

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Gabelli	Comstock Capital Value Fund AAA Class	20567T109	COMVX			.25	3.56000	2.00	SELL ONLY
Gabelli	Comstock Capital Value Fund Class A	205763402	DRCVX	5.75		.25	3.56000	2.00	SELL ONLY
Gabelli	Comstock Capital Value Fund Class C	205763600	CPCCX		1.00	1.00	4.31000	2.00	SELL ONLY
Gabelli	Comstock Capital Value Fund Class I	205763709	CPCRX				3.31000	2.00	SELL ONLY
Gabelli	Gabelli ABC Fund Class AAA	36239V108	GABCX				0.85000	2.00	SELL ONLY
Gabelli	Gabelli ABC Fund Class Advisor	36239V207	GADVX			.25	1.10000	2.00	SELL ONLY
Gabelli	Gabelli Asset Fund Class A	362395204	GATAX	5.75		.25	1.38000	2.00	SELL ONLY
Gabelli	Gabelli Asset Fund Class AAA	362395105	GABAX			.25	1.38000	2.00	SELL ONLY
Gabelli	Gabelli Asset Fund Class C	362395402	GATCX		1.00	1.00	2.13000	2.00	SELL ONLY
Gabelli	Gabelli Asset Fund Class I	362395501	GABIX				1.13000	2.00	SELL ONLY
Gabelli	Gabelli Dividend Growth Fund Class A	36240D204	GBCAX	5.75		.25	2.70000	2.00	SELL ONLY
Gabelli	Gabelli Dividend Growth Fund Class AAA	36240D105	GABBX			.25	2.70000	2.00	SELL ONLY
Gabelli	Gabelli Dividend Growth Fund Class C	36240D402	GBCCX		1.00	1.00	3.45000	2.00	SELL ONLY
Gabelli	Gabelli Dividend Growth Fund Class Institutional	36240D501	GBCIX				2.45000	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisitions Fund Class A	29372K625	EMAAX	5.75		.25	1.87000	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisitions Fund Class AAA	362402109	EAAAX			.25	1.87000	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisitions Fund Class C	29372K591	EMACX		1.00	1.00	2.62000	2.00	SELL ONLY
Gabelli	Gabelli Enterprise Mergers and Acquisitions Fund Class Y	29372K583	EMAYX				1.62000	2.00	SELL ONLY
Gabelli	Gabelli Equity Income Fund Class A	36239T707	GCAEX	5.75		.25	1.43000	2.00	SELL ONLY
Gabelli	Gabelli Equity Income Fund Class AAA	36239T202	GABEX			.25	1.43000	2.00	SELL ONLY
Gabelli	Gabelli Equity Income Fund Class C	36239T731	GEICX		1.00	1.00	2.18000	2.00	SELL ONLY
Gabelli	Gabelli Equity Income Fund Class Institutional	36239T848	GCIEX				1.18000	2.00	SELL ONLY
Gabelli	Gabelli Focused Growth and Income Fund Class A	36239T400	GWSA X	5.75		.25	1.64000	2.00	SELL ONLY
Gabelli	Gabelli Focused Growth and Income Fund Class AAA	36239T301	GWSV X			.25	1.64000	2.00	SELL ONLY
Gabelli	Gabelli Focused Growth and Income Fund Class C	36239T608	GWSC X		1.00	1.00	2.39000	2.00	SELL ONLY

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Gabelli	Gabelli Focused Growth and Income Fund Class Institutional	36239T822	GWSIX				1.39000	2.00	SELL ONLY
Gabelli	Gabelli Global Content & Connectivity Fund Class A	36464T208	GTCAX	5.75		.25	1.90000	2.00	SELL ONLY
Gabelli	Gabelli Global Content & Connectivity Fund Class AAA	36464T109	GABTX			.25	1.90000	2.00	SELL ONLY
Gabelli	Gabelli Global Content & Connectivity Fund Class C	36464T406	GTCCX		1.00	1.00	2.52000	2.00	SELL ONLY
Gabelli	Gabelli Global Content & Connectivity Fund Class I	36464T794	GTTIX				1.65000	2.00	SELL ONLY
Gabelli	Gabelli Global Financial Services Fund Class A	36239T764	GGFSX	5.75		.25	1.71000	2.00	SELL ONLY
Gabelli	Gabelli Global Financial Services Fund Class AAA	36239T772	GAFSX			.25	1.71000	2.00	SELL ONLY
Gabelli	Gabelli Global Financial Services Fund Class C	36239T756	GCFSX		1.00	1.00	2.46000	2.00	SELL ONLY
Gabelli	Gabelli Global Financial Services Fund Class I	36239T749	GFSIX				1.46000	2.00	SELL ONLY
Gabelli	Gabelli Global Growth Fund Class A	36464T836	GGGAX	5.75		.25	1.61000	2.00	SELL ONLY
Gabelli	Gabelli Global Growth Fund Class AAA	36464T844	GICPX			.25	1.61000	2.00	SELL ONLY
Gabelli	Gabelli Global Growth Fund Class C	36464T810	GGGCX		1.00	1.00	2.32000	2.00	SELL ONLY
Gabelli	Gabelli Global Growth Fund Class Institutional	36464T786	GGGIX				1.36000	2.00	SELL ONLY
Gabelli	Gabelli Global Mini Mites™ Fund Class A	36464T737	GMNAX	5.75		.25	3.37000	2.00	SELL ONLY
Gabelli	Gabelli Global Mini Mites™ Fund Class AAA	36464T745	GAMNX			.25	3.37000	2.00	SELL ONLY
Gabelli	Gabelli Global Mini Mites™ Fund Class C	36464T729	GMNCX		1.00	1.00	10.15000	2.00	SELL ONLY
Gabelli	Gabelli Global Mini Mites™ Fund Class I	36464T711	GGMM X				3.12000	2.00	SELL ONLY
Gabelli	Gabelli Global Rising Income and Dividend Fund Class A	36464T877	GAGAX	5.75		.25	1.71000	2.00	SELL ONLY
Gabelli	Gabelli Global Rising Income and Dividend Fund Class C	36464T851	GACCX		1.00	1.00	2.47000	2.00	SELL ONLY

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Gabelli	Gabelli Global Rising Income and Dividend Fund Class I	36464T760	GAGIX				1.46000	2.00	SELL ONLY
Gabelli	Gabelli Gold Fund Class A	36239R206	GLDAX	5.75		.25	1.55000	2.00	SELL ONLY
Gabelli	Gabelli Gold Fund Class AAA	36239R107	GOLDX			.25	1.55000	2.00	SELL ONLY
Gabelli	Gabelli Gold Fund Class C	36239R404	GLDCX		1.00	1.00	2.30000	2.00	SELL ONLY
Gabelli	Gabelli Gold Fund Class I	36239R503	GLDIX				1.30000	2.00	SELL ONLY
Gabelli	Gabelli Growth Fund Class A	36464V203	GGCAX	5.75		.25	1.39000	2.00	SELL ONLY
Gabelli	Gabelli Growth Fund Class AAA	36464V104	GABGX			.25	1.39000	2.00	SELL ONLY
Gabelli	Gabelli Growth Fund Class C	36464V401	GGCCX		1.00	1.00	2.14000	2.00	SELL ONLY
Gabelli	Gabelli Growth Fund Class I	36464V500	GGCIX				1.14000	2.00	SELL ONLY
Gabelli	Gabelli International Growth Fund Class A	364645200	GAIGX	5.75		.25	2.46000	2.00	SELL ONLY
Gabelli	Gabelli International Growth Fund Class AAA	364645101	GIGRX			.25	2.46000	2.00	SELL ONLY
Gabelli	Gabelli International Growth Fund Class C	364645408	GCIGX		1.00	1.00	3.21000	2.00	SELL ONLY
Gabelli	Gabelli International Growth Fund Class I	364645507	GIIGX				2.21000	2.00	SELL ONLY
Gabelli	Gabelli International Small Cap Fund Class A	36464T604	GOCAX	5.75		.25	4.02000	2.00	SELL ONLY
Gabelli	Gabelli International Small Cap Fund Class AAA	36464T505	GABOX			.25	4.02000	2.00	SELL ONLY
Gabelli	Gabelli International Small Cap Fund Class C	36464T802	GGLCX		1.00	1.00	4.40000	2.00	SELL ONLY
Gabelli	Gabelli International Small Cap Fund Class Institutional	36464T778	GLOIX				3.77000	2.00	SELL ONLY
Gabelli	Gabelli Media Mogul Fund Class A	36256H503	MLGLX	5.75		.25	5.81000	2.00	SELL ONLY
Gabelli	Gabelli Pet Parents' Fund Class A	36256H602	PETGX	5.75		.25	6.32000	2.00	SELL ONLY
Gabelli	Gabelli Small Cap Growth Fund Class A	36239T871	GCASX	5.75		.25	1.37000	2.00	SELL ONLY
Gabelli	Gabelli Small Cap Growth Fund Class AAA	36239T103	GABSX			.25	1.37000	2.00	SELL ONLY
Gabelli	Gabelli Small Cap Growth Fund Class C	36239T855	GCCSX		1.00	1.00	2.12000	2.00	SELL ONLY
Gabelli	Gabelli Small Cap Growth Fund Class I	36239T830	GACIX				1.12000	2.00	SELL ONLY
Gabelli	Gabelli SRI Fund Class A	362401200	SRIAX	5.75		.25	2.59000	2.00	SELL ONLY
Gabelli	Gabelli SRI Fund Class AAA	362401101	SRIGX			.25	2.59000	2.00	SELL ONLY

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Gabelli	Gabelli SRI Fund Class C	362401309	SRICX		1.00	1.00	3.34000	2.00	SELL ONLY
Gabelli	Gabelli SRI Fund Class I	362401408	SRIDX				2.34000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class A	36240E202	GAUAX	5.75		.25	1.43000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class AAA	36240E103	GABUX			.25	1.43000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class C	36240E822	GUXPX		1.00	1.00	2.18000	2.00	SELL ONLY
Gabelli	Gabelli Utilities Fund Class Institutional	36240E806	GAUIX				1.18000	2.00	SELL ONLY
Gabelli	Gabelli Value 25 Fund Class A	36240H106	GABVX	5.75		.25	1.49000	2.00	SELL ONLY
Gabelli	Gabelli Value 25 Fund Class AAA	36240H502	GVCAx			.25	1.49000	2.00	SELL ONLY
Gabelli	Gabelli Value 25 Fund Class C	36240H304	GVCCX		1.00	1.00	2.24000	2.00	SELL ONLY
Gabelli	Gabelli Value 25 Fund Class I	36240H403	GVCIX				1.24000	2.00	SELL ONLY
Gabelli	The Gabelli Global Rising Income and Dividend Fund AAA	36464T885	GAGCX			.25	1.71000	2.00	SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker Fund Class A	38145N246	GARTX	5.50		.25	1.23000		SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker Fund Class C	38145N238	GCRTX		1.00	.75	1.98000		SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker Fund Class R6	38147X325	GARUX				0.86000		SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker Fund Institutional Class	38145N220	GJRTX				0.87000		SELL ONLY
Goldman Sachs	Goldman Sachs Absolute Return Tracker Fund Investor Class	38145N113	GSRTX				0.98000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfolio Class A	38142V688	GIPAX	5.50		.25	1.09000		BUY,SELL
Goldman Sachs	Goldman Sachs Balanced Strategy Portfolio Class C	38142V662	GIPCX		1.00	.75	1.84000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfolio Class R6	38148U106	GIPUX			.00	0.72000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfolio Institutional Class	38142V548	GIPIX			.00	0.73000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfolio Investor Class	38145N790	GIPTX			.00	0.84000		SELL ONLY
Goldman Sachs	Goldman Sachs Balanced Strategy Portfolio Service Class	38142V530	GIPSX			.25	1.23000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Class A Shares	38143H449	GSFAX	3.75		.25	1.05000		BUY,SELL

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Goldman Sachs	Goldman Sachs Bond Fund Class C Shares	38143H423	GSFCX		1.00	.75	1.80000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Class R6 Shares	38147X556	GSFUX				0.71000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Institutional Shares	38143H415	GSNIX				0.72000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Investor Shares	38145N295	GSNTX				0.80000		SELL ONLY
Goldman Sachs	Goldman Sachs Bond Fund Service Shares	38143H399	GSNSX			.25	1.22000		SELL ONLY
Goldman Sachs	Goldman Sachs China Equity Fund Class A	38141W570	GSAGX	5.50		.25	2.30000		BUY,SELL
Goldman Sachs	Goldman Sachs China Equity Fund Class C	38142B294	GSACX		1.00	.75	3.05000		SELL ONLY
Goldman Sachs	Goldman Sachs China Equity Fund Class R6	38148U130	GSAFX				1.93000		SELL ONLY
Goldman Sachs	Goldman Sachs China Equity Fund Institutional Class	38141W455	GSAIX				1.94000		SELL ONLY
Goldman Sachs	Goldman Sachs China Equity Fund Investor Class	38147X804	GSAEX				2.05000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fund Class A Shares	38150C671	GCEBX	5.50		.25	1.38000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fund Class C Shares	38150C663	GCEGX		1.00	.75	2.13000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fund Class R6 Shares	38150C622	GCEEX				1.01000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fund Institutional Shares	38150C655	GCEDX				1.02000		SELL ONLY
Goldman Sachs	Goldman Sachs Clean Energy Income Fund Investor Shares	38150C648	GCEJX				1.13000		SELL ONLY
Goldman Sachs	Goldman Sachs Commodity Strategy Fund Class A	38143H373	GSCAX	4.50		.25	1.11000		BUY,SELL
Goldman Sachs	Goldman Sachs Commodity Strategy Fund Class C	38143H365	GSCCX		1.00	.75	1.86000		SELL ONLY
Goldman Sachs	Goldman Sachs Commodity Strategy Fund Class R6	38147X317	GCCUX				0.77000		SELL ONLY

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Goldman Sachs	Goldman Sachs Commodity Strategy Fund Institutional Class	38143H381	GCCIX				0.78000		SELL ONLY
Goldman Sachs	Goldman Sachs Commodity Strategy Fund Investor Class	38145N386	GCCTX				0.86000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed Income Fund Class A	38142B419	GCFIX	3.75		.25	0.80000		BUY,SELL
Goldman Sachs	Goldman Sachs Core Fixed Income Fund Class C	38142B229	GCFCX		1.00	.75	1.55000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed Income Fund Class R6	38147X333	GCFUX				0.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed Income Fund Institutional Class	38141W810	GSFIX				0.47000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed Income Fund Service Class	38141W786	GSCSX			.25	0.97000		SELL ONLY
Goldman Sachs	Goldman Sachs Core Fixed-Income Fund Investor Class	38145N329	GDFTX				0.55000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Bond Fund Class A	38145C661	GSZAX	3.75		.25	1.15000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Bond Fund Class C	38145C653	GSZCX		1.00	.75	1.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Bond Fund Class R6	38147X531	GSZUX				0.81000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Bond Fund Institutional Class	38145C646	GSZIX				0.82000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Bond Fund Investor Class	38145C638	GZIRX				0.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fund Class A	38142V571	GAPAX	5.50		.25	1.02000		BUY,SELL
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fund Class C	38142V555	GAXCX		1.00	.75	1.77000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fund Class R6	38148U403	GAPUX			.00	0.65000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fund Institutional Class	38142V472	GAPIX			.00	0.66000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Global Equity Fund Investor Class	38145N733	GAPTX			.00	0.77000		SELL ONLY

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Goldman Sachs	Goldman Sachs Dynamic Global Equity Fund Service Class	38142V464	GAPSX			.25	1.16000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Income Fund Class C	38142B195	GSMUX		1.00	.75	1.50000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Income Fund Class R6	38145L190	GYISX				0.41000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Income Fund Institutional Class	38142V746	GSMTX				0.42000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Income Fund Investor Class	38144N221	GUIRX				0.50000		SELL ONLY
Goldman Sachs	Goldman Sachs Dynamic Municipal Income Fund Service Class	38142V738	GSMEX			.25	0.92000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Credit Fund Class A	38145N105	GAMDX	4.50		.25	2.43000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Credit Fund Class C	38145N204	GCMDX		1.00	.75	3.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Credit Fund Class R6	38145L174	GIMSX				2.09000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Credit Fund Institutional Class	38145N303	GIMDX				2.10000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Credit Fund Investor Class	38144N163	GLIRX				2.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Debt Fund Class A	38143H803	GSDAX	4.50		.25	1.35000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Debt Fund Class C	38143H456	GSCDX		1.00	.75	2.10000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Debt Fund Class R6	38148U882	GSIUXX				1.01000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Debt Fund Institutional Class	38143H886	GSDIX				1.02000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Debt Fund Investor Class	38144N171	GSIRX				1.10000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity ex. China Fund Class A Shares	38150C440	GEMHX	5.50		.25	4.63000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity ex. China Fund Class C Shares	38150C432	GEMLX		1.00	.75	5.38000		SELL ONLY

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Goldman Sachs	Goldman Sachs Emerging Markets Equity ex. China Fund Class R6 Shares	38150C382	GEMW X				4.26000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity ex. China Fund Institutional Shares	38150C424	GEMJX				4.27000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity ex. China Fund Investor Shares	38150C416	GEMOX				4.38000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Fund Class A	38142B450	GEMAX	5.50		.25	1.49000		BUY,SELL
Goldman Sachs	Goldman Sachs Emerging Markets Equity Fund Class C	38142B252	GEMCX		1.00	.75	2.24000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Fund Class R6	38147X226	GEMUX				1.12000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Fund Institutional Class	38142B369	GEMIX				1.13000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Fund Investor Class	38145C596	GIRMX				1.24000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Fund Service Class	38142B351	GEMSX			.25	1.63000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Insights Fund Class A	38144N585	GERAX	5.50		.25	1.51000		BUY,SELL
Goldman Sachs	Goldman Sachs Emerging Markets Equity Insights Fund Class C	38144N577	GERCX		1.00	.75	2.26000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Insights Fund Class R6	38147X259	GERUX				1.14000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Insights Fund International	38144N569	GERIX				1.15000		SELL ONLY
Goldman Sachs	Goldman Sachs Emerging Markets Equity Insights Fund Investor Class	38145C562	GIRPX				1.26000		SELL ONLY
Goldman Sachs	Goldman Sachs Energy Infrastructure Fund Class A Shares	38148U262	GLEAX	5.50		.25	1.53000		SELL ONLY
Goldman Sachs	Goldman Sachs Energy Infrastructure Fund Class C Shares	38148U254	GLECX		1.00	.75	2.28000		SELL ONLY
Goldman Sachs	Goldman Sachs Energy Infrastructure Fund Class R6 Shares	38148U239	GLSX				1.16000		SELL ONLY

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Goldman Sachs	Goldman Sachs Energy Infrastructure Fund Institutional Shares	38148U221	GLEPX				1.17000		SELL ONLY
Goldman Sachs	Goldman Sachs Energy Infrastructure Fund Investor Shares	38148U213	GLEIX				1.28000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Core Equity Fund - Class A	38145C109	GALLX	5.50		.25	1.25000		BUY,SELL
Goldman Sachs	Goldman Sachs Enhanced Core Equity Fund - Class C	38145C208	GCLLX		1.00	.75	2.00000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Core Equity Fund - Institutional	38145C307	GILLX				0.89000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Core Equity Fund - Investor Shares	38145C505	GSLLX				1.00000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Core Equity Fund - ShareClass R6	38147X374	GFCUX				0.88000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Dividend Global Equity Portfolio Class A	38143H167	GADGX	5.50		.25	1.35000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Dividend Global Equity Portfolio Class R6 Shares	38148U197	GRGDY				0.98000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Dividend Global Equity Portfolio Institutional Class	38143H175	GIDGX				0.99000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Class A	38142Y534	GEIAX			.15	0.62000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Class Administration	38142Y526	GEADY				0.64000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Class R6	38147X622	GEIUY				0.38000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Institutional Class	38142Y518	GEIIX				0.39000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Investor Class	38145L877	GHIRX				0.47000		SELL ONLY
Goldman Sachs	Goldman Sachs Enhanced Income Fund Service Shares	38150C457	GESVX			.25	0.89000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Class A	38141W588	GSGRX	5.50		.25	1.20000		BUY,SELL

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Goldman Sachs	Goldman Sachs Equity Income Fund Class C	38142B310	GSGCX		1.00	.75	1.95000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Class R6	38147X457	GRGUX				0.83000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Institutional Class	38141W414	GSIIIX				0.84000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Investor Class	38144N437	GRGTX				0.95000		SELL ONLY
Goldman Sachs	Goldman Sachs Equity Income Fund Service Class	38141W422	GSGSX			.25	1.34000		SELL ONLY
Goldman Sachs	Goldman Sachs ESG Emerging Markets Equity Fund Class A Shares	38150C861	GEBAX	5.50		.25	3.10000		SELL ONLY
Goldman Sachs	Goldman Sachs ESG Emerging Markets Equity Fund Class C Shares	38150C853	GEBCX		1.00	.75	3.85000		SELL ONLY
Goldman Sachs	Goldman Sachs ESG Emerging Markets Equity Fund Class Investor Shares	38150C838	GEBNX				2.85000		SELL ONLY
Goldman Sachs	Goldman Sachs ESG Emerging Markets Equity Fund Class R6 Shares	38150C812	GEBSX				2.73000		SELL ONLY
Goldman Sachs	Goldman Sachs ESG Emerging Markets Equity Fund Institutional Shares	38150C846	GEBIX				2.74000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Class A	38147X689	GFVAX	5.50		.25	1.68000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Class C	38147X671	GFVCX		1.00	.75	2.43000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Class R6	38147X648	GFVUX				1.31000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Institutional Class	38147X630	GFVSX				1.32000		SELL ONLY
Goldman Sachs	Goldman Sachs Focused Value Fund Investor Class	38147X663	GFVIX				1.43000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Core Fixed Income Fund Class A Shares	38141W109	GSGIX	3.75		.25	1.11000		BUY,SELL
Goldman Sachs	Goldman Sachs Global Core Fixed Income Fund Class C Shares	38142B187	GSLCX		1.00	.75	1.86000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Global Core Fixed Income Fund Class R6 Shares	38147X549	GBIUX				0.77000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Core Fixed Income Fund Institutional Shares	38141W737	GSGLX				0.78000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Core Fixed Income Fund Investor Shares	38144N155	GBIRX				0.86000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Core Fixed Income Fund Service Shares	38141W729	GGISX			.25	1.28000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Infrastructure Fund Class A	38148U833	GGIAX	5.50		.25	1.49000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Infrastructure Fund Class C	38148U825	GGICX		1.00	.75	2.24000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Infrastructure Fund Class R6	38148U775	GGIJX				1.12000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Infrastructure Fund Institutional Class	38148U817	GGIDX				1.13000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Infrastructure Fund Investor Class	38148U791	GGINX				1.24000		SELL ONLY
Goldman Sachs	Goldman Sachs Global Managed Beta Fund Institutional Shares	38147X762	GGMBX				0.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund Class A	38141W604	GSGOX	3.75		.25	1.24000		BUY,SELL
Goldman Sachs	Goldman Sachs Government Income Fund Class C	38142B211	GSOCX		1.00	.75	1.99000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund Class R6	38147X572	GSOUX				0.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund Institutional Class	38142V761	GSOIX				0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund Investor Class	38145N345	GSOTX				0.99000		SELL ONLY
Goldman Sachs	Goldman Sachs Government Income Fund Service Class	38142V753	GSOSX			.25	1.41000		SELL ONLY
Goldman Sachs	Goldman Sachs GQG Partners International Opportunities Fund Class A	38147N327	GSIHX	5.50		.25	1.16000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs GQG Partners International Opportunities Fund Class C	38147N319	GSILX		1.00	.75	1.91000		SELL ONLY
Goldman Sachs	Goldman Sachs GQG Partners International Opportunities Fund Class R6	38147N269	GSIX				0.79000		SELL ONLY
Goldman Sachs	Goldman Sachs GQG Partners International Opportunities Fund Institutional Shares	38147N293	GSIMX				0.80000		SELL ONLY
Goldman Sachs	Goldman Sachs GQG Partners International Opportunities Fund Investor Shares	38147N285	GSINX				0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth and Income Strategy Portfolio Class A	38142V654	GOIAX	5.50		.25	1.02000		BUY,SELL
Goldman Sachs	Goldman Sachs Growth and Income Strategy Portfolio Class C	38142V639	GOICX		1.00	.75	1.77000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth and Income Strategy Portfolio Class R6	38148U205	GOIUX			.00	0.65000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth and Income Strategy Portfolio Institutional Class	38142V522	GOIIX			.00	0.66000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth and Income Strategy Portfolio Investor Class	38145N774	GPITX			.00	0.77000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth and Income Strategy Portfolio Service Class	38142V514	GOISX			.25	1.16000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio Class A	38142V621	GG SAX	5.50		.25	1.01000		BUY,SELL
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio Class C	38142V597	GGSCX		1.00	.75	1.76000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio Class R6	38148U304	GG SUX			.00	0.64000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio Institutional Class	38142V498	GG SIX			.00	0.65000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio Investor Class	38145N758	GGSTX			.00	0.76000		SELL ONLY
Goldman Sachs	Goldman Sachs Growth Strategy Portfolio Service Class	38142V480	GGSSX			.25	1.15000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs High Yield Floating Rate Fund Class A	38145C471	GFRAX	2.25		.25	1.10000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Floating Rate Fund Class C	38145C463	GFRCX		1.00	.75	1.85000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Floating Rate Fund Class R6	38145L166	GFRSX				0.76000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Floating Rate Fund Institutional Class	38145C455	GSFRX				0.77000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Floating Rate Fund Investor Class	38145C448	GFRIX				0.85000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Fund Class A	38141W653	GSHAX	4.50		.25	1.12000		BUY,SELL
Goldman Sachs	Goldman Sachs High Yield Fund Class C	38142B179	GSHCX		1.00	.75	1.87000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Fund Class R6	38148U874	GSHUX				0.78000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Fund Institutional Shares	38141W679	GSHIX				0.79000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Fund Investor Shares	38145N279	GSHTX				0.87000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Fund Service Shares	38141W661	GSHSX			.25	1.29000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Municipal Fund Class C	38142Y591	GHYCX		1.00	.75	1.64000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Municipal Fund Class R6	38145L216	GHYSX				0.55000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Municipal Fund Institutional Class	38142Y583	GHYIX				0.56000		SELL ONLY
Goldman Sachs	Goldman Sachs High Yield Municipal Fund Investor Class	38144N213	GYIRX				0.64000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Builder Fund Class A	38141W562	GSBFX	5.50		.25	0.96000		BUY,SELL
Goldman Sachs	Goldman Sachs Income Builder Fund Class C	38142B286	GSBCX		1.00	.75	1.71000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Builder Fund Class R6	38148U809	GSBUX				0.62000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Income Builder Fund Institutional Class	38142B161	GSBIX				0.63000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Builder Fund Investor Class	38145C497	GKIRX				0.71000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Class A Shares	38150C754	GSCHX	3.75		.25	1.45000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Class C Shares	38150C747	GSCJX		1.00	.75	2.20000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Class R6 Shares	38150C697	GSCRX				1.11000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Institutional Shares	38150C739	GSNCX				1.12000		SELL ONLY
Goldman Sachs	Goldman Sachs Income Fund Investor Shares	38150C721	GSCMX				1.20000		SELL ONLY
Goldman Sachs	Goldman Sachs Inflation Protected Securities Fund Class A Shares	38144N866	GSAPX	3.75		.25	0.79000		BUY,SELL
Goldman Sachs	Goldman Sachs Inflation Protected Securities Fund Class C Shares	38144N858	GSCFX		1.00	.75	1.54000		SELL ONLY
Goldman Sachs	Goldman Sachs Inflation Protected Securities Fund Class R6 Shares	38147X580	GSRUX				0.45000		SELL ONLY
Goldman Sachs	Goldman Sachs Inflation Protected Securities Fund Institutional Shares	38144N841	GSIPX				0.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Inflation Protected Securities Fund Investor Shares	38145N253	GSTPX				0.54000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Dividend and Premium Fund Class A	38144N486	GIDAX	5.50		.25	1.42000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Dividend and Premium Fund Class C	38144N478	GIDCX		1.00	.75	2.17000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Dividend and Premium Fund Class R6	38150C507	GIDUX			.00	1.05000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Dividend and Premium Fund Institutional Class	38144N494	GIDHX			.00	1.06000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Dividend and Premium Fund Investor Class	38145C547	GIRVX			.00	1.17000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs International Equity ESG Fund Class A	38141W596	GSIFX	5.50		.25	1.32000		BUY,SELL
Goldman Sachs	Goldman Sachs International Equity ESG Fund Class C	38142B328	GSICX		1.00	.75	2.07000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity ESG Fund Class R6	38148U486	GSIWX				0.95000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity ESG Fund Institutional Class	38141W448	GSIEX				0.96000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity ESG Fund Investor Class	38145C588	GIRNX				1.07000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity ESG Fund Service Class	38141W430	GSISX			.25	1.46000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Income Fund Class A	38144N502	GSAXX	5.50		.25	1.25000		BUY,SELL
Goldman Sachs	Goldman Sachs International Equity Income Fund Class C	38144N700	GSCKX		1.00	.75	2.00000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Income Fund Class Institutional	38144N809	GSIKX				0.89000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Income Fund Class R6	38148U478	GSUKX				0.88000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Income Fund Investor Class	38145N444	GSTKX				1.00000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insights Fund Class A	38142V878	GCIAX	5.50		.25	1.23000		BUY,SELL
Goldman Sachs	Goldman Sachs International Equity Insights Fund Class C	38142V852	GCICX		1.00	.75	1.98000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insights Fund Class R6	38147X242	GCIUX				0.86000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insights Fund Class S	38142V837	GCISX			.25	1.37000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insights Fund Institutional Class	38142V845	GCIIX				0.87000		SELL ONLY
Goldman Sachs	Goldman Sachs International Equity Insights Fund Investor Class	38145N519	GCITX				0.98000		SELL ONLY
Goldman Sachs	Goldman Sachs International Small Cap Insights Fund Class A	38144N627	GICAX	5.50		.25	1.27000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs International Small Cap Insights Fund Class C	38144N619	GICCX		1.00	.75	2.02000		SELL ONLY
Goldman Sachs	Goldman Sachs International Small Cap Insights Fund Class R6	38147X234	GICUX				0.90000		SELL ONLY
Goldman Sachs	Goldman Sachs International Small Cap Insights Fund Institutional Class	38144N593	GICIX				0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs International Small Cap Insights Fund Investor Class	38145C554	GIRLX				1.02000		SELL ONLY
Goldman Sachs	Goldman Sachs International Tax-Managed Equity Fund Class A	38144N528	GATMX	5.50		.25	1.35000		BUY,SELL
Goldman Sachs	Goldman Sachs International Tax-Managed Equity Fund Class C	38144N510	GCTMX		1.00	.75	2.10000		SELL ONLY
Goldman Sachs	Goldman Sachs International Tax-Managed Equity Fund Class R6	38150C606	GHTRX				0.98000		SELL ONLY
Goldman Sachs	Goldman Sachs International Tax-Managed Equity Fund Institutional Class	38144N536	GHTMX				0.99000		SELL ONLY
Goldman Sachs	Goldman Sachs International Tax-Managed Equity Fund Investor Class	38145C539	GITRX				1.10000		SELL ONLY
Goldman Sachs	Goldman Sachs Investment Grade Credit Fund Class A	38143H852	GSGAX	3.75		.25	0.78000		BUY,SELL
Goldman Sachs	Goldman Sachs Investment Grade Credit Fund Class R6	38148U866	GTIUX				0.44000		SELL ONLY
Goldman Sachs	Goldman Sachs Investment Grade Credit Fund Institutional Shares	38143H845	GSGDX				0.45000		SELL ONLY
Goldman Sachs	Goldman Sachs Investment Grade Credit Fund Investor Shares	38144N189	GTIRX				0.53000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Core Fund Class A	38141W638	GSCGX	5.50		.25	1.13000		BUY,SELL
Goldman Sachs	Goldman Sachs Large Cap Core Fund Class C	38142B344	GSPCX		1.00	.75	1.88000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Core Fund Class R6	38147X390	GSPUX				0.76000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Core Fund Institutional Class	38142B146	GSPIX				0.77000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Core Fund Investor Class	38144N452	GSPTX				0.88000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Large Cap Core Fund Service Class	38142B138	GSPSX			.25	1.27000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insights Fund Class A	38142B435	GLCGX	5.50		.25	0.95000		BUY,SELL
Goldman Sachs	Goldman Sachs Large Cap Growth Insights Fund Class C	38142B260	GLCCX		1.00	.75	1.70000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insights Fund Class R6	38147X523	GLCUX				0.58000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insights Fund Institutional Class	38142B385	GCGIX				0.59000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insights Fund Investor Class	38145N592	GLCTX				0.70000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Growth Insights Fund Service Class	38142B377	GSCLX			.25	1.09000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Class A	38142Y815	GSLAX	5.50		.25	1.25000		BUY,SELL
Goldman Sachs	Goldman Sachs Large Cap Value Fund Class C	38142Y781	GSVCX		1.00	.75	2.00000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Class R6	38147X440	GSVUX				0.88000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Institutional Class	38142Y773	GSLIX				0.89000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Investor Class	38144N411	GSVTX				1.00000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Fund Service Class	38142Y765	GSVSX			.25	1.39000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Insights Fund Class A	38142V225	GCVAX	5.50		.25	1.02000		BUY,SELL
Goldman Sachs	Goldman Sachs Large Cap Value Insights Fund Class C	38142V191	GVCX		1.00	.75	1.77000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Insights Fund Class R6	38147X515	GCVUX				0.65000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Insights Fund Institutional Class	38142V183	GCVIX				0.66000		SELL ONLY
Goldman Sachs	Goldman Sachs Large Cap Value Insights Fund Investor Class	38145N626	GCVTX				0.77000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Large Cap Value Insights Fund Service Class	38142V175	GCLSX			.25	1.16000		SELL ONLY
Goldman Sachs	Goldman Sachs Managed Futures Strategy Fund Class A	38145C422	GMSAX	5.50		.25	1.78000		SELL ONLY
Goldman Sachs	Goldman Sachs Managed Futures Strategy Fund Class C	38145C414	GMSCX		1.00	.75	2.53000		SELL ONLY
Goldman Sachs	Goldman Sachs Managed Futures Strategy Fund Class R6	38150C879	GMSW X				1.41000		SELL ONLY
Goldman Sachs	Goldman Sachs Managed Futures Strategy Fund Institutional Class	38145C398	GMSSX				1.42000		SELL ONLY
Goldman Sachs	Goldman Sachs Managed Futures Strategy Fund Investor Class	38145C380	GFIRX				1.53000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Growth Fund Class A	38142Y104	GGOAX	5.50		.25	1.37000		BUY,SELL
Goldman Sachs	Goldman Sachs Mid Cap Growth Fund Class C	38142Y302	GGOCX		1.00	.75	2.12000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Growth Fund Class R6	38148U601	GGOUX				1.00000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Growth Fund Institutional Class	38142Y401	GGOIX				1.01000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Growth Fund Investor Class	38144N346	GGOTX				1.12000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Growth Fund Service Class	38142Y500	GGOSX			.25	1.51000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Class A	38142V720	GCMAX	5.50		.25	1.20000		BUY,SELL
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Class C	38142V696	GCMCX		1.00	.75	1.95000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Class R6	38147X432	GCMUX				0.83000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Institutional Class	38141W398	GSMCX				0.84000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Investor Class	38144N361	GCMTX				0.95000		SELL ONLY
Goldman Sachs	Goldman Sachs Mid Cap Value Fund Service Class	38141W380	GSMSX			.25	1.34000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure Fund Class A	38145C257	GLPAX	5.50		.25	2.44000		SELL ONLY
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure Fund Class C	38145C240	GLPCX		1.00	.75	3.19000		SELL ONLY
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure Fund Class R6	38150C887	GLPSX				2.07000		SELL ONLY
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure Fund Institutional Class	38145C232	GMLPX				2.08000		SELL ONLY
Goldman Sachs	Goldman Sachs MLP Energy Infrastructure Fund Investor Class	38145C216	GLPIX				2.19000		SELL ONLY
Goldman Sachs	Goldman Sachs Multi-Strategy Alternatives Fund Class A	38147N103	GMAM X	5.50		.25	1.96000		SELL ONLY
Goldman Sachs	Goldman Sachs Multi-Strategy Alternatives Fund Class C	38147N202	GMCM X		1.00	.75	2.71000		SELL ONLY
Goldman Sachs	Goldman Sachs Multi-Strategy Alternatives Fund Class R6	38147N236	GMMFX				1.59000		SELL ONLY
Goldman Sachs	Goldman Sachs Multi-Strategy Alternatives Fund Institutional Class	38147N301	GSMM X				1.60000		SELL ONLY
Goldman Sachs	Goldman Sachs Multi-Strategy Alternatives Fund Investor Class	38147N400	GIMMX				1.71000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fund Class A	38142V829	GREAX	5.50		.25	1.54000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fund Class C	38142V795	GRECX		1.00	.75	2.29000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fund Class R6	38147X275	GREUX				1.17000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fund Institutional Class	38142V787	GREIX				1.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fund Investor Class	38145N428	GRET X				1.29000		SELL ONLY
Goldman Sachs	Goldman Sachs Real Estate Securities Fund Service Class	38142V779	GRESX			.25	1.68000		SELL ONLY
Goldman Sachs	Goldman Sachs Rising Dividend Growth Fund Class A	38145C315	GSRAX	5.50		.25	1.27000		BUY,SELL
Goldman Sachs	Goldman Sachs Rising Dividend Growth Fund Class C	38145C299	GSRCX		1.00	.75	2.02000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Rising Dividend Growth Fund Class R6	38148U114	GSRFX				0.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Rising Dividend Growth Fund Institutional Class	38145C281	GSRLX				0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Rising Dividend Growth Fund Investor Class	38145C273	GSRIX				1.02000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Bond Fund Class A	38145L646	GDIAX	1.50		.25	0.81000		BUY,SELL
Goldman Sachs	Goldman Sachs Short Duration Bond Fund Class C	38145L638	GDICX		0.65	.75	1.56000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Bond Fund Class R6	38147X564	GDIUX				0.47000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Bond Fund Institutional Class	38145L620	GDFIX				0.48000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Bond Fund Investor Class	38145L612	GSSRX				0.56000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Government Fund Class A	38142B476	GSSDX	1.50		.25	0.92000		BUY,SELL
Goldman Sachs	Goldman Sachs Short Duration Government Fund Class C	38142B237	GSDCX		0.65	.75	1.67000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Government Fund Class R6	38147X598	GSTUX				0.58000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Government Fund Institutional Class	38141W307	GSTGX				0.59000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Government Fund Investor Class	38145N360	GTDTX				0.67000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Government Fund Service Class	38141W869	GSDSX			.25	1.09000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration High Yield Fund Class A	38145L273	GSAUX	2.25		.25	1.77000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration High Yield Fund Class C	38145L265	GSAVX		1.00	.75	2.52000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration High Yield Fund Class R6	38145L141	GSSAX				1.43000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration High Yield Fund Institutional Shares	38145L257	GSAW X				1.44000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Short Duration High Yield Fund Investor Shares	38145L240	GSAYX				1.52000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free Fund Class C	38142B245	GSTCX		0.65	.75	1.48000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free Fund Class R6	38145L182	GDUSX				0.39000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free Fund Institutional Class	38141W406	GSDUX				0.40000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free Fund Investor Class	38144N239	GDIRX				0.48000		SELL ONLY
Goldman Sachs	Goldman Sachs Short Duration Tax-Free Fund Service Class	38141W885	GSFSX			.25	0.90000		SELL ONLY
Goldman Sachs	Goldman Sachs Short-Term Conservative Income Fund Class A	38148U288	GPAPX			.15	0.57000		SELL ONLY
Goldman Sachs	Goldman Sachs Short-Term Conservative Income Fund Class R6 Shares	38145L133	GPPSX				0.33000		SELL ONLY
Goldman Sachs	Goldman Sachs Short-Term Conservative Income Fund Institutional Shares	38147X705	GPPIX				0.34000		SELL ONLY
Goldman Sachs	Goldman Sachs Short-Term Conservative Income Fund Investor Shares	38147X218	GPPOX				0.42000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Equity Insights Fund Class A	38142V506	GCSAX	5.50		.25	1.29000		BUY,SELL
Goldman Sachs	Goldman Sachs Small Cap Equity Insights Fund Class C	38142V704	GCSCX		1.00	.75	2.04000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Equity Insights Fund Class R6	38147X499	GCSUX				0.92000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Equity Insights Fund Institutional Class	38142V803	GCSIX				0.93000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Equity Insights Fund Investor Class	38145N576	GDSTX				1.04000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Equity Insights Fund Service Class	38142V886	GCSSX			.25	1.43000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Fund Class A Shares	38145C182	GSBDX	5.50		.25	1.66000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Small Cap Growth Fund Class C Shares	38145C174	GSBAX		1.00	.75	2.41000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Fund Class R6 Shares	38145C158	GSBEX				1.29000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Fund Institutional Shares	38145C141	GSAJX				1.30000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Fund Investor Shares	38145C133	GSAHX				1.41000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Insights Fund Class A	38143H225	GSAOX	5.50		.25	1.43000		BUY,SELL
Goldman Sachs	Goldman Sachs Small Cap Growth Insights Fund Class C	38143H191	GSCOX		1.00	.75	2.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Insights Fund Class R6	38147X481	GINUX				1.06000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Insights Fund Institutional Class	38143H183	GSIOX				1.07000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Growth Insights Fund Investor Class	38145N535	GSTOX				1.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Class A	38141W612	GSSMX	5.50		.25	1.43000		BUY,SELL
Goldman Sachs	Goldman Sachs Small Cap Value Fund Class C	38142B336	GSSCX		1.00	.75	2.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Class R6	38147X424	GSSUX				1.06000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Institutional Class	38142V209	GSSIX				1.07000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Investor Class	38144N296	GSQTX				1.18000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Fund Service Class	38142V308	GSSSX			.25	1.57000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Insights Fund Class A	38143H282	GSATX	5.50		.25	1.25000		BUY,SELL
Goldman Sachs	Goldman Sachs Small Cap Value Insights Fund Class C	38143H266	GSCTX		1.00	.75	2.00000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Insights Fund Class R6	38147X473	GTTUX				0.88000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Small Cap Value Insights Fund Institutional Class	38143H241	GSITX				0.89000		SELL ONLY
Goldman Sachs	Goldman Sachs Small Cap Value Insights Fund Investor Class	38145N550	GTTTX				1.00000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fund Class A	38143H779	GSMAX	5.50		.25	1.28000		BUY,SELL
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fund Class C	38143H753	GSMGX		1.00	.75	2.03000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fund Class R6	38148U700	GTMUX				0.91000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fund Institutional Class	38143H746	GSMYX				0.92000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fund Investor Class	38144N320	GTMTX				1.03000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Growth Fund Service Class	38143H738	GSMQX			.25	1.42000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fund Class A	38147X101	GMVAX	5.50		.25	1.44000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fund Class C	38147X200	GMVCX		1.00	.75	2.19000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fund Class R6	38147X416	GMCUX				1.07000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fund Institutional Class	38147X309	GSMVX				1.08000		SELL ONLY
Goldman Sachs	Goldman Sachs Small/Mid Cap Value Fund Investor Class	38147X408	GMVIX				1.19000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Growth Fund Class A	38142Y609	GGRAX	5.50		.25	1.32000		BUY,SELL
Goldman Sachs	Goldman Sachs Strategic Growth Fund Class C	38142Y807	GGRCX		1.00	.75	2.07000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Growth Fund Class R6	38147X358	GGRUX				0.95000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Growth Fund Institutional Class	38142Y880	GSTIX				0.96000		SELL ONLY
Goldman Sachs	Goldman Sachs Strategic Growth Fund Investor Class	38144N387	GSTTX				1.07000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs Strategic Growth Fund Service Class	38142Y872	GSTSX			.25	1.46000		SELL ONLY
Goldman Sachs	Goldman Sachs Tax-Advantaged Global Equity Portfolio Class A	38142B120	TAGGX	5.50		.25	1.29000		SELL ONLY
Goldman Sachs	Goldman Sachs Tax-Advantaged Global Equity Portfolio Class R6 Shares	38148U189	TRGGX				0.92000		SELL ONLY
Goldman Sachs	Goldman Sachs Tax-Advantaged Global Equity Portfolio Institutional Class	38142B112	TIGGX				0.93000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities Fund Class A	38142Y823	GITAX	5.50		.25	1.39000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities Fund Class C	38142Y849	GITCX		1.00	.75	2.14000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities Fund Class R6 Shares	38148U148	GTORX				1.02000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities Fund Institutional Class	38142Y856	GITIX				1.03000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities Fund Investor Class	38145C489	GISTX				1.14000		SELL ONLY
Goldman Sachs	Goldman Sachs Technology Opportunities Fund Service Class	38142Y864	GITSX			.25	1.53000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and Premium Fund Class A	38143H712	GSPAX	5.50		.25	1.12000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and Premium Fund Class C	38143H696	GSPQX		1.00	.75	1.87000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and Premium Fund Class R6	38150C804	GIDWX			.00	0.75000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and Premium Fund Institutional Class	38143H720	GSPKX			.00	0.76000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Dividend and Premium Fund Investor Class	38145C513	GVIRX			.00	0.87000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Class A	38144N288	GAGVX	5.50		.25	2.10000		BUY,SELL
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Class C	38144N270	GCGVX		1.00	.75	2.85000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Class R6	38147X341	GDEUX				1.73000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Institutional Class	38144N247	GINGX				1.74000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity ESG Fund Investor Class	38144N254	GIRGX				1.85000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund Class A	38141W620	GSSQX	5.50		.25	0.97000		BUY,SELL
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund Class C	38142B278	GSUSX		1.00	.75	1.72000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund Class R6	38147X465	GSEUX				0.60000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund Institutional Class	38141W372	GSELX				0.61000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund Investor Class	38145N642	GSUTX				0.72000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Equity Insights Fund Service Class	38141W463	GSESX			.25	1.11000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Mortgages Fund Class A Shares	38143H878	GSUAX	3.75		.25	0.91000		BUY,SELL
Goldman Sachs	Goldman Sachs U.S. Mortgages Fund Class R6 Shares	38148U858	GGIUX				0.57000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Mortgages Fund Institutional Shares	38143H860	GSUIX				0.58000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Mortgages Fund Investor Shares	38144N197	GGIRX				0.66000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity Fund Class A	38142Y674	GCTAX	5.50		.25	1.07000		BUY,SELL
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity Fund Class C	38142Y658	GCTCX		1.00	.75	1.82000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity Fund Class R6	38150C705	GCTRX				0.70000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity Fund Institutional Class	38142Y641	GCTIX				0.71000		SELL ONLY
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity Fund Investor Class	38145C521	GQIRX				0.82000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Goldman Sachs	Goldman Sachs U.S. Tax-Managed Equity Fund Service Class	38142Y633	GCTSX			.25	1.21000		SELL ONLY
GQG Partners Inc	GQG Partners Emerging Markets Equity Fund Institutional Shares	00771X419	GQGIX				0.98000		SELL ONLY
GQG Partners Inc	GQG Partners Emerging Markets Equity Fund Investor Shares	00771X427	GQGPX				1.20000		SELL ONLY
GQG Partners Inc	GQG Partners Emerging Markets Equity Fund R6 Shares	00771X393	GQGRX				0.98000		SELL ONLY
GQG Partners Inc	GQG Partners Global Quality Equity Fund Institutional Shares	00774Q692	GQRIX				0.71000		SELL ONLY
GQG Partners Inc	GQG Partners Global Quality Equity Fund Investor Shares	00774Q718	GQRPX				0.88000		SELL ONLY
GQG Partners Inc	GQG Partners Global Quality Equity Fund R6 Shares	00774Q684	GQRRX				0.71000		SELL ONLY
GQG Partners Inc	GQG Partners Global Quality Value Fund Institutional Shares	00775Y876	GQFIX				0.72000		SELL ONLY
GQG Partners Inc	GQG Partners Global Quality Value Fund Investor Shares	00775Y884	GQFPX				0.86000		SELL ONLY
GQG Partners Inc	GQG Partners International Quality Value Fund Institutional Shares	00775Y603	GQJIX				0.74000		SELL ONLY
GQG Partners Inc	GQG Partners International Quality Value Fund Investor Shares	00775Y504	GQJPX				0.86000		SELL ONLY
GQG Partners Inc	GQG Partners US Quality Value Fund Institutional Shares	00775Y801	GQHIX				0.58000		SELL ONLY
GQG Partners Inc	GQG Partners US Quality Value Fund Investor Shares	00775Y702	GQHPX				0.68000		SELL ONLY
GQG Partners Inc	GQG Partners US Select Quality Equity Fund Institutional Shares	00774Q866	GQEIX				0.50000		SELL ONLY
GQG Partners Inc	GQG Partners US Select Quality Equity Fund Investor Shares	00774Q874	GQEPX				0.68000		SELL ONLY
GQG Partners Inc	GQG Partners US Select Quality Equity Fund R6 Shares	00774Q858	GQERX				0.50000		SELL ONLY
Grandeur Peak Funds	Grandeur Peak Emerging Markets Opportunities Fund Institutional Class	38656X104	GPEIX			.00	1.58000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Emerging Markets Opportunities Fund Investor Class	38656X815	GPEOX			.25	1.83000	2.00	SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Grandeur Peak Funds	Grandeur Peak Global Contrarian Fund Institutional Class	38656X203	GPGCX			.00	1.35000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Micro Cap Fund Institutional Class	38656X401	GPMCX			.00	2.01000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Opportunities Fund Institutional Class	38656X609	GPGIX			.00	1.38000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Opportunities Fund Investor Class	38656X500	GPGOX			.25	1.63000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Reach Fund Institutional Class	38656X807	GPRIX			.00	1.30000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Reach Fund Investor Class	38656X708	GPROX			.25	1.55000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Stalwarts Fund Institutional Class	38656X872	GGSYX			.00	1.03000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak Global Stalwarts Fund Investor Class	38656X880	GGSOX			.25	1.27000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak International Opportunities Fund Institutional Class	38656X856	GPIIX			.00	1.39000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak International Opportunities Fund Investor Class	38656X864	GPIOX			.25	1.64000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak International Stalwarts Fund Institutional Class	38656X831	GISYX			.00	0.92000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak International Stalwarts Fund Investor Class	38656X849	GISOX			.25	1.17000	2.00	SELL ONLY
Grandeur Peak Funds	Grandeur Peak US Stalwarts Fund Institutional Class	38656X823	GUSYX			.00	0.90000	2.00	SELL ONLY
Grandeur peak global	Grandeur Peak Global Explorer Fund Institutional Class	38656X302	GPGEX			.00	3.14000	2.00	SELL ONLY
Guggenheim Investments	Guggenheim Core Bond Fund Class A	40168W657	SIUSX	4.00		.25	0.93000		SELL ONLY
Guggenheim Investments	Guggenheim Core Bond Fund Class C	40168W632	SDICX		1.00	1.00	1.63000		SELL ONLY
Guggenheim Investments	Guggenheim Core Bond Fund Class P	40169J606	SIUPX			.25	0.87000		SELL ONLY
Guggenheim Investments	Guggenheim Core Bond Fund Institutional Class	40168W624	GIUSX				0.59000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Guggenheim Investments	Guggenheim Floating Rate Strategies Fund Class A	40168W731	GIFAX	3.00		.25	1.17000		SELL ONLY
Guggenheim Investments	Guggenheim Floating Rate Strategies Fund Class C	40168W723	GIFCX		1.00	1.00	1.90000		SELL ONLY
Guggenheim Investments	Guggenheim Floating Rate Strategies Fund Class P	40169J408	GIFPX			.25	1.20000		SELL ONLY
Guggenheim Investments	Guggenheim Floating Rate Strategies Fund Institutional Class	40168W715	GIFIX				0.89000		SELL ONLY
Guggenheim Investments	Guggenheim High Yield Fund Class A	40168W699	SIHAX	4.00		.25	1.18000	2.00	SELL ONLY
Guggenheim Investments	Guggenheim High Yield Fund Class C	40168W673	SIHSX		1.00	1.00	1.96000	2.00	SELL ONLY
Guggenheim Investments	Guggenheim High Yield Fund Class P	40169J507	SIHPX			.25	1.20000	2.00	SELL ONLY
Guggenheim Investments	Guggenheim High Yield Fund Class R6	40168W145	SHYSX				0.88000	2.00	SELL ONLY
Guggenheim Investments	Guggenheim High Yield Fund Institutional Class	40168W665	SHYIX				0.89000	2.00	SELL ONLY
Guggenheim Investments	Guggenheim Limited Duration Fund A-Class	40168W517	GILDX	2.25		.25	0.79000		SELL ONLY
Guggenheim Investments	Guggenheim Limited Duration Fund C-Class	40168W491	GILFX		1.00	1.00	1.55000		SELL ONLY
Guggenheim Investments	Guggenheim Limited Duration Fund Class P	40169J705	GILPX			.25	0.86000		SELL ONLY
Guggenheim Investments	Guggenheim Limited Duration Fund Class R6	40168W129	GIKRX				0.49000		SELL ONLY
Guggenheim Investments	Guggenheim Limited Duration Fund Institutional Class	40168W483	GILHX				0.57000		SELL ONLY
Guggenheim Investments	Guggenheim Macro Opportunities Fund Class A	40168W616	GIOAX	4.00		.25	1.32000		SELL ONLY
Guggenheim Investments	Guggenheim Macro Opportunities Fund Class C	40168W590	GIOCX		1.00	1.00	2.05000		SELL ONLY
Guggenheim Investments	Guggenheim Macro Opportunities Fund Class P	40169J804	GIOPX			.25	1.39000		SELL ONLY
Guggenheim Investments	Guggenheim Macro Opportunities Fund Class R6	40168W111	GIOSX				0.98000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Guggenheim Investments	Guggenheim Macro Opportunities Fund Institutional Class	40168W582	GIOIX				1.05000		SELL ONLY
Guggenheim Investments	Guggenheim Managed Futures Strategy Fund Class P	78356A491	RYMFX			.25	1.90000		SELL ONLY
Guggenheim Investments	Guggenheim Multi-Hedge Strategies Fund Class A	78356A855	RYMQX	4.75		.25	2.04000		SELL ONLY
Guggenheim Investments	Guggenheim Multi-Hedge Strategies Fund Class C	78356A848	RYMRX		1.00	1.00	2.79000		SELL ONLY
Guggenheim Investments	Guggenheim Multi-Hedge Strategies Fund Class I	78356A137	RYIMX				1.79000		SELL ONLY
Guggenheim Investments	Guggenheim Multi-Hedge Strategies Fund Class P	78356A780	RYMSX			.25	2.04000		SELL ONLY
Guggenheim Investments	Guggenheim Municipal Income Fund Class A	40168W574	GIJAX	4.00		.25	1.59000		SELL ONLY
Guggenheim Investments	Guggenheim Municipal Income Fund Class C	40168W566	GIJCX		1.00	1.00	2.42000		SELL ONLY
Guggenheim Investments	Guggenheim Municipal Income Fund Class P	40169J887	GIJPX			.25	1.84000		SELL ONLY
Guggenheim Investments	Guggenheim Municipal Income Fund Institutional Class	40168W558	GIJIX				1.41000		SELL ONLY
Guggenheim Investments	Guggenheim Series Trust Managed Futures Strategy Fund Class A	78356A517	RYMTX	4.75		.25	1.92000		SELL ONLY
Guggenheim Investments	Guggenheim Series Trust Managed Futures Strategy Fund Class C	78356A525	RYMZX		1.00	1.00	2.65000		SELL ONLY
Guggenheim Investments	Guggenheim Series Trust Managed Futures Strategy Fund Class I	78356A145	RYIFX				1.64000		SELL ONLY
Guggenheim Investments	Guggenheim Total Return Bond Fund Class A	40168W541	GIBAX	4.00		.25	0.88000		BUY,SELL
Guggenheim Investments	Guggenheim Total Return Bond Fund Class C	40168W533	GIBCX		1.00	1.00	1.66000		SELL ONLY
Guggenheim Investments	Guggenheim Total Return Bond Fund Class P	40169J879	GIBLX			.25	0.91000		SELL ONLY
Guggenheim Investments	Guggenheim Total Return Bond Fund Class R6	40169J200	GIBRX				0.53000		SELL ONLY
Guggenheim Investments	Guggenheim Total Return Bond Fund Institutional Class	40168W525	GIBIX				0.60000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Guggenheim Investments	Guggenheim Ultra Short Duration Fund Class A	40169J549	GIYAX			.25	0.63000		SELL ONLY
Guggenheim Investments	Guggenheim Ultra Short Duration Fund Institutional	40169J523	GIYIX				0.35000		SELL ONLY
GuideStone Funds	GuideStone Funds Aggressive Allocation Fund Institutional Class	40171Y807	GAGYX				0.84000		SELL ONLY
GuideStone Funds	GuideStone Funds Aggressive Allocation Fund Investor Class	40171W876	GGBZX				1.10000		SELL ONLY
GuideStone Funds	GuideStone Funds Balanced Allocation Fund Institutional Class	40171Y609	GBAYX				0.72000		SELL ONLY
GuideStone Funds	GuideStone Funds Balanced Allocation Fund Investor Class	40171W405	GGIZX				0.97000		SELL ONLY
GuideStone Funds	GuideStone Funds Conservative Allocation Fund Institutional Class	40171Y500	GCAYX				0.66000		SELL ONLY
GuideStone Funds	GuideStone Funds Conservative Allocation Fund Investor Class	40171W108	GFIZX				0.91000		SELL ONLY
GuideStone Funds	GuideStone Funds Defensive Market Strategies Fund Institutional Class	40171W199	GDMYX				0.68000		SELL ONLY
GuideStone Funds	GuideStone Funds Defensive Market Strategies Fund Investor Class	40171W181	GDMZX				0.95000		SELL ONLY
GuideStone Funds	GuideStone Funds Emerging Markets Equity Fund Institutional Class	40171W132	GEMYX				1.09000		SELL ONLY
GuideStone Funds	GuideStone Funds Emerging Markets Equity Fund Investor Class	40171W124	GEMZX				1.39000		SELL ONLY
GuideStone Funds	GuideStone Funds Equity Index Fund Institutional Class	40171W629	GEQYX				0.12000		SELL ONLY
GuideStone Funds	GuideStone Funds Equity Index Fund Investor Class	40171W611	GEQZX				0.39000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Bond Fund Institutional Class	40171Y203	GGBEX				0.58000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Bond Fund Investor Class	40171W231	GGBFX				0.89000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Real Estate Securities Fund Institutional Class	40171Y302	GREYX				0.90000		SELL ONLY
GuideStone Funds	GuideStone Funds Global Real Estate Securities Fund Investor Class	40171W223	GREZX				1.20000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
GuideStone Funds	GuideStone Funds Growth Allocation Fund Institutional Class	40171Y708	GGRYX				0.79000		SELL ONLY
GuideStone Funds	GuideStone Funds Growth Allocation Fund Investor Class	40171W702	GCOZX				1.05000		SELL ONLY
GuideStone Funds	GuideStone Funds Growth Equity Fund Institutional Class	40171W538	GGEYX				0.65000		SELL ONLY
GuideStone Funds	GuideStone Funds Growth Equity Fund Investor Class	40171W520	GGEZX				0.91000		SELL ONLY
GuideStone Funds	GuideStone Funds Growth Equity Index Fund Institutional	40171Y757	GEIYX				0.26000		SELL ONLY
GuideStone Funds	GuideStone Funds Growth Equity Index Fund Investor	40171Y740	GEIZX				0.62000		SELL ONLY
GuideStone Funds	GuideStone Funds International Equity Fund Institutional Class	40171W447	GIEYX				0.85000		SELL ONLY
GuideStone Funds	GuideStone Funds International Equity Fund Investor Class	40171W439	GIEZX				1.13000		SELL ONLY
GuideStone Funds	GuideStone Funds International Equity Index Fund Institutional Class	40171Y401	GIIYX				0.20000		SELL ONLY
GuideStone Funds	GuideStone Funds Low-Duration Bond Fund Institutional Class	40171W751	GLDYX				0.36000		SELL ONLY
GuideStone Funds	GuideStone Funds Low-Duration Bond Fund Investor Class	40171W744	GLDZX				0.63000		SELL ONLY
GuideStone Funds	GuideStone Funds Medium-Duration Bond Fund Institutional Class	40171W710	GMDYX				0.42000		SELL ONLY
GuideStone Funds	GuideStone Funds Medium-Duration Bond Fund Investor Class	40171W694	GMDZX				0.70000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2015 Fund Institutional	40171Y880	GMTYX				0.52000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2015 Fund Investor Class	40171W363	GMTZX				0.77000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2025 Fund Institutional	40171Y872	GMWYX				0.51000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2025 Fund Investor Class	40171W330	GMWZX				0.76000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2035 Fund Institutional	40171Y864	GMHYX				0.50000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
GuideStone Funds	GuideStone Funds MyDestination 2035 Fund Investor Class	40171W298	GMHZX				0.76000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2045 Fund Institutional	40171Y856	GMYXX				0.46000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2045 Fund Investor Class	40171W264	GMFZX				0.72000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2055 Fund Institutional	40171Y849	GMGYX				0.49000		SELL ONLY
GuideStone Funds	GuideStone Funds MyDestination 2055 Fund Investor Class	40171W173	GMGZX				0.76000		SELL ONLY
GuideStone Funds	GuideStone Funds Small Cap Equity Fund Institutional Class	40171W488	GSCYX				0.95000		SELL ONLY
GuideStone Funds	GuideStone Funds Small Cap Equity Fund Investor Class	40171W470	GSCZX				1.23000		SELL ONLY
GuideStone Funds	GuideStone Funds Strategic Alternatives Fund Institutional	40171Y831	GFSYX				1.49000		SELL ONLY
GuideStone Funds	GuideStone Funds Strategic Alternatives Fund Investor	40171Y823	GFSZX				1.82000		SELL ONLY
GuideStone Funds	GuideStone Funds Value Equity Fund Institutional Class	40171W579	GVEYX				0.66000		SELL ONLY
GuideStone Funds	GuideStone Funds Value Equity Fund Investor Class	40171W561	GVEZX				0.92000		SELL ONLY
GuideStone Funds	GuideStone Funds Value Equity Index Fund Institutional	40171Y773	GVIYX				0.26000		SELL ONLY
GuideStone Funds	GuideStone Funds Value Equity Index Fund Investor	40171Y765	GVIZX				0.81000		SELL ONLY
Harbor	Harbor Capital Appreciation Fund Administrative Class	411511827	HRCAX			.25	0.97000		SELL ONLY
Harbor	Harbor Capital Appreciation Fund Institutional Class	411511504	HACAX				0.72000		SELL ONLY
Harbor	Harbor Capital Appreciation Fund Investor Class	411511819	HCAIX			.25	1.07000		SELL ONLY
Harbor	Harbor Capital Appreciation Fund Retirement Class	411512528	HNACX				0.64000		SELL ONLY
Harbor	Harbor Convertible Securities Fund Administrative Class	411512726	HRCSX			.25	1.27000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Harbor	Harbor Convertible Securities Fund Institutional Class	411512734	HACSX				1.02000		SELL ONLY
Harbor	Harbor Convertible Securities Fund Investor Class	411512718	HICSX			.25	1.37000		SELL ONLY
Harbor	Harbor Convertible Securities Fund Retirement Class	411512387	HNCVX				0.94000		SELL ONLY
Harbor	Harbor Core Bond Fund Institutional Class	411512239	HACBX				0.37000		SELL ONLY
Harbor	Harbor Core Plus Fund Administrative Class	411511686	HRBDX			.25	0.64000		SELL ONLY
Harbor	Harbor Core Plus Fund Institutional Class	411511108	HABDX				0.39000		SELL ONLY
Harbor	Harbor Core Plus Fund Retirement Class	411512189	HBFRX				0.31000		SELL ONLY
Harbor	Harbor Diversified International All Cap Fund Administrative Class	411512585	HRIDX			.25	1.16000		SELL ONLY
Harbor	Harbor Diversified International All Cap Fund Institutional Class	411512593	HAIDX				0.91000		SELL ONLY
Harbor	Harbor Diversified International All Cap Fund Investor Class	411512577	HIIDX			.25	1.26000		SELL ONLY
Harbor	Harbor Diversified International All Cap Fund Retirement Class	411512437	HNIDX				0.83000		SELL ONLY
Harbor	Harbor International Core Fund Institutional Class	411512163	HAOSX				1.01000		SELL ONLY
Harbor	Harbor International Core Fund Investor Class	411512130	HAONX			.25	1.36000		SELL ONLY
Harbor	Harbor International Core Fund Retirement Class	411512155	HAORX				0.93000		SELL ONLY
Harbor	Harbor International Fund Administrative Class	411511652	HRINX			.25	1.14000		SELL ONLY
Harbor	Harbor International Fund Institutional Class	411511306	HAINX				0.89000		SELL ONLY
Harbor	Harbor International Fund Investor Class	411511645	HIINX			.25	1.24000		SELL ONLY
Harbor	Harbor International Fund Retirement Class	411512445	HNINX				0.81000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Harbor	Harbor International Small Cap Fund Administrative Class	411512551	HRISX			.25	1.29000		SELL ONLY
Harbor	Harbor International Small Cap Fund Institutional Class	411512569	HAISX				1.04000		SELL ONLY
Harbor	Harbor International Small Cap Fund Investor Class	411512544	HIISX			.25	1.39000		SELL ONLY
Harbor	Harbor International Small Cap Fund Retirement Class	411512536	HNISX				0.96000		SELL ONLY
Harbor	Harbor Large Cap Value Fund Administrative Class	411511751	HRLVX			.25	0.97000		SELL ONLY
Harbor	Harbor Large Cap Value Fund Institutional Class	411511603	HAVLX				0.72000		SELL ONLY
Harbor	Harbor Large Cap Value Fund Investor Class	411511744	HILVX			.25	1.07000		SELL ONLY
Harbor	Harbor Large Cap Value Fund Retirement Class	411512478	HNLVX				0.64000		SELL ONLY
Harbor	Harbor Mid Cap Fund Institutional Class	41152P708	HMCLX				0.94000		SELL ONLY
Harbor	Harbor Mid Cap Value Fund Administrative Class	411511728	HRMVX			.25	1.15000		SELL ONLY
Harbor	Harbor Mid Cap Value Fund Institutional Class	411511835	HAMVX				0.90000		SELL ONLY
Harbor	Harbor Mid Cap Value Fund Investor Class	411511736	HIMVX			.25	1.25000		SELL ONLY
Harbor	Harbor Mid Cap Value Fund Retirement Class	411512460	HNMVX				0.82000		SELL ONLY
Harbor	Harbor Small Cap Growth Fund Administrative Class	411511769	HRSGX			.25	1.13000		SELL ONLY
Harbor	Harbor Small Cap Growth Fund Institutional Class	411511868	HASGX				0.88000		SELL ONLY
Harbor	Harbor Small Cap Growth Fund Investor Class	411511777	HISGX			.25	1.23000		SELL ONLY
Harbor	Harbor Small Cap Growth Fund Retirement Class	411512494	HNSGX				0.80000		SELL ONLY
Harbor	Harbor Small Cap Value Fund Administrative Class	411511710	HSVRX			.25	1.13000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Harbor	Harbor Small Cap Value Fund Institutional Class	411511843	HASCX				0.88000		SELL ONLY
Harbor	Harbor Small Cap Value Fund Investor Class	411511694	HISVX			.25	1.23000		SELL ONLY
Harbor	Harbor Small Cap Value Fund Retirement Class	411512452	HNVRX				0.80000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class A	41664L740	HCKAX	5.50		.25	0.92000		BUY,SELL
Hartford Mutual Funds	Hartford Checks and Balances Fund Class C	41664L724	HCKCX		1.00	1.00	1.70000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class F	41664T693	HCKFX				0.58000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class I	41664L393	HCKIX				0.69000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class R3	41664L278	HCKRX			.50	1.29000		SELL ONLY
Hartford Mutual Funds	Hartford Checks and Balances Fund Class R4	41664L260	HCKSX			.25	0.99000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class A	41664T701	HEOMX	5.50		.25	1.17000		BUY,SELL
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class C	41664T800	HEONX		1.00	1.00	1.96000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class F	41664T636	HEOFX				0.79000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class I	41664T883	HEOIX				0.91000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class R3	41664T875	HEORX			.50	1.51000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class R4	41664T867	HEOSX			.25	1.21000		SELL ONLY
Hartford Mutual Funds	Hartford Climate Opportunities Fund Class Y	41664T834	HEOYX				0.90000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class A	416648715	HCVAX	5.50		.25	1.01000		BUY,SELL
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class C	416648681	HVCX		1.00	1.00	1.80000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class F	41664T685	HCVFX				0.64000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class I	416649507	HCVIX				0.74000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class R3	416649739	HCVRX			.50	1.35000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class R4	416649432	HCVSX			.25	1.05000		SELL ONLY
Hartford Mutual Funds	Hartford Conservative Allocation Fund Class Y	41665K279	HCVYX				0.74000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class A	416645679	HAIAX	5.50		.25	0.69000		BUY,SELL
Hartford Mutual Funds	Hartford Core Equity Fund Class C	416645547	HGICX		1.00	1.00	1.45000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class F	41664T677	HGIFX				0.36000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class I	41664R192	HGIIX				0.46000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class R3	416649564	HGIRX			.50	1.08000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class R4	416649267	HGISX			.25	0.76000		SELL ONLY
Hartford Mutual Funds	Hartford Core Equity Fund Class Y	416645653	HGIYX				0.44000		SELL ONLY
Hartford Mutual Funds	Hartford Dynamic Bond Fund Class A	41665K360	HDBAX	4.50		.25	1.11000		BUY,SELL
Hartford Mutual Funds	Hartford Dynamic Bond Fund Class C	41665K352	HDBCX		1.00	1.00	1.86000		SELL ONLY
Hartford Mutual Funds	Hartford Dynamic Bond Fund Class F	41665K329	HDBFX				0.61000		SELL ONLY
Hartford Mutual Funds	Hartford Dynamic Bond Fund Class I	41665K345	HDBIX				0.73000		SELL ONLY
Hartford Mutual Funds	Hartford Dynamic Bond Fund Class Y	41665K337	HDBYX				0.71000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class A	41664M417	HERAX	5.50		.25	1.54000		BUY,SELL
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class C	41664M391	HERCX		1.00	1.00	2.31000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class F	41664T651	HERFX				1.06000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class I	41664M383	HERIX				1.18000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class R3	41664M375	HERRX			.50	1.78000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class R4	41664M367	HERSX			.25	1.48000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Equity Fund Class Y	41664M342	HERYX				1.17000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class A	41664M334	HLDAX	4.50		.25	1.74000		BUY,SELL
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class C	41664M326	HLDCX		1.00	1.00	2.56000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class F	41664T644	HLDFX				1.31000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class I	41664M318	HLDIX				1.40000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class R3	41664M292	HLDRX			.50	2.03000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class R4	41664M284	HLDSX			.25	1.73000		SELL ONLY
Hartford Mutual Funds	Hartford Emerging Markets Local Debt Fund Class Y	41664M268	HLDYX				1.39000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class A	416648558	HFLAX	3.00		.25	1.05000		BUY,SELL
Hartford Mutual Funds	Hartford Floating Rate Fund Class C	416648533	HFLCX		1.00	1.00	1.80000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class F	41664T610	HFLFX				0.69000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class I	416649804	HFLIX				0.78000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class R3	416649531	HFLRX			.50	1.37000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class R4	416649234	HFLSX			.25	1.11000		SELL ONLY
Hartford Mutual Funds	Hartford Floating Rate Fund Class Y	416648525	HFLYX				0.80000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class A	41664T826	HGXAX	5.50		.25	1.21000		BUY,SELL
Hartford Mutual Funds	Hartford Global Impact Fund Class C	41664T818	HGXCX		1.00	1.00	1.99000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class F	41665K543	HGXFX				0.75000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class I	41664T792	HGXIX				0.87000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class R3	41664T776	HGXRX			.50	1.46000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class R4	41664T768	HGX SX			.25	1.16000		SELL ONLY
Hartford Mutual Funds	Hartford Global Impact Fund Class Y	41664T784	HGXYX				0.85000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class A	416648772	HRAAX	5.50		.25	1.06000		BUY,SELL
Hartford Mutual Funds	Hartford Growth Allocation Fund Class C	416648756	HRACX		1.00	1.00	1.90000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class F	41664T545	HRAFX				0.68000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class I	416649879	HRAIX				0.78000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Growth Allocation Fund Class R3	416649754	HRARX			.50	1.40000		SELL ONLY
Hartford Mutual Funds	Hartford Growth Allocation Fund Class R4	416649457	HRASX			.25	1.09000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class A	416645489	HAHAX	4.50		.25	1.00000		BUY,SELL
Hartford Mutual Funds	Hartford High Yield Fund Class C	416645463	HAHCX		1.00	1.00	1.73000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class F	41664T511	HAHFX				0.59000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class R3	416649648	HAHRX			.50	1.30000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class R4	416649341	HAHSX			.25	1.00000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Class Y	416645455	HAHYX				0.69000		SELL ONLY
Hartford Mutual Funds	Hartford High Yield Fund Institutional	41664L625	HAHIX				0.71000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class A	416646156	HIPAX	4.50		.25	0.89000		BUY,SELL
Hartford Mutual Funds	Hartford Inflation Plus Fund Class C	416646131	HIPCX		1.00	1.00	1.61000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class F	41664T495	HIPFX				0.48000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class I	416649853	HIPIX				0.59000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class R3	416649598	HIPRX			.50	1.19000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class R4	416649291	HIPSX			.25	0.90000		SELL ONLY
Hartford Mutual Funds	Hartford Inflation Plus Fund Class Y	416648830	HIPYX				0.59000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class A	41664L385	HDVAX	5.50		.25	0.97000		BUY,SELL
Hartford Mutual Funds	Hartford International Equity Fund Class C	41664L369	HDVCX		1.00	1.00	1.79000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class F	41664T487	HDVFX				0.54000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class I	41664L351	HDVIX				0.64000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class R3	41664L336	HDVRX			.50	1.26000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class R4	41664L328	HDVSX			.25	0.96000		SELL ONLY
Hartford Mutual Funds	Hartford International Equity Fund Class Y	41664L344	HDVYX				0.65000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class A	416645182	HNCAX	5.50		.25	1.33000		BUY,SELL
Hartford Mutual Funds	Hartford International Growth Fund Class C	416645166	HNCCX		1.00	1.00	2.14000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford International Growth Fund Class F	41664T479	HNCFX				0.89000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class I	416649846	HNCJX				1.00000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class R3	416649689	HNCRX			.50	1.61000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class R4	416649382	HNCSX			.25	1.31000		SELL ONLY
Hartford Mutual Funds	Hartford International Growth Fund Class Y	416646800	HNCYX				0.99000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class A	41664M664	HILAX	5.50		.25	1.18000		BUY,SELL
Hartford Mutual Funds	Hartford International Value Fund Class C	41664M656	HILCX		1.00	1.00	1.93000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class F	41664T446	HILDX				0.81000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class I	41664M631	HILIX				0.91000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class R3	41664M623	HILRX			.50	1.53000		SELL ONLY
Hartford Mutual Funds	Hartford International Value Fund Class R4	41664M615	HILSX			.25	1.20000		SELL ONLY
Hartford Mutual Funds	Hartford Low Duration High Income Fund Class A	41664M177	HFHAX	3.00		.25	1.13000		BUY,SELL
Hartford Mutual Funds	Hartford Low Duration High Income Fund Class C	41664M169	HFHCX		1.00	1.00	1.86000		SELL ONLY
Hartford Mutual Funds	Hartford Low Duration High Income Fund Class F	41664T594	HFHFX				0.75000		SELL ONLY
Hartford Mutual Funds	Hartford Low Duration High Income Fund Class I	41664M151	HFHIX				0.83000		SELL ONLY
Hartford Mutual Funds	Hartford Low Duration High Income Fund Class R3	41664M144	HFHRX			.50	1.47000		SELL ONLY
Hartford Mutual Funds	Hartford Low Duration High Income Fund Class R4	41664M136	HFHSX			.25	1.17000		SELL ONLY
Hartford Mutual Funds	Hartford Low Duration High Income Fund Class Y	41664M110	HFHYX				0.86000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class A	416646107	HMVAX	5.50		.25	1.14000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford MidCap Value Fund Class C	416646305	HMVCX		1.00	1.00	1.95000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class F	41664T412	HMVFX				0.76000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class I	41664M425	HMVJX				0.87000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class R3	41664M698	HMVRX			.50	1.48000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class R4	41664M680	HMVSX			.25	1.18000		SELL ONLY
Hartford Mutual Funds	Hartford MidCap Value Fund Class Y	416646875	HMVYX				0.87000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class A	416648749	HBAAX	5.50		.25	1.04000		BUY,SELL
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class C	416648723	HBACX		1.00	1.00	1.87000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class F	41664T396	HBADX				0.67000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class I	416649200	HBAIX				0.76000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class R3	416649747	HBARX			.50	1.36000		SELL ONLY
Hartford Mutual Funds	Hartford Moderate Allocation Fund Class R4	416649440	HBASX			.25	1.07000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class A	416645810	ITTAX	5.50		.25	1.05000		BUY,SELL
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class C	416645588	HAFCX		1.00	1.00	1.79000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class F	41664T735	ITTFX				0.66000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class I	41664R168	ITTIIX				0.75000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class R3	416649630	ITTRX			.50	1.37000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class R4	416649333	ITTSX			.25	1.07000		SELL ONLY
Hartford Mutual Funds	Hartford Multi-Asset Income Fund Class Y	416645786	IHAYX				0.76000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Opportunities Fund Class C	41664L682	HHMCX		1.00	1.00	1.43000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Opportunities Fund Class F	41664T362	HHMFX				0.35000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Municipal Opportunities Fund Class I	41664L674	HHMIX				0.45000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Opportunities Fund Class Y	41665K527	HHMYX				0.44000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Short Duration Fund Class C	41664T503	HMJCX		1.00	1.00	1.88000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Short Duration Fund Class F	41664T347	HMJFX				0.66000		SELL ONLY
Hartford Mutual Funds	Hartford Municipal Short Duration Fund Class I	41664T602	HMJIX				0.76000		SELL ONLY
Hartford Mutual Funds	Hartford Real Asset Fund Class A	41664M581	HRLAX	5.50		.25	1.54000		BUY,SELL
Hartford Mutual Funds	Hartford Real Asset Fund Class F	41664T552	HRLFX				1.16000		SELL ONLY
Hartford Mutual Funds	Hartford Real Asset Fund Class I	41664M565	HRLIX				1.26000		SELL ONLY
Hartford Mutual Funds	Hartford Real Asset Fund Class R3	41664M540	HRLRX			.50	1.87000		SELL ONLY
Hartford Mutual Funds	Hartford Real Asset Fund Class R4	41664M532	HRLSX			.25	1.57000		SELL ONLY
Hartford Mutual Funds	Hartford Real Asset Fund Class Y	41664M557	HRLYX				1.25000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class A	41665X370	HSHAX	5.50		.25	2.10000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class C	41665X321	HSHCX		1.00	1.00	2.84000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class F	41665X347	HSHFX				1.67000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class I	41665X362	HSHIX				1.79000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class SDR	41665X339	HSHRX				1.67000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders China A Fund Class Y	41665X354	HSHYX				1.77000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Core Fixed Income Fund Class F	41665X222	HSSFX				0.51000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Core Fixed Income Fund Class I	41665X271	HSAEX				0.65000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Core Fixed Income Fund Class R3	41665X263	HSACX			.50	1.23000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Core Fixed Income Fund Class R4	41665X255	HSSBX			.25	0.93000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Schroders Core Fixed Income Fund Class SDR	41665X289	SCBRX				0.51000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Core Fixed Income Fund Class Y	41665X230	SCBIX				0.58000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Emerging Markets Fund Class A	416529311	HSXAX	5.50		.25	1.76000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Emerging Markets Fund Class C	416529295	HSXCX		1.00	1.00	2.51000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Emerging Markets Fund Class F	416529261	HSXFX				1.26000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Emerging Markets Fund Class I	416529287	HSXIX				1.44000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Emerging Markets Fund Class SDR	41665X297	HSDEX				1.26000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Emerging Markets Fund Class Y	416529279	HSXYX				1.37000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Growth Fund Class I	41665X164	HFIGX				0.95000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Diversified Growth Fund Class SDR	41665X156	HFSGX				0.85000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class A	41665H862	SEMVX	5.50		.25	1.46000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class C	41665H854	HHHCX		1.00	1.00	2.05000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class F	41665X859	HHHFX				0.96000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class I	41665H847	SEMNX				1.13000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class R3	41665H839	HHHRX			.50	1.68000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class R4	41665H821	HHHSX			.25	1.36000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class SDR	41665H789	SEMTX				0.96000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Equity Fund Class Y	41665H797	HHHYX				1.07000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class A	41665H771	SMSVX	4.50		.25	1.64000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class C	41665H763	HFZCX		1.00	1.00	2.43000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class F	41665X842	HFZFX				1.18000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class I	41665H755	SMSNX				1.26000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class R3	41665H748	HFZRX			.50	1.90000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class R4	41665H730	HFZSX			.25	1.60000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class SDR	41665H698	SMSRX				1.18000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Emerging Markets Multi-Sector Bond Fund Class Y	41665H714	HFZYX				1.29000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Contrarian Value Fund Class A	41665X149	HFAJX	5.50		.25	1.86000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Contrarian Value Fund Class C	416641744	HFAEX		1.00	1.00	2.61000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Contrarian Value Fund Class F	416641769	HFSFX				1.36000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Contrarian Value Fund Class I	41665X180	HFSIX				1.56000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Contrarian Value Fund Class SDR	41665X214	HFSSX				1.36000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Contrarian Value Fund Class Y	416641777	HFAHX				1.47000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class A	41665H433	SIDVX	5.50		.25	1.12000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class C	41665H425	HFYCX		1.00	1.00	1.87000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class F	41665X792	HFYFX				0.76000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class I	41665H417	SIDNX				0.87000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class R3	41665H391	HFYRX			.50	1.47000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class R4	41665H383	HFYSX			.25	1.17000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class SDR	41665H359	SIDRX				0.76000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Multi-Cap Value Fund Class Y	41665H367	HFYYX				0.86000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class A	41665H524	SCVEX	5.50		.25	1.04000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class C	41665H516	HSWCX		1.00	1.00	1.79000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class F	41665X818	HSWFX				0.69000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class I	41665H490	SCIEX				0.79000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class R3	41665H482	HSWRX			.50	1.39000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class R4	41665H474	HSWSX			.25	1.11000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class SDR	41665H441	SCIJX				0.69000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders International Stock Fund Class Y	41665H458	HSWYX				0.80000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund Class A	41665H607	STWVX	4.50		.25	0.82000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund Class C	41665H706	HFKCX		1.00	1.00	1.62000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund Class F	41665X867	HFKFX				0.50000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund Class I	41665H805	STWTX				0.59000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund Class SDR	41665H870	HFKVX				0.50000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders Tax-Aware Bond Fund Class Y	41665H888	HFKYX				0.61000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class A	41665H250	SMDVX	5.50		.25	1.16000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class C	41665H243	HFDCX		1.00	1.00	1.91000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class F	41665X776	HFDFX				0.81000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class I	41665H235	SMDIX				0.91000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class R3	41665H227	HFDRX			.50	1.52000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class R4	41665H219	HFDSX			.25	1.22000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class SDR	41665H177	SMDRX				0.81000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US MidCap Opportunities Fund Class Y	41665H185	HFXYX				0.91000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class A	41665H342	SCUVX	5.50		.25	1.40000		BUY,SELL
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class C	41665H334	HOOCX		1.00	1.00	2.16000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class F	41665X784	HOOFX				1.00000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class I	41665H326	SCUIX				1.10000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class R3	41665H318	HOORX			.50	1.72000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class R4	41665H292	HOOSX			.25	1.42000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class SDR	41665H268	SCURX				1.01000		SELL ONLY
Hartford Mutual Funds	Hartford Schroders US Small Cap Opportunities Fund Class Y	41665H276	HOOYX				1.11000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class A	416646198	HSDAX	2.00		.25	0.82000		BUY,SELL
Hartford Mutual Funds	Hartford Short Duration Fund Class C	416646172	HSDCX		1.00	1.00	1.54000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class F	41664T313	HSDFX				0.43000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class I	41664M813	HSDIX				0.50000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class R3	41664R879	HSDRX			.50	1.14000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	Hartford Short Duration Fund Class R4	41664R861	HSDSX			.25	0.84000		SELL ONLY
Hartford Mutual Funds	Hartford Short Duration Fund Class Y	416648822	HSDYX				0.53000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class A	416529105	HSLAX	5.50		.25	1.33000		BUY,SELL
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class C	416529303	HSLCX		1.00	1.00	2.10000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class F	41665X594	HSLFX				0.86000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class I	416641306	HSLIX				0.96000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class R3	416641702	HSLRX			.50	1.58000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class R4	416641868	HSLSX			.25	1.27000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Growth Fund Class Y	416529808	HSLYX				0.97000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class A	416648640	HSMAX	5.50		.25	1.33000		BUY,SELL
Hartford Mutual Funds	Hartford Small Cap Value Fund Class C	416648624	HTSCX		1.00	1.00	2.14000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class F	41664T297	HSMFX				0.89000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class I	41664R176	HSEIX				1.03000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class R3	41664R101	HSMRX			.50	1.61000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class R4	41664R200	HSMSX			.25	1.31000		SELL ONLY
Hartford Mutual Funds	Hartford Small Cap Value Fund Class Y	416648616	HSMYX				1.00000		SELL ONLY
Hartford Mutual Funds	Hartford Sustainable Municipal Bond Fund Class C	41664T206	HMKCX		1.00	1.00	1.65000		SELL ONLY
Hartford Mutual Funds	Hartford Sustainable Municipal Bond Fund Class F	41664T370	HMKFX				0.50000		SELL ONLY
Hartford Mutual Funds	Hartford Sustainable Municipal Bond Fund Class I	41664T305	HMKIX				0.64000		SELL ONLY
Hartford Mutual Funds	Hartford World Bond Fund Class Y	41664M185	HWDX				0.73000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	The Hartford Balanced Income Fund Class A	416648244	HBLAX	5.50		.25	0.89000		BUY,SELL
Hartford Mutual Funds	The Hartford Balanced Income Fund Class C	416648228	HBLCX		1.00	1.00	1.64000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class F	41664T727	HBLFX				0.56000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class I	41664M821	HBLIX				0.65000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class R3	41664M797	HBLRX			.50	1.28000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class R4	41664M789	HBLSX			.25	0.96000		SELL ONLY
Hartford Mutual Funds	The Hartford Balanced Income Fund Class Y	416648210	HBLYX				0.67000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class A	416645406	ITHAX	5.50		.25	1.05000		BUY,SELL
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class C	416645638	HCACX		1.00	1.00	1.85000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class F	41664T719	HCAFX				0.70000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class I	416649309	ITHIX				0.79000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class R3	416649655	ITHRX			.50	1.42000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class R4	416649358	ITHSX			.25	1.10000		SELL ONLY
Hartford Mutual Funds	The Hartford Capital Appreciation Fund Class Y	416645604	HCAYX				0.81000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class A	416645844	IHGIX	5.50		.25	0.96000		BUY,SELL
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class C	416645596	HDGCX		1.00	1.00	1.73000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class F	41664T669	HDGFX				0.63000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class I	416649606	HDGIX				0.73000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class R3	416649580	HDGRX			.50	1.35000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class R4	416649283	HDGSX			.25	1.03000		SELL ONLY
Hartford Mutual Funds	The Hartford Dividend and Growth Fund Class Y	416645828	HDGYX				0.73000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class A	416648889	HQIAX	5.50		.25	0.97000		BUY,SELL
Hartford Mutual Funds	The Hartford Equity Income Fund Class C	416648863	HQICX		1.00	1.00	1.74000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class F	41664T628	HQIFX				0.64000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class I	416649705	HQIIX				0.75000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class R3	416649663	HQIRX			.50	1.36000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class R4	416649366	HQISX			.25	1.06000		SELL ONLY
Hartford Mutual Funds	The Hartford Equity Income Fund Class Y	416648855	HQIYX				0.73000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class A	416529881	HGOAX	5.50		.25	1.08000		BUY,SELL
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class C	416529865	HGOCX		1.00	1.00	1.86000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class F	41665X644	HGOFX				0.73000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class I	416641207	HGOIX				0.83000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class R3	416641603	HGORX			.50	1.44000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class R4	416641876	HGOSX			.25	1.13000		SELL ONLY
Hartford Mutual Funds	The Hartford Growth Opportunities Fund Class Y	416529816	HGOYX				0.81000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class A	416645398	HGHAX	5.50		.25	1.29000		BUY,SELL
Hartford Mutual Funds	The Hartford Healthcare Fund Class C	416645372	HGHCX		1.00	1.00	2.07000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class F	41664T529	HGHFX				0.92000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	The Hartford Healthcare Fund Class I	416649887	HGHIX				1.02000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class R3	416649671	HGHRX			.50	1.63000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class R4	416649374	HGHSX			.25	1.31000		SELL ONLY
Hartford Mutual Funds	The Hartford Healthcare Fund Class Y	416645364	HGHYX				1.03000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fund Class A	416645703	IHOAX	5.50		.25	1.09000		BUY,SELL
Hartford Mutual Funds	The Hartford International Opportunities Fund Class C	416645620	HIOCX		1.00	1.00	1.87000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fund Class F	41664T461	IHOFX				0.69000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fund Class I	41664L294	IHOIX				0.77000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fund Class R3	416649549	IHORX			.50	1.41000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fund Class R4	416649242	IHOSX			.25	1.10000		SELL ONLY
Hartford Mutual Funds	The Hartford International Opportunities Fund Class Y	416645885	HAOYX				0.79000		SELL ONLY
Hartford Mutual Funds	The Hartford International Value Fund Class Y	41664M649	HILYX				0.90000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class A	416645711	HFMCX	5.50		.25	1.12000		BUY,SELL
Hartford Mutual Funds	The Hartford MidCap Fund Class C	416645554	HMDCX		1.00	1.00	1.89000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class F	41664T420	HMDFX				0.76000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class I	41664M870	HFMIX				0.85000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class R3	41664M862	HFMRX			.50	1.47000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class R4	41664M854	HFMSX			.25	1.17000		SELL ONLY
Hartford Mutual Funds	The Hartford MidCap Fund Class Y	416645687	HMDYX				0.86000		SELL ONLY
Hartford Mutual Funds	The Hartford Real Asset Fund Class C	41664M573	HRLCX		1.00	1.00	2.33000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class A	416645109	IHSAX	5.50		.25	1.30000		BUY,SELL
Hartford Mutual Funds	The Hartford Small Company Fund Class C	416645646	HSMCX		1.00	1.00	2.13000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class F	41664T271	IHSFX				0.88000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class I	416649838	IHSIX				0.98000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	The Hartford Small Company Fund Class R3	416649697	IHSRX			.50	1.60000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class R4	416649390	IHSSX			.25	1.29000		SELL ONLY
Hartford Mutual Funds	The Hartford Small Company Fund Class Y	416645307	HSCYX				0.99000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class A	41664L666	HSNAX	4.50		.25	0.91000		BUY,SELL
Hartford Mutual Funds	The Hartford Strategic Income Fund Class C	41664L641	HSNCX		1.00	1.00	1.62000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class F	41664T263	HSNFX				0.53000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class I	41664L633	HSNIX				0.63000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class R3	41664R408	HSNRX			.50	1.25000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class R4	41664R507	HSNSX			.25	0.93000		SELL ONLY
Hartford Mutual Funds	The Hartford Strategic Income Fund Class Y	41664L583	HSNYX				0.64000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class A	416645778	ITBAX	4.50		.25	0.68000		BUY,SELL
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class C	416645570	HABCX		1.00	1.00	1.56000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class F	41664T255	ITBFX				0.32000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class I	416649820	ITBIX				0.41000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class R3	416649556	ITBRX			.50	1.04000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class R4	416649259	ITBUX			.25	0.74000		SELL ONLY
Hartford Mutual Funds	The Hartford Total Return Bond Fund Class Y	416645752	HABYX				0.38000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class A	41664M250	HWDA X	4.50		.25	1.02000		BUY,SELL

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hartford Mutual Funds	The Hartford World Bond Fund Class C	41664M243	HWDC X		1.00	1.00	1.75000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class F	41664T222	HWDFX				0.63000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class I	41664M235	HWDX				0.72000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class R3	41664M227	HWDR X			.50	1.35000		SELL ONLY
Hartford Mutual Funds	The Hartford World Bond Fund Class R4	41664M219	HWDS X			.25	1.05000		SELL ONLY
Heartland	Heartland Mid Cap Value Fund Institutional Class	422352799	HNMDX				0.95000	2.00	SELL ONLY
Heartland	Heartland Mid Cap Value Fund Investor Class	422352815	HRMDX			.22	1.17000	2.00	SELL ONLY
Heartland	Heartland Value Fund Institutional Class	422352831	HNTVX				0.89000	2.00	SELL ONLY
Heartland	Heartland Value Fund Investor Class	422359109	HRTVX			.14	1.07000	2.00	SELL ONLY
Heartland	Heartland Value Plus Fund Institutional Class	422352849	HNVIX				0.92000	2.00	SELL ONLY
Heartland	Heartland Value Plus Fund Investor Class	422352500	HRVIX			.25	1.18000	2.00	SELL ONLY
Hennessy	Hennessy Balanced Fund Investor Class	425887106	HBFBX			.15	1.82000		SELL ONLY
Hennessy	Hennessy Cornerstone Growth Fund Class Institutional	425888500	HICGX				0.97000		SELL ONLY
Hennessy	Hennessy Cornerstone Growth Fund Investor Class	425888104	HFCGX			.15	1.29000		SELL ONLY
Hennessy	Hennessy Cornerstone Large Growth Fund Institutional Class	42588P403	HILGX				1.00000		SELL ONLY
Hennessy	Hennessy Cornerstone Large Growth Fund Investor Class	42588P205	HFLGX			.15	1.27000		SELL ONLY
Hennessy	Hennessy Cornerstone Mid Cap 30 Fund Institutional Class	425888609	HIMDX				0.95000		SELL ONLY
Hennessy	Hennessy Cornerstone Mid Cap 30 Fund Investor Class	425888302	HFMDX			.15	1.33000		SELL ONLY
Hennessy	Hennessy Cornerstone Value Fund Class Institutional	425888401	HICVX				0.98000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hennessy	Hennessy Cornerstone Value Fund Investor Class	425888203	HFCVX			.15	1.22000		SELL ONLY
Hennessy	Hennessy Energy Transition Fund Institutional Class	42588P734	HNRIX				2.28000		SELL ONLY
Hennessy	Hennessy Energy Transition Fund Investor Class	42588P742	HNRGX			.15	2.61000		SELL ONLY
Hennessy	Hennessy Equity and Income Fund Institutional Class	42588P817	HEIIX				1.18000		SELL ONLY
Hennessy	Hennessy Equity and Income Fund Investor Class	42588P825	HEIFX			.15	1.55000		SELL ONLY
Hennessy	Hennessy Focus Fund Institutional Class	42588P809	HFCIX				1.11000		SELL ONLY
Hennessy	Hennessy Focus Fund Investor Class	42588P700	HFCSX			.15	1.49000		SELL ONLY
Hennessy	Hennessy Gas Utility Fund Institutional Class	42588P759	HGASX				0.69000		SELL ONLY
Hennessy	Hennessy Gas Utility Fund Investor Class	42588P833	GASFX			.15	0.99000		SELL ONLY
Hennessy	Hennessy Japan Fund Institutional Class	425894201	HJPIX				1.02000		SELL ONLY
Hennessy	Hennessy Japan Fund Investor Class	425894102	HJPNX			.15	1.42000		SELL ONLY
Hennessy	Hennessy Japan Small Cap Fund Institutional Class	42588P767	HJSIX				1.13000		SELL ONLY
Hennessy	Hennessy Japan Small Cap Fund Investor Class	425894300	HJPSX			.15	1.53000		SELL ONLY
Hennessy	Hennessy Large Cap Financial Fund Institutional Class	42588P775	HILFX				1.57000		SELL ONLY
Hennessy	Hennessy Large Cap Financial Fund Investor Class	42588P882	HLFNX			.15	1.89000		SELL ONLY
Hennessy	Hennessy Midstream Fund Institutional Class	42588P718	HMSIX				1.54000		SELL ONLY
Hennessy	Hennessy Midstream Fund Investor Class	42588P726	HMSFX			.15	1.94000		SELL ONLY
Hennessy	Hennessy Small Cap Financial Fund Institutional Class	42588P866	HISFX				1.29000		SELL ONLY
Hennessy	Hennessy Small Cap Financial Fund Investor Class	42588P874	HSFNX			.15	1.63000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hennessy	Hennessy Technology Fund Institutional Class	42588P841	HTCIX				2.47000		SELL ONLY
Hennessy	Hennessy Technology Fund Investor Class	42588P858	HTECX			.15	2.77000		SELL ONLY
Hennessy	Hennessy Total Return Fund Investor Class	425887205	HDOGX			.15	3.62000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Disciplined Value Fund Class A	44134R750	HWCA X	5.25		.25	1.23000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Disciplined Value Fund Class Institutional	44134R768	HWCIX				1.01000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Global Value Fund Class A	44134R677	HWGA X	5.25		.25	1.51000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Global Value Fund Class I	44134R685	HWGIX				1.24000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley High Yield Fund Class A	44134R727	HWAH X	3.75		.25	0.97000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley High Yield Fund Class I	44134R735	HWHIX				0.77000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley High Yield Fund Class Z	44134R529	HWHZX				0.65000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley International Value Fund Class I	44134R636	HWNIX				4.57000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Large Cap Value Fundamental Fund Class A	44134R107	HWLAX	5.25		.25	1.20000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley Large Cap Value Fundamental Fund Class I	44134R503	HWLIX				0.98000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Large Cap Value Fundamental Fund Class Z	44134R511	HWLZX				0.85000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Mid-Cap Value Fund Class A	44134R206	HWMA X	5.25		.25	1.20000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley Mid-Cap Value Fund Class I	44134R800	HWMIX				1.00000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Mid-Cap Value Fund Class Z	44134R495	HWMZ X				0.88000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Diversified Value Fund Class A	44134R644	HWVAX	5.25		.25	1.12000		SELL ONLY

Fund Family	Fund Name	CUSIP	Ticker	Front End Load	CDSC	12b-1 Fees	Gross Expense Ratio	Redemption Fee	Buy/Sell Eligible
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Diversified Value Fund Class I	44134R651	HWVIX				0.86000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Diversified Value Fund Class Z	44134R479	HWVZX				0.76000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Value Fund Class A	44134R305	HWSAX	5.25		.25	1.20000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Value Fund Class C	44134R842	HWSCX		1.00	1.00	1.95000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Value Fund Class I	44134R867	HWSIX				1.05000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Small Cap Value Fund Class Z	44134R487	HWSZX				0.86000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Value Opportunities Fund Class A	44134R792	HWAAX	5.25		.25	1.18000		BUY,SELL
Hotchkis & Wiley	Hotchkis & Wiley Value Opportunities Fund Class C	44134R826	HWACX		1.00	1.00	1.90000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Value Opportunities Fund Class Institutional	44134R834	HWAIX				0.95000		SELL ONLY
Hotchkis & Wiley	Hotchkis & Wiley Value Opportunities Fund Class Z	44134R461	HWAZX				0.86000		SELL ONLY