS I	92828R529	PSFIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET TAX-EXEMPT BOND FUND A	92828W312	HXBZX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS NEWFLEET TAX-EXEMPT BOND FUND I	92828W288	HXBIX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS RAMPART ALTERNATIVES DIVERSIFIER FUND CLASS A	92828R875	PDPAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS RAMPART ALTERNATIVES DIVERSIFIER FUND CLASS I	92828R313	VADIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS RAMPART ENHANCED CORE EQUITY FUND A	92828N874	PDIAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS RAMPART ENHANCED CORE EQUITY FUND I	92828N841	PKIIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS RAMPART EQUITY TREND FUND CLASS A	92828R255	VAPAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS RAMPART EQUITY TREND FUND CLASS I	92828R230	VAPIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS RAMPART MULTI-ASSET TREND FUND CLASS A	92828R180	VAAAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS RAMPART MULTI-ASSET TREND FUND CLASS I	92828R164	VAISX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS RAMPART SECTOR TREND FUND CLASS A	92828R487	PWBAX	Load; FundVest Institutional	Initial: 100.0; Sub: 100.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS RAMPART SECTOR TREND FUND CLASS I	92828R271	VARIX	No/Low Load; FundVest Institutional	Initial: 100000.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX CORE BOND FUND CLASS A	92837F102	STGIX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX CORE BOND FUND CLASS R	92837F201	SCIGX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX CORE FUND CLASS I	92837F300	STIGX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX CORPORATE BOND FUND CLASS A	92837F508	SAINX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX CORPORATE BOND FUND CLASS I	92837F706	STICX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX FLOATING RATE HIGH INCOME FUND CLASS A	92837F789	SFRAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX FLOATING RATE HIGH INCOME FUND CLASS I	92837F763	SAMBX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX FLOATING RATE HIGH INCOME FUND CLASS R6	92837F755	SFRZX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX HIGH GRADE MUNICIPAL BOND FUND CLASS A	92837F631	SFLT X	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX HIGH GRADE MUNICIPAL BOND FUND CLASS I	92837F623	SCFTX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX HIGH INCOME FUND CLASS I	92837F722	STHTX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX HIGH INCOME FUND CLASS R	92837F730	STHIX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX HIGH INCOME FUND CLASS R6	92837F714	STHZX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX HIGH YIELD FUND CLASS A	92837F698	HYP SX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX HIGH YIELD FUND CLASS I	92837F672	SAMHX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX HIGH YIELD FUND CLASS R	92837F680	HYLSX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX INVESTMENT GRADE TAX-EXEMPT BOND FUND CLASS A	92837F615	SISIX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX INVESTMENT GRADE TAX-EXEMPT BOND FUND CLASS I	92837F599	STTBX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX SHORT TERM BOND FUND CLASS A	92837F854	STSBX	Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX SHORT TERM BOND FUND CLASS I	92837F839	SSBTX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX SHORT TERM MUNICIPAL BOND FUND CLASS A	92837F565	SMMAX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX SHORT TERM MUNICIPAL BOND FUND CLASS I	92837F557	CMDTX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX TOTAL RETURN BOND FUND CLASS A	92837F805	CBPSX	Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX TOTAL RETURN BOND FUND CLASS I	92837F870	SAMFX	No/Low Load; FundVest Institutional	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX TOTAL RETURN BOND FUND CLASS R	92837F888	SCBLX	No/Low Load	Initial: 0.0; Sub: 0.0	FundServ	Purch: 04:00 PM; Red: 04:00 PM; Exch: 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(FundVest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
VIRTUS FUNDS	VIRTUS SEIX U.S. GOVN SECURITIES ULTRA-SHORT BOND FUND CLASS A	92837X681	SSAGX	Load	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX U.S. GOVT SECURITIES ULTRA-SHORT BOND FUND CLASS I	92837F821	SIGVX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX U.S. MORTGAGE FUND CLASS A	92837F185	SLTMX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX U.S. MORTGAGE FUND CLASS I	92837F169	SLMTX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX ULTRA SHORT BOND FUND CLASS A	92837X673	SASSX	Load	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SEIX ULTRA SHORT BOND FUND CLASS I	92837F797	SISSX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SGA EMERGING MARKETS GROWTH FUND CLASS A	92836N601	VAEGX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SGA EMERGING MARKETS GROWTH FUND CLASS I	92836N809	VIEGX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SGA GLOBAL GROWTH FUND CLASS A	92836N106	SGAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SGA GLOBAL GROWTH FUND CLASS I	92836N304	SGAPX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SGA GLOBAL GROWTH FUND CLASS R6	92836N403	SGARX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SGA INTERNATIONAL GROWTH FUND CLASS A	92837F284	SCIXH	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SGA INTERNATIONAL GROWTH FUND CLASS I	92837F276	STITX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SILVANT LARGE-CAP GROWTH STOCK FUND CLASS A	92837F391	STCIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SILVANT LARGE-CAP GROWTH STOCK FUND CLASS I	92837F375	STCAX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SILVANT SMALL-CAP GROWTH STOCK FUND CLASS A	92837F359	SCGIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS SILVANT SMALL-CAP GROWTH STOCK FUND CLASS I	92837F334	SSCTX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS TACTICAL ALLOCATION FUND CLASS A	92828N791	NAINX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS TACTICAL ALLOCATION FUND CLASS I	92836N502	VTAIH	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS VONTOBEL EMERGING MARKETS OPPORTUNITIES CLASS R6	92828W353	VREMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS VONTOBEL EMERGING MARKETS OPPORTUNITIES FUND A	92828W387	HEMZX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS VONTOBEL EMERGING MARKETS OPPORTUNITIES FUND I	92828W361	HIEMX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS VONTOBEL GLOBAL OPPORTUNITIES CLASS R6	92828W213	VROGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS VONTOBEL GLOBAL OPPORTUNITIES FUND CLASS A	92828R446	NWVWOX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS VONTOBEL GLOBAL OPPORTUNITIES FUND I	92828W775	WVWOIX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS VONTOBEL GREATER EUROPEAN OPPORTUNITY FD CL A	92828R347	VGEAX	Load; FundVest Institutional	Initial : 100.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS VONTOBEL GREATER EUROPEAN OPPORTUNITY FD CL I	92828R321	VGEIX	No/Low Load; FundVest Institutional	Initial : 100000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS ZEVENBERGEN INNOVATIVE GROWTH STOCK FUND CLASS A	92837F318	SAGAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUS ZEVENBERGEN INNOVATIVE GROWTH STOCK FUND CLASS I	92837F292	SCATX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIRTUS FUNDS	VIRTUSSEIX HIGH INCOME FUND CLASS A	92837F748	SAHIX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIVALDI FUNDS	VIVALDI MERGER ARBITRAGE FUND CLASS A	46141T877	VARAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIVALDI FUNDS	VIVALDI MERGER ARBITRAGE FUND INSTITUTIONAL CLASS	46141T869	VARBX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIVALDI FUNDS	VIVALDI MULTI STRATEGY FUND CLASS A	46141T687	OMOQX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VIVALDI FUNDS	VIVALDI MULTI STRATEGY FUND CLASS I	46141T679	OMOIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VULCAN FUNDS	VULCAN VALUE PARTNERS FUND INSTITUTIONAL CLASS	31761R229	VVLX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VULCAN FUNDS	VULCAN VALUE PARTNERS FUND INVESTOR CLASS	317609691	VVPLX	No/Low Load	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VULCAN FUNDS	VULCAN VALUE PARTNERS SMALL CAP FUND INSTITUTIONAL CLASS	31761R211	VVIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
VULCAN FUNDS	VULCAN VALUE PARTNERS SMALL CAP FUND INVESTOR CLASS	317609683	VVPSX	No/Low Load	Initial : 5000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
WALTHAUSEN FUNDS	WALTHAUSEN SELECT VALUE FUND INSTITUTIONAL CLASS	933310203	WVSVI	No/Low Load	Initial : 100000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WALTHAUSEN FUNDS	WALTHAUSEN SELECT VALUE FUND RETAIL CLASS	933310302	WVSVR	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WALTHAUSEN FUNDS	WALTHAUSEN SMALL CAP VALUE FUND INSTITUTIONAL CLASS	933310500	WFICX	No/Low Load	Initial : 100000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WALTHAUSEN FUNDS	WALTHAUSEN SMALL CAP VALUE FUND INVESTOR CLASS	933310104	WSCVX	No/Low Load	Initial : 2500.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WCM FUNDS	WCM FOCUSED EMERGING MARKETS FD INSTITUTIONAL CLASS	46141P834	WCMEX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WCM FUNDS	WCM FOCUSED EMERGING MARKETS FD INVESTOR CLASS	46141P842	WFEMX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WCM FUNDS	WCM FOCUSED GLOBAL GROWTH FUND INSTITUTIONAL CLASS	46141P818	WCMGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WCM FUNDS	WCM FOCUSED GLOBAL GROWTH FUND INVESTOR CLASS	46141P826	WFGGX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WCM FUNDS	WCM FOCUSED INTERNATIONAL GROWTH FUND INSTITUTIONAL CLASS	461418444	WCMIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WCM FUNDS	WCM FOCUSED INTERNATIONAL GROWTH FUND INVESTOR CLASS	461418368	WCMRX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WCM FUNDS	WCM INTERNATIONAL SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	46141Q683	WCMXS	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	THE WEITZ BALANCED FUND INSTITUTIONAL CLASS	94904P815	WBAIX	No/Low Load	Initial : 1000.0; Sub : 25.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	THE WEITZ ULTRA SHORT GOVERNMENT FUND INSTITUTIONAL CLASS	94904P401	SAFEX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ BALANCED FUND INVESTOR CLASS	94904P104	WBALX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ CORE PLUS INCOME FUND INSTITUTIONAL CLASS	94904P831	WCPBX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ CORE PLUS INCOME FUND INVESTOR CLASS	94904P823	WCPNX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ HICKORY FUND	94904P500	WEHIX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ NEBRASKA TAX FREE INCOME FUND	94904P807	WNTFX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ PARTNERS III OPPORTUNITY FUND INSTITUTIONAL CLASS	94904P708	WPOPX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ PARTNERS III OPPORTUNITY FUND INVESTOR CLASS	94904P872	WPOIX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ PARTNERS VALUE FUND INSTITUTIONAL CLASS	94904P849	WPVIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ PARTNERS VALUE FUND INVESTOR CLASS	94904P609	WPVLX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ SHORT- INTERMEDIATE INCOME FUND INVESTOR CLASS	94904P864	WSHNX	No/Low Load	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ SHORT-INTERMEDIATE INCOME FUND INSTITUTIONAL CLASS	94904P302	WEFIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ VALUE FUND INSTITUTIONAL CLASS	94904P856	WVAIX	No/Low Load; FundVest Institutional	Initial : 1000000.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WEITZ FUNDS	WEITZ VALUE FUND INVESTOR CLASS	94904P203	WVALX	No/Low Load; FundVest Focus	Initial : 2500.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR BOND FUND CLASS I	969251107	WBFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR BOND FUND CLASS N	969251206	WBBNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR EMERGING LEADERS GROWTH FUND CLASS I	969251404	WBELX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR EMERGING LEADERS GROWTH FUND CLASS N	969251867	WELNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR EMERGING MARKET SMALL CAP GROWTH FUND CLASS I	969251859	BESIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR EMERGING MARKET SMALL CAP GROWTH FUND CLASS N	969251818	WESNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR EMERGING MARKETS FUND CLASS N	093001212	WBENX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR EMERGING MARKETS GROWTH FUND CLASS I	093001220	WBEIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR GLOBAL LEADERS FUND CLASS I	093001113	WGFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR GLOBAL LEADERS FUND CLASS N	093001121	WGGNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR GROWTH FD CLASS I	093001865	BGFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	

List subject to change without notice.

Early redemption fees may apply to the sale of any mutual fund. For full details on early redemption fees, please refer to each mutual fund's prospectus.

Expense Ratio, 12b1 and Return Information provided by Lipper. Information as of 01/2020. For more recent fund information access the Research tab.

a: Purchase of front end load funds or Class A Funds are placed at NAV (Net Asset Value)

b: NTF(Fundvest) Funds redeemed or exchanged within three (3) calendar months of the purchase date will incur a transaction fee of \$50.00.

The no transaction fee eligibility applies to the initial transaction fee associated with the purchase of the fund. It does not apply to any management fees or other expenses associated with the fund, including any redemption fees.

For full details on these expenses/fees, please refer to the mutual fund prospectus.

Fund Family	Fund Description	CUSIP	Symbol	Fund Type	Purchase Minimum	Trading Platform	Pershing Cut-Off	Comments
WILLIAM BLAIR FUNDS	WILLIAM BLAIR GROWTH FUND CLASS N	093001105	WBGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR INCOME FUND CLASS I	093001683	BIFIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR INCOME FUND CLASS N	093001204	WBRRX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR INTERNATIONAL GROWTH CLASS I	093001774	BIGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
WILLIAM BLAIR FUNDS	WILLIAM BLAIR INTERNATIONAL GROWTH FUND CLASS N	093001402	WBIGX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
WILLIAM BLAIR FUNDS	WILLIAM BLAIR INTERNATIONAL LEADERS FUND CLASS I	969251719	WLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR INTERNATIONAL LEADERS FUND CLASS N	969251693	WLNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR INTERNATIONAL SMALL CAP GROWTH FD CL I	093001188	WISIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
WILLIAM BLAIR FUNDS	WILLIAM BLAIR INTERNATIONAL SMALL CAP GROWTH FUND CL N	093001170	WISNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
WILLIAM BLAIR FUNDS	WILLIAM BLAIR LARGE CAP GROWTH FUND CLASS I	093001543	LCGFX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR LARGE CAP GROWTH FUND CLASS N	093001535	LCGNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR LOW DURATION FUND CLASS I	969251602	WBLIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR LOW DURATION FUND CLASS N	969251701	WBLNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR MACRO ALLOCATION FUND CLASS I	969251784	WMCIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR MACRO ALLOCATION FUND CLASS N	969251792	WMCNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR MID CAP GROWTH FUND CLASS I	093001154	WCGIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR MID CAP GROWTH FUND CLASS N	093001147	WCGNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR SMALL CAP GROWTH FUND CLASS I	093001485	WBSIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR SMALL CAP GROWTH FUND CLASS N	093001477	WBSNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR SMALL CAP VALUE FUND CLASS I	093001824	BVDIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR SMALL CAP VALUE FUND CLASS N	093001600	WBVDX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR SMALL MID CAP GROWTH FUND CLASS I	093001295	WSMDX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR SMALL MID CAP GROWTH FUND CLASS N	093001345	WSMNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR SMALL-MID CAP FUND CLASS N	969251727	BSMNX	No/Low Load; FundVest Focus	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILLIAM BLAIR FUNDS	WILLIAM BLAIR SMALL-MID CAP VALUE FUND CLASS I	969251735	WSMIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON BROAD MARKET BOND FUND CLASS A	97181C829	WABMX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON BROAD MARKET BOND FUND INSTITUTIONAL CLASS	97181C811	WIBMX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON DIVERSIFIED INCOME FUND CLASS A	97181C746	WDIAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON GLOBAL ALPHA EQUITIES FUND CLASS A	97181C324	WRAAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON GLOBAL ALPHA EQUITIES FUND CLASS I	97181C332	WRAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON INTERMEDIATE-TERM BOND FUND CLASS A	97181C852	WIBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON INTERMEDIATE-TERM BOND FUND INSTITUTIONAL CLASS	97181C845	WIBIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON INTERNATIONAL FUND CLASS A	97181C795	WINAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON INTERNATIONAL FUND CLASS I	97181C738	WDIIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON INTERNATIONAL FUND CLASS I	97181C787	WINIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON LARGE- CAP STRATEGY FUND INSTITUTIONAL CLASS	97181C415	WMLIX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON MUNICIPAL BOND FUND CLASS A	97181C464	WTABX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON MUNICIPAL BOND FUND INSTITUTIONAL CLASS	97181C456	WTAIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON NEW YORK MUNICIPAL BOND FUND CLASS A	97181C589	WNYAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON NEW YORK MUNICIPAL BOND FUND INSTITUTIONAL CLASS	97181C571	WNYIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON REAL ASSET FUND CLASS A	97181C449	WMMRX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON REAL ASSET FUND CLASS I	97181C431	WMRIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON SHORT TERM BOND FUND CLASS A	97181C621	WSBAX	Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON SHORT TERM BOND FUND CLASS I	97181C597	WSBIX	No/Low Load; FundVest Institutional	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON U.S. GOVERNMENT MONEY MARKET FUND ADMINISTRATIVE CL	97181C803	WAGXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON U.S. GOVERNMENT MONEY MARKET FUND SELECT CLASS	97181C704	WGEXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	Closed to new investors
WILMINGTON FUNDS	WILMINGTON U.S. GOVERNMENT MONEY MARKET FUND SERVICE CLASS	97181C506	WGXXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON U.S. GOVT MONEY MARKET INSTITUTIONAL CLASS	97181C605	WGOXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON U.S. TREASURY MONEY MARKET FUND ADMINISTRATIVE CLASS	97181C480	WTAXX	No/Low Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
WILMINGTON FUNDS	WILMINGTON U.S. TREASURY MONEY MARKET FUND SELECT CLASS	97181C514	WTEXX	Load	Initial : 0.0; Sub : 0.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
YCG FUNDS	YCG ENHANCED FUND	98421P109	YCGEX	No/Low Load	Initial : 1000.0; Sub : 100.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ZEO FUNDS	ZEO SHORT DURATION INCOME FUND	66537X522	ZEOIX	No/Low Load	Initial : 1500.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	
ZEO FUNDS	ZEO SUSTAINABLE CREDIT FUND CLASS I	66538J514	ZSRIX	No/Low Load	Initial : 5000.0; Sub : 1000.0	FundServ	Purch : 04:00 PM; Red : 04:00 PM; Exch : 04:00 PM	