

<p>Form 5500</p> <p>Department of the Treasury Internal Revenue Service</p> <hr/> <p>Department of Labor Employee Benefits Security Administration</p> <hr/> <p>Pension Benefit Guaranty Corporation</p>	<p>Annual Return/Report of Employee Benefit Plan</p> <p>This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).</p> <p>▶ Complete all entries in accordance with the instructions to the Form 5500.</p>	<p>OMB Nos. 1210-0110 1210-0089</p> <hr/> <p style="font-size: 24pt; font-weight: bold;">2020</p> <hr/> <p>This Form is Open to Public Inspection</p>
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Part I Annual Report Identification Information

For calendar plan year 2020 or fiscal plan year beginning 07/01/2020 and ending 06/30/2021

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

a single-employer plan a DFE (specify) _____

B This return/report is: the first return/report the final return/report

an amended return/report a short plan year return/report (less than 12 months)

C If the plan is a collectively-bargained plan, check here:

D Check box if filing under: Form 5558 automatic extension the DFVC program

special extension (enter description)

Part II Basic Plan Information—enter all requested information

<p>1a Name of plan <u>UNITED MINE WORKERS OF AMERICA 1974 PENSION PLAN</u></p>	<p>1b Three-digit plan number (PN) ▶ <u>002</u></p>
<p>2a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) <u>UMWA 1974 PENSION TRUST BOARD OF TRUSTEES</u></p> <p><u>2121 K STREET N.W. SUITE 350</u> <u>WASHINGTON, DC 20037-1879</u></p>	<p>1c Effective date of plan <u>12/06/1974</u></p> <p>2b Employer Identification Number (EIN) <u>52-1050282</u></p> <p>2c Plan Sponsor's telephone number <u>800-291-1425</u></p> <p>2d Business code (see instructions) <u>212110</u></p>

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

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

SIGN HERE	Filed with authorized/valid electronic signature.	03/31/2022	MICHAEL H. HOLLAND, TRUSTEE
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	04/05/2022	MICHAEL O. MCKOWN, TRUSTEE
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE	Filed with authorized/valid electronic signature.		
	Signature of DFE	Date	Enter name of individual signing as DFE

3a Plan administrator's name and address <input checked="" type="checkbox"/> Same as Plan Sponsor	3b Administrator's EIN	
	3c Administrator's telephone number	

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

5 Total number of participants at the beginning of the plan year	5	87190
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6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines 6a(1) , 6a(2) , 6b , 6c , and 6d).		
a(1) Total number of active participants at the beginning of the plan year.....	6a(1)	1693
a(2) Total number of active participants at the end of the plan year	6a(2)	68
b Retired or separated participants receiving benefits.....	6b	52718
c Other retired or separated participants entitled to future benefits	6c	7178
d Subtotal. Add lines 6a(2) , 6b , and 6c	6d	59964
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	6e	23732
f Total. Add lines 6d and 6e	6f	83696
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	6g	
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	6h	
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	7	19

8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:
1B

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

9a Plan funding arrangement (check all that apply)	9b Plan benefit arrangement (check all that apply)
(1) <input type="checkbox"/> Insurance	(1) <input type="checkbox"/> Insurance
(2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts	(2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts
(3) <input checked="" type="checkbox"/> Trust	(3) <input checked="" type="checkbox"/> Trust
(4) <input type="checkbox"/> General assets of the sponsor	(4) <input type="checkbox"/> General assets of the sponsor

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

a Pension Schedules	b General Schedules
(1) <input checked="" type="checkbox"/> R (Retirement Plan Information)	(1) <input checked="" type="checkbox"/> H (Financial Information)
(2) <input checked="" type="checkbox"/> MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary	(2) <input type="checkbox"/> I (Financial Information – Small Plan)
(3) <input type="checkbox"/> SB (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary	(3) <input type="checkbox"/> A (Insurance Information)
	(4) <input checked="" type="checkbox"/> C (Service Provider Information)
	(5) <input checked="" type="checkbox"/> D (DFE/Participating Plan Information)
	(6) <input type="checkbox"/> G (Financial Transaction Schedules)

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

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

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

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

11c Enter the Receipt Confirmation Code for the 2020 Form M-1 annual report. If the plan was not required to file the 2020 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

SCHEDULE MB (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code). ▶ File as an attachment to Form 5500 or 5500-SF.	<small>OMB No. 1210-0110</small> 2020 This Form is Open to Public Inspection
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For calendar plan year 2020 or fiscal plan year beginning 07/01/2020 and ending 06/30/2021

- ▶ **Round off amounts to nearest dollar.**
 ▶ **Caution:** A penalty of \$1,000 will be assessed for late filing of this report unless reasonable cause is established.

A Name of plan <u>UNITED MINE WORKERS OF AMERICA 1974 PENSION PLAN</u>	B Three-digit plan number (PN) ▶ <u>002</u>
C Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF <u>UMWA 1974 PENSION TRUST BOARD OF TRUSTEES</u>	D Employer Identification Number (EIN) <u>52-1050282</u>

E Type of plan: (1) Multiemployer Defined Benefit (2) Money Purchase (see instructions)

1a Enter the valuation date: Month 07 Day 01 Year 2020

b Assets

(1) Current value of assets.....	1b(1)	<u>3195478795</u>
(2) Actuarial value of assets for funding standard account	1b(2)	<u>3284470188</u>
c (1) Accrued liability for plan using immediate gain methods	1c(1)	<u>6897285525</u>
(2) Information for plans using spread gain methods:		
(a) Unfunded liability for methods with bases	1c(2)(a)	
(b) Accrued liability under entry age normal method	1c(2)(b)	
(c) Normal cost under entry age normal method	1c(2)(c)	
(3) Accrued liability under unit credit cost method	1c(3)	<u>6897285525</u>
d Information on current liabilities of the plan:		
(1) Amount excluded from current liability attributable to pre-participation service (see instructions)	1d(1)	
(2) "RPA '94" information:		
(a) Current liability.....	1d(2)(a)	<u>8737857720</u>
(b) Expected increase in current liability due to benefits accruing during the plan year.....	1d(2)(b)	<u>782637</u>
(c) Expected release from "RPA '94" current liability for the plan year.....	1d(2)(c)	<u>579273941</u>
(3) Expected plan disbursements for the plan year.....	1d(3)	<u>587036212</u>

Statement by Enrolled Actuary

To the best of my knowledge, the information supplied in this schedule and accompanying schedules, statements and attachments, if any, is complete and accurate. Each prescribed assumption was applied in accordance with applicable law and regulations. In my opinion, each other assumption is reasonable (taking into account the experience of the plan and reasonable expectations) and such other assumptions, in combination, offer my best estimate of anticipated experience under the plan.

SIGN HERE	Signature of actuary <u>WILLIAM J RUSCHAU, FSA, EA, MAAA</u> Type or print name of actuary <u>UNITED ACTUARIAL SERVICES, INC.</u> Firm name <u>11590 N. MERIDIAN STREET, SUITE 610, CARMEL, IN 46032-4529</u> Address of the firm	<u>03/14/2022</u> Date <u>20-03137</u> Most recent enrollment number <u>614-264-4762</u> Telephone number (including area code)
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If the actuary has not fully reflected any regulation or ruling promulgated under the statute in completing this schedule, check the box and see instructions

2 Operational information as of beginning of this plan year:

a Current value of assets (see instructions)	2a	3195478795
b "RPA '94" current liability/participant count breakdown:	(1) Number of participants	(2) Current liability
(1) For retired participants and beneficiaries receiving payment	79256	7889803240
(2) For terminated vested participants	6209	653965257
(3) For active participants:		
(a) Non-vested benefits.....		981452
(b) Vested benefits.....		193107771
(c) Total active.....	2503	194089223
(4) Total	87968	8737857720
c If the percentage resulting from dividing line 2a by line 2b(4), column (2), is less than 70%, enter such percentage	2c	36.57 %

3 Contributions made to the plan for the plan year by employer(s) and employees:

(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees
07/15/2020	15401851		01/15/2021	442606	
08/15/2020	1272509		02/15/2021	464665	
09/15/2020	4457606		03/15/2021	439606	
10/15/2020	839606		04/15/2021	457103	
11/15/2020	445851		05/15/2021	441110	
12/15/2020	1595606		06/15/2021	415836	
			Totals ▶	3(b)	3(c)
				26709434	0

4 Information on plan status:

a Funded percentage for monitoring plan's status (line 1b(2) divided by line 1c(3))	4a	47.6 %
b Enter code to indicate plan's status (see instructions for attachment of supporting evidence of plan's status). If entered code is "N," go to line 5	4b	C
c Is the plan making the scheduled progress under any applicable funding improvement or rehabilitation plan?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
d If the plan is in critical status or critical and declining status, were any benefits reduced (see instructions)?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
e If line d is "Yes," enter the reduction in liability resulting from the reduction in benefits (see instructions), measured as of the valuation date	4e	
f If the rehabilitation plan projects emergence from critical status or critical and declining status, enter the plan year in which it is projected to emerge. If the rehabilitation plan is based on forestalling possible insolvency, enter the plan year in which insolvency is expected and check here	4f	9999 <input checked="" type="checkbox"/>

5 Actuarial cost method used as the basis for this plan year's funding standard account computations (check all that apply):

- a** Attained age normal
- b** Entry age normal
- c** Accrued benefit (unit credit)
- d** Aggregate
- e** Frozen initial liability
- f** Individual level premium
- g** Individual aggregate
- h** Shortfall
- i** Other (specify):

j If box h is checked, enter period of use of shortfall method	5j	
k Has a change been made in funding method for this plan year?.....		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
l If line k is "Yes," was the change made pursuant to Revenue Procedure 2000-40 or other automatic approval?		<input type="checkbox"/> Yes <input type="checkbox"/> No
m If line k is "Yes," and line l is "No," enter the date (MM-DD-YYYY) of the ruling letter (individual or class) approving the change in funding method.....	5m	

2 Operational information as of beginning of this plan year:

a Current value of assets (see instructions)	2a	
b "RPA '94" current liability/participant count breakdown:	(1) Number of participants	(2) Current liability
(1) For retired participants and beneficiaries receiving payment		
(2) For terminated vested participants		
(3) For active participants:		
(a) Non-vested benefits.....		
(b) Vested benefits.....		
(c) Total active.....		
(4) Total		
c If the percentage resulting from dividing line 2a by line 2b(4), column (2), is less than 70%, enter such percentage	2c	%

3 Contributions made to the plan for the plan year by employer(s) and employees:

(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees
07/15/2021	35479				
Totals ▶			3(b)		3(c)

4 Information on plan status:

a Funded percentage for monitoring plan's status (line 1b(2) divided by line 1c(3))	4a	%
b Enter code to indicate plan's status (see instructions for attachment of supporting evidence of plan's status). If entered code is "N," go to line 5	4b	
c Is the plan making the scheduled progress under any applicable funding improvement or rehabilitation plan?		<input type="checkbox"/> Yes <input type="checkbox"/> No
d If the plan is in critical status or critical and declining status, were any benefits reduced (see instructions)?		<input type="checkbox"/> Yes <input type="checkbox"/> No
e If line d is "Yes," enter the reduction in liability resulting from the reduction in benefits (see instructions), measured as of the valuation date	4e	
f If the rehabilitation plan projects emergence from critical status or critical and declining status, enter the plan year in which it is projected to emerge. If the rehabilitation plan is based on forestalling possible insolvency, enter the plan year in which insolvency is expected and check here	4f	<input type="checkbox"/>

5 Actuarial cost method used as the basis for this plan year's funding standard account computations (check all that apply):

- a** Attained age normal **b** Entry age normal **c** Accrued benefit (unit credit) **d** Aggregate
- e** Frozen initial liability **f** Individual level premium **g** Individual aggregate **h** Shortfall
- i** Other (specify):

j If box h is checked, enter period of use of shortfall method	5j	
k Has a change been made in funding method for this plan year?.....		<input type="checkbox"/> Yes <input type="checkbox"/> No
l If line k is "Yes," was the change made pursuant to Revenue Procedure 2000-40 or other automatic approval?		<input type="checkbox"/> Yes <input type="checkbox"/> No
m If line k is "Yes," and line l is "No," enter the date (MM-DD-YYYY) of the ruling letter (individual or class) approving the change in funding method.....	5m	

6 Checklist of certain actuarial assumptions:

a Interest rate for "RPA '94" current liability.....			6a	2.68 %
b Rates specified in insurance or annuity contracts.....	Pre-retirement <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A		Post-retirement <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	
c Mortality table code for valuation purposes:				
(1) Males	6c(1)	A		A
(2) Females	6c(2)	A		A
d Valuation liability interest rate	6d	4.50 %		4.50 %
e Expense loading	6e	97.9 %	<input type="checkbox"/> N/A	<input checked="" type="checkbox"/> N/A
f Salary scale	6f	%	<input type="checkbox"/> N/A	
g Estimated investment return on actuarial value of assets for year ending on the valuation date.....	6g			3.1 %
h Estimated investment return on current value of assets for year ending on the valuation date	6h			2.3 %

7 New amortization bases established in the current plan year:

(1) Type of base	(2) Initial balance	(3) Amortization Charge/Credit
1	-1537874033	-137030916
4	744896545	66373353

8 Miscellaneous information:

a If a waiver of a funding deficiency has been approved for this plan year, enter the date (MM-DD-YYYY) of the ruling letter granting the approval.....	8a	
b(1) Is the plan required to provide a projection of expected benefit payments? (See the instructions.) If "Yes," attach a schedule.....		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b(2) Is the plan required to provide a Schedule of Active Participant Data? (See the instructions.) If "Yes," attach a schedule.....		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c Are any of the plan's amortization bases operating under an extension of time under section 412(e) (as in effect prior to 2008) or section 431(d) of the Code?.....		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
d If line c is "Yes," provide the following additional information:		
(1) Was an extension granted automatic approval under section 431(d)(1) of the Code?.....		<input type="checkbox"/> Yes <input type="checkbox"/> No
(2) If line 8d(1) is "Yes," enter the number of years by which the amortization period was extended	8d(2)	
(3) Was an extension approved by the Internal Revenue Service under section 412(e) (as in effect prior to 2008) or 431(d)(2) of the Code?		<input type="checkbox"/> Yes <input type="checkbox"/> No
(4) If line 8d(3) is "Yes," enter number of years by which the amortization period was extended (not including the number of years in line (2)).....	8d(4)	
(5) If line 8d(3) is "Yes," enter the date of the ruling letter approving the extension	8d(5)	
(6) If line 8d(3) is "Yes," is the amortization base eligible for amortization using interest rates applicable under section 6621(b) of the Code for years beginning after 2007?		<input type="checkbox"/> Yes <input type="checkbox"/> No
e If box 5h is checked or line 8c is "Yes," enter the difference between the minimum required contribution for the year and the minimum that would have been required without using the shortfall method or extending the amortization base(s)	8e	

9 Funding standard account statement for this plan year:

Charges to funding standard account:

a Prior year funding deficiency, if any	9a	1155588058
b Employer's normal cost for plan year as of valuation date.....	9b	21978376
c Amortization charges as of valuation date:	Outstanding balance	
(1) All bases except funding waivers and certain bases for which the amortization period has been extended.....	9c(1)	4565554079
(2) Funding waivers	9c(2)	0
(3) Certain bases for which the amortization period has been extended	9c(3)	0
d Interest as applicable on lines 9a, 9b, and 9c.....	9d	79365163
e Total charges. Add lines 9a through 9d.....	9e	1843035527

Credits to funding standard account:

f Prior year credit balance, if any.....	9f		0
g Employer contributions. Total from column (b) of line 3.....	9g		26709434
		Outstanding balance	
h Amortization credits as of valuation date.....	9h	2108326800	238251236
i Interest as applicable to end of plan year on lines 9f, 9g, and 9h.....	9i		11702901
j Full funding limitation (FFL) and credits:			
(1) ERISA FFL (accrued liability FFL).....	9j(1)	3594493863	
(2) "RPA '94" override (90% current liability FFL).....	9j(2)	4434246515	
(3) FFL credit.....	9j(3)		0
k (1) Waived funding deficiency.....	9k(1)		0
(2) Other credits.....	9k(2)		0
l Total credits. Add lines 9f through 9i, 9j(3), 9k(1), and 9k(2).....	9l		276663571
m Credit balance: If line 9l is greater than line 9e, enter the difference.....	9m		
n Funding deficiency: If line 9e is greater than line 9l, enter the difference.....	9n		1566371956
9o Current year's accumulated reconciliation account:			
(1) Due to waived funding deficiency accumulated prior to the 2020 plan year.....	9o(1)		0
(2) Due to amortization bases extended and amortized using the interest rate under section 6621(b) of the Code:			
(a) Reconciliation outstanding balance as of valuation date.....	9o(2)(a)		0
(b) Reconciliation amount (line 9c(3) balance minus line 9o(2)(a)).....	9o(2)(b)		0
(3) Total as of valuation date.....	9o(3)		0
10 Contribution necessary to avoid an accumulated funding deficiency. (See instructions.).....	10		0
11 Has a change been made in the actuarial assumptions for the current plan year? If "Yes," see instructions.....			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

SCHEDULE C (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Service Provider Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	<small>OMB No. 1210-0110</small> 2020 This Form is Open to Public Inspection.
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For calendar plan year 2020 or fiscal plan year beginning **07/01/2020** and ending **06/30/2021**

A Name of plan UNITED MINE WORKERS OF AMERICA 1974 PENSION PLAN	B Three-digit plan number (PN) ▶	002
C Plan sponsor's name as shown on line 2a of Form 5500 UMWA 1974 PENSION TRUST BOARD OF TRUSTEES	D Employer Identification Number (EIN) 52-1050282	

Part I Service Provider Information (see instructions)

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

1 Information on Persons Receiving Only Eligible Indirect Compensation

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

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

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

PIMCO, LLC

33-0629048

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

THE VANGUARD GROUP, INC.

23-1945930

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

THOMAS, MCNEAREY & PARTNERS II, LP **ONE STAMFORD PLAZA**
STAMFORD, CT 06901

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

SNOW PHIPPS GROUP, LLC

20-2706360

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

QS INVESTORS, LLC

27-3203566

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

CORE COMMODITY MANAGEMENT, LLC

65-1211841

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

CHARTERHOUSE CAPITAL PARTNERS LLP

7TH FLOOR WARWICK COURT PATERNOSTER SQUARE
LONDON, ENGLAND ECM47DX GB

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

BRIDGEWATER ASSOCIATES, LP

ONE GLENDINNING PLACE
WESTPORT, CT 06880

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

KTR CAPITAL PARTNERS

20-3929631

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

GRANTHAN,MAYO,VAN OTTERLOO &CO LLC

04-3568347

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

HARVEST PARTNERS V LP

20-4202660

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

HARVEST ADVISORY V, LLC

20-8031906

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

K2D & S MANAGEMENT CO., LLC

13-3970786

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

SV LIFE SCIENCES ADVISERS, LLC

86-1154144

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

CITY OF LONDON INVESTMENT MGMT COMP 77 GRACECHURCH STREET
LONDON, ENGLAND EC3V0AS GB

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

MADISON INTERNATIONAL REALTY

27-1459361

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

CAPITAL INTERNATIONAL, INC.

95-4154361

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

KOHLBERG & CO., LLC

13-3850539

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

CLP 2014-B LP

47-2551206

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

CLP 2014-LT LP

47-2527054

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

CLP 2014-A-LP

47-2538349

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

AQR CAPITAL MANAGEMENT LLC

13-3967414

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

LMCG

27-0282607

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

WELLSPRING CAPITAL MANAGEMENT LLC

390 PARK AVENUE
NEW YORK, NY 10022

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

TERRA FIRMA CAPITAL PARTNERS LIMITE

2 MORE LONDON RIVERSIDE
LONDON, ENGLAND SE12APGB GB

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

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

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

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

1974 PENSION TRUST EMPLOYEES

52-6150908

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27 30 36 49 29	EMPLOYEES	7774238	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

INVESCO CAPITAL MANAGEMENT

58-1707262

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50 28	NONE	1169286	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

STEPTOE JOHNSON LLC

52-1349790

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29	NONE	838095	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

NORTHERN TRUST COMPANY

36-1561860

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50 65 19 99	NONE	816798	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

LOOMIS SAYLES

04-3200030

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50 28	NONE	491617	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

MOONEY GREEN SAINDON

52-1182494

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29 50	NONE	473891	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

MORGAN LEWIS AND BOCKIUS LLP

23-0891050

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50 29	NONE	440202	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

BAILEY CAVALIERI

16-1675009

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29	NONE	291708	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

1974 PENSION TRUST TRUSTEES

52-6150908

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
20 50	TRUSTEES	207459	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

UBS GLOBAL ASSET MANAGEMENT

36-3718331

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 50 51	NONE	202840	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

WITHUMSMITH+BROWN

22-2027092

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10 50	NONE	200644	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

STATE STREET RESEARCH MANAGEMENT CO

13-3142135

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 50	NONE	193049	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

BLACKROCK INST TRUST CO NA

94-3112180

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27 50 51	NONE	192831	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	0	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

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

VERIZON

47-0751768

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50	NONE	167763	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

UNITED ACTUARIAL SERVICE

35-2156428

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
11 50	NONE	155971	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

LSV ASSET MANAGEMENT

23-2772200

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 50	NONE	148043	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

ARGUS INV COUNSEL INC

13-1931123

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50 51	NONE	120480	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

BLOOMBERG FINANCE

13-3417984

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50 72	NONE	100399	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

INSIGHT DIRECT USA

36-3948996

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	97704	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

MICROSOFT CORPORATION

91-1144442

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	90021	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

BLACKROCK

30-0587659

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 50	NONE	85756	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

KELLY PRESS INC

52-0975591

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	79213	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

DIMENSIONAL FUND ADVISORS LP

22-2370029

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 50 51	NONE	77661	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

RV KUHNS & ASSOCIATES, INC

93-0910652

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
70 16 50	NONE	65000	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

GOLDMAN SACHS ASSET MANAGEMENT

13-3575636

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 50 51	NONE	61858	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	0	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

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

T ROWE PRICE STABLE ASSET MGMT INC

52-0556948

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 50	NONE	58114	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

BURGISS GROUP LLC

22-3693659

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50 72	NONE	50361	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

SOVOS COMPLIANCE LLC

46-1379693

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	50252	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

HOLLEY, ROSEN & BEARD

37-1389335

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29 50	NONE	50000	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

MILLIMAN INC

91-0675641

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
11 50	NONE	44717	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

ASCENTIS

91-1630801

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16 50	NONE	37839	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

WILSHIRE ASSOCIATES

95-2755361

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50 72	NONE	33380	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

RELX INC DBA LEXIS

52-1471842

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	31558	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

MILLER & CHEVALIER

52-1212890

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29 50	NONE	28025	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

ALIEN VAULT INC

45-4399193

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	26550	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

GLOBAL TRADING ANALYTICS

20-2368007

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
19 50 72 99	NONE	25000	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

INTEGRAL CONSULTING

52-2081090

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	24749	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

AON CONSULTING, INC.

22-2232264

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16 70	NONE	24010	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

VONAGE BUSINESS

20-5093831

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50	NONE	20744	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

THOMSON WEST

75-1297386

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50 72	NONE	19529	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

LIFE STATUS 360, LLC

94-3389460

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
15 50	NONE	18768	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

CISCO SYSTEMS INC

77-0440621

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50	NONE	18636	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

DATAART SOLUTIONS INC

13-3933601

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16 50	NONE	18270	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

SHI INTERNATIONAL

22-3009648

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	16967	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

UNITED PARCEL SERVICE

PO BOX 4980
HAGERSTOWN, MD 21747

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	16697	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

STOVER, DALE R.

2121 K STREET N.W. SUITE 350
WASHINGTON, DC 20037

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16 50	NONE	15977	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

AUTOMON, LLC

26-2521148

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50	NONE	14715	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

CONCUR TECHNOLOGIES

91-1608052

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50	NONE	14693	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

SYNTELLIS PERFORMANCE

85-1377808

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50	NONE	14206	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

REFINITIV US LLC

20-4530702

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50 72	NONE	14168	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

CYGILANT INC

41-2096085

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	13871	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

DATABANK IMX LLC

52-1729143

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	12925	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

NMS IMAGING INC

52-0913097

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	12312	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

SAS INSTITUTE INC

56-1133017

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	11648	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

AT&T MOBILITY

84-1659970

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	11351	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

OPENTEXT INC

46-0525483

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	10516	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

CONTINENTAL RESOURCES

04-2297141

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
70	NONE	9977	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

BLACKBAUD INC.

74-2947183

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	9952	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

AUTOMATIC DATA PROCESSING

23-1580985

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
15 50	NONE	9760	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

ALLIED TELECOM GROUP

52-1738021

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	8653	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

PROTRAK INTERNATIONAL

13-3458861

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	8601	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

MALLON, JANE ANN

2121 K STREET N.W. SUITE 350
WASHINGTON, DC 20037

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16 50	NONE	8518	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

RICHARD F. HAWKINS

26-0517471

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29 50	NONE	8500	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

AMERICAN ARBITRATION

13-0429745

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29 50	NONE	8000	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

FROST BROWN TODD LLC

61-0722001

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29 50	NONE	7793	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

VSS LLC

20-4783146

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16 50	NONE	7720	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

INFO TECH RESEARCH

20-4312071

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	7261	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

DOYLE PRINTING AND OFFSET CO.

53-0191325

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49	NONE	6395	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

QUINN, CONNOR, WEAVER

63-0917236

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29	NONE	6363	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

JONES, NANCY C.

2121 K STREET N.W. SUITE 350
WASHINGTON, DC 20037

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50 16	NONE	6032	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

SAGE SOFTWARE INC

54-1222526

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	5927	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

BELL & HOWELL LLC

36-3580100

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16 50	NONE	5595	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

PRESIDIO NETWORKED

58-1667655

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
50	NONE	5574	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

IMAGE ACCESS CORP

22-2762602

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	5484	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

RONEY, JANET

2121 K STREET N.W. SUITE 350
WASHINGTON, DC 20037

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16 50	NONE	5383	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

INFOLOCK TECHNOLOGIES

73-1724401

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	5144	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

KNOWLEDGELAKE, INC.

43-1869684

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
49 50	NONE	5136	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

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

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

Part I Service Provider Information (continued)

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

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	

Part II Service Providers Who Fail or Refuse to Provide Information

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

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

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

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

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

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

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

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

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

Explanation:

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

Explanation:

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

Explanation:

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

Explanation:

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

Explanation:

**SCHEDULE D
(Form 5500)**Department of the Treasury
Internal Revenue ServiceDepartment of Labor
Employee Benefits Security Administration**DFE/Participating Plan Information**

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).

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

OMB No. 1210-0110

2020**This Form is Open to Public Inspection.**For calendar plan year 2020 or fiscal plan year beginning 07/01/2020 and ending 06/30/2021

A Name of plan <u>UNITED MINE WORKERS OF AMERICA 1974 PENSION PLAN</u>	B Three-digit plan number (PN) ▶ <u>002</u>
C Plan or DFE sponsor's name as shown on line 2a of Form 5500 <u>UMWA 1974 PENSION TRUST BOARD OF TRUSTEES</u>	D Employer Identification Number (EIN) <u>52-1050282</u>

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

a Name of MTIA, CCT, PSA, or 103-12 IE: <u>MSCI EAFE INDEX SL FUND</u>	b Name of sponsor of entity listed in (a): <u>STATE STREET BANK AND TRUST COMPANY</u>	
c EIN-PN <u>04-0025081-240</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>105923184</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>GSTCO ENHANCED LARGE CAP FUND</u>	b Name of sponsor of entity listed in (a): <u>GOLDMAN SACHS ASSET MANAGEMENT</u>	
c EIN-PN <u>13-4166989-006</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>58567698</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>JP MORGAN STRATEGIC PROPERTY TRUST</u>	b Name of sponsor of entity listed in (a): <u>JPMORGAN CHASE BANK, N.A.</u>	
c EIN-PN <u>13-6038770-001</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>28608397</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>EQUITY INDEX FUND</u>	b Name of sponsor of entity listed in (a): <u>BLACKROCK INSTITUTIONAL TRUST COMPANY, N.A.</u>	
c EIN-PN <u>94-6052285-001</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>46593649</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>INVESCO BALANCED RISK ALLOCATION TR</u>	b Name of sponsor of entity listed in (a): <u>INVESCO TRUST COMPANY</u>	
c EIN-PN <u>26-6399613-001</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>308316166</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>DFA GROUP TRUST THE MICRO CAP SUBST</u>	b Name of sponsor of entity listed in (a): <u>DFA GROUP TRUST</u>	
c EIN-PN <u>23-6819730-004</u>	d Entity code <u>E</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>17658476</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>EXTENDED EQUITY MARKET FUND</u>	b Name of sponsor of entity listed in (a): <u>BLACKROCK INSTITUTIONAL TRUST COMPANY, N.A.</u>	
c EIN-PN <u>94-6507863-001</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>18910256</u>

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Schedule D (Form 5500) 2020
v. 200204

a Name of MTIA, CCT, PSA, or 103-12 IE: CANADA MSCI INDEX		
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY		
c EIN-PN 04-0025081-125	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 12080105
a Name of MTIA, CCT, PSA, or 103-12 IE: SHORT-TERM INVESTMENT FUND		
b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST COMPANY, N.A.		
c EIN-PN 94-6450621-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 100
a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK MSCI EMERGING MARKETS IMI		
b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST COMPANY, N.A.		
c EIN-PN 45-3340524-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 41833373
a Name of MTIA, CCT, PSA, or 103-12 IE: ALL WEATHER PORTFOLIO LIMITED		
b Name of sponsor of entity listed in (a): ALL WEATHER PORTFOLIO LIMITED		
c EIN-PN 98-0501379-001	d Entity code E	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: DFA GROUP TRUST THE SMALL CAP		
b Name of sponsor of entity listed in (a): DFA GROUP TRUST		
c EIN-PN 23-6819730-001	d Entity code E	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: LONG US CREDIT CORP INDX SL FUND		
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY		
c EIN-PN 04-0025081-145	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 45157530
a Name of MTIA, CCT, PSA, or 103-12 IE: ALPHACREDIT INVESTMENT GRADE FUND A		
b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST COMPANY		
c EIN-PN 82-2633615-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 527111251
a Name of MTIA, CCT, PSA, or 103-12 IE: LONG US TREASURY INDEX		
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY		
c EIN-PN 04-0025081-472	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 159075981
a Name of MTIA, CCT, PSA, or 103-12 IE: SSGA LONG US NON-CORPORATE INDX CRE		
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY		
c EIN-PN 90-0337987-371	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 5872917
a Name of MTIA, CCT, PSA, or 103-12 IE: 1-3 YEAR US CREDIT INDX SL FUND		
b Name of sponsor of entity listed in (a): STATE STREET BANK AND TRUST COMPANY		
c EIN-PN 04-0025081-481	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 24268530

SCHEDULE H (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ▶ File as an attachment to Form 5500.	<small>OMB No. 1210-0110</small> 2020 This Form is Open to Public Inspection
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For calendar plan year 2020 or fiscal plan year beginning **07/01/2020** and ending **06/30/2021**

A Name of plan UNITED MINE WORKERS OF AMERICA 1974 PENSION PLAN	B Three-digit plan number (PN) ▶	002
C Plan sponsor's name as shown on line 2a of Form 5500 UMWA 1974 PENSION TRUST BOARD OF TRUSTEES	D Employer Identification Number (EIN) 52-1050282	

Part I Asset and Liability Statement

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

Assets	(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash.....	1a	
b Receivables (less allowance for doubtful accounts):		
(1) Employer contributions	1b(1)	39660
(2) Participant contributions.....	1b(2)	
(3) Other	1b(3)	395936054
c General investments:		
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	9854184
(2) U.S. Government securities	1c(2)	2748435
(3) Corporate debt instruments (other than employer securities):		
(A) Preferred	1c(3)(A)	
(B) All other	1c(3)(B)	79005835
(4) Corporate stocks (other than employer securities):		
(A) Preferred	1c(4)(A)	62255
(B) Common	1c(4)(B)	159407217
(5) Partnership/joint venture interests	1c(5)	60781510
(6) Real estate (other than employer real property)	1c(6)	
(7) Loans (other than to participants)	1c(7)	
(8) Participant loans	1c(8)	
(9) Value of interest in common/collective trusts.....	1c(9)	2070169184
(10) Value of interest in pooled separate accounts	1c(10)	
(11) Value of interest in master trust investment accounts.....	1c(11)	
(12) Value of interest in 103-12 investment entities	1c(12)	17658476
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	386460779
(14) Value of funds held in insurance company general account (unallocated contracts).....	1c(14)	
(15) Other.....	1c(15)	182171330

		(a) Beginning of Year	(b) End of Year
1d	Employer-related investments:		
(1)	Employer securities.....	1d(1)	
(2)	Employer real property.....	1d(2)	
e	Buildings and other property used in plan operation.....	1e	8126091 5253330
f	Total assets (add all amounts in lines 1a through 1e).....	1f	3349813531 3369548249
Liabilities			
g	Benefit claims payable.....	1g	
h	Operating payables.....	1h	106705829 93749323
i	Acquisition indebtedness.....	1i	
j	Other liabilities.....	1j	16433227 16887721
k	Total liabilities (add all amounts in lines 1g through 1j).....	1k	123139056 110637044
Net Assets			
l	Net assets (subtract line 1k from line 1f).....	1l	3226674475 3258911205

Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

		(a) Amount	(b) Total
Income			
a	Contributions:		
(1)	Received or receivable in cash from: (A) Employers.....	2a(1)(A)	2632356
	(B) Participants.....	2a(1)(B)	
	(C) Others (including rollovers).....	2a(1)(C)	330092270
(2)	Noncash contributions.....	2a(2)	
(3)	Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)	332724626
b	Earnings on investments:		
(1)	Interest:		
	(A) Interest-bearing cash (including money market accounts and certificates of deposit).....	2b(1)(A)	7070
	(B) U.S. Government securities.....	2b(1)(B)	169892
	(C) Corporate debt instruments.....	2b(1)(C)	3790989
	(D) Loans (other than to participants).....	2b(1)(D)	
	(E) Participant loans.....	2b(1)(E)	
	(F) Other.....	2b(1)(F)	97436
	(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)	4065387
(2)	Dividends: (A) Preferred stock.....	2b(2)(A)	2634
	(B) Common stock.....	2b(2)(B)	2120348
	(C) Registered investment company shares (e.g. mutual funds).....	2b(2)(C)	3739130
	(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)	5862112
(3)	Rents.....	2b(3)	9628
(4)	Net gain (loss) on sale of assets: (A) Aggregate proceeds.....	2b(4)(A)	289523957
	(B) Aggregate carrying amount (see instructions).....	2b(4)(B)	255046416
	(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result.....	2b(4)(C)	34477541
(5)	Unrealized appreciation (depreciation) of assets: (A) Real estate.....	2b(5)(A)	-10673
	(B) Other.....	2b(5)(B)	48142811
	(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)	48132138

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts.....	2b(6)		180652418
(7) Net investment gain (loss) from pooled separate accounts.....	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts.....	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities.....	2b(9)		298630
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds).....	2b(10)		26716511
c Other income.....	2c		3901131
d Total income. Add all income amounts in column (b) and enter total.....	2d		636840122

Expenses

e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers.....	2e(1)	583574522	
(2) To insurance carriers for the provision of benefits.....	2e(2)		
(3) Other.....	2e(3)		
(4) Total benefit payments. Add lines 2e(1) through (3).....	2e(4)		583574522
f Corrective distributions (see instructions).....	2f		
g Certain deemed distributions of participant loans (see instructions).....	2g		
h Interest expense.....	2h		
i Administrative expenses: (1) Professional fees.....	2i(1)	2565290	
(2) Contract administrator fees.....	2i(2)		
(3) Investment advisory and management fees.....	2i(3)	3432659	
(4) Other.....	2i(4)	15030921	
(5) Total administrative expenses. Add lines 2i(1) through (4).....	2i(5)		21028870
j Total expenses. Add all expense amounts in column (b) and enter total.....	2j		604603392

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d.....	2k		32236730
l Transfers of assets:			
(1) To this plan.....	2l(1)		
(2) From this plan.....	2l(2)		0

Part III Accountant's Opinion

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

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

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

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

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

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

(1) Name: WITHUMSMITH & BROWN

(2) EIN: 22-2027092

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

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

Part IV Compliance Questions

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

During the plan year:

a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)

	Yes	No	Amount
4a		X	

		Yes	No	Amount
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)	4b		X	
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)	4c		X	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)	4d		X	
e Was this plan covered by a fidelity bond?	4e	X		555556
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	4f		X	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?	4g		X	
h Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?	4h		X	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.).....	4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.).....	4j	X		
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?	4k		X	
l Has the plan failed to provide any benefit when due under the plan?	4l	X		298164
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.).....	4m			
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.....	4n			

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

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

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

5c Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) Yes No Not determined
 If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year 4346622.

SCHEDULE R (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Retirement Plan Information This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code). ▶ File as an attachment to Form 5500.	<small>OMB No. 1210-0110</small> 2020 This Form is Open to Public Inspection.
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For calendar plan year 2020 or fiscal plan year beginning 07/01/2020 and ending 06/30/2021

A Name of plan <u>UNITED MINE WORKERS OF AMERICA 1974 PENSION PLAN</u>	B Three-digit plan number (PN) ▶	<u>002</u>
C Plan sponsor's name as shown on line 2a of Form 5500 <u>UMWA 1974 PENSION TRUST BOARD OF TRUSTEES</u>	D Employer Identification Number (EIN) <u>52-1050282</u>	

Part I	Distributions
---------------	----------------------

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

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

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

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

3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year	3	0
--	---	---

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

4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? Yes No N/A
If the plan is a defined benefit plan, go to line 8.

5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. **Date:** Month _____ Day _____ Year _____
If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.

6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived)	6a	
b Enter the amount contributed by the employer to the plan for this plan year	6b	
c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount).....	6c	

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

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

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

Part III	Amendments
-----------------	-------------------

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

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

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

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

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

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

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. Complete as many entries as needed to report all applicable employers.

a Name of contributing employer THE MARSHALL COUNTY COAL COMPANY

b EIN 46-4064123

c Dollar amount contributed by employer

805587

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month 12 Day 31 Year 2021

e Contribution rate information (If more than one rate applies, check this box and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) 5.00

(2) Base unit measure: Hourly Weekly Unit of production Other (specify):

a Name of contributing employer THE MARION COUNTY COAL COMPANY

b EIN 46-4067755

c Dollar amount contributed by employer

640815

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month 12 Day 31 Year 2021

e Contribution rate information (If more than one rate applies, check this box and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) 5.00

(2) Base unit measure: Hourly Weekly Unit of production Other (specify):

a Name of contributing employer THE HARRISON COUNTY COAL COMPANY

b EIN 46-4067631

c Dollar amount contributed by employer

525216

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month 12 Day 31 Year 2021

e Contribution rate information (If more than one rate applies, check this box and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) 5.00

(2) Base unit measure: Hourly Weekly Unit of production Other (specify):

a Name of contributing employer THE OHIO COUNTY COAL COMPANY

b EIN 46-4054000

c Dollar amount contributed by employer

372093

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month 12 Day 31 Year 2021

e Contribution rate information (If more than one rate applies, check this box and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) 5.00

(2) Base unit measure: Hourly Weekly Unit of production Other (specify):

a Name of contributing employer THE MONONGALIA COUNTY COAL COMPANY

b EIN 46-4067864

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month 12 Day 31 Year 2021

e Contribution rate information (If more than one rate applies, check this box and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) 5.00

(2) Base unit measure: Hourly Weekly Unit of production Other (specify):

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

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

e Contribution rate information (If more than one rate applies, check this box and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: Hourly Weekly Unit of production Other (specify): _____

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

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: <input checked="" type="checkbox"/> last contributing employer <input type="checkbox"/> alternative <input type="checkbox"/> reasonable approximation (see instructions for required attachment).....	14a	77959
b The plan year immediately preceding the current plan year. <input type="checkbox"/> Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....	14b	79825
c The second preceding plan year. <input type="checkbox"/> Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....	14c	82108

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

a The corresponding number for the plan year immediately preceding the current plan year.....	15a	0.98
b The corresponding number for the second preceding plan year.....	15b	0.95

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

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

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

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

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

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

a Enter the percentage of plan assets held as:
 Stock: 13% Investment-Grade Debt: 78% High-Yield Debt: 0% Real Estate: 2% Other: 7%

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

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

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

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

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:
 Yes.
 No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.
 No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.
 No. Other. Provide explanation _____

UNITED MINE WORKERS OF AMERICA 1974 PENSION PLAN
Financial Statements
June 30, 2021 and 2020
With Independent Auditor's Report

United Mine Workers of America 1974 Pension Plan
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June 30, 2021 and 2020

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INDEPENDENT AUDITOR'S REPORT

To the Trustees and Participants,
United Mine Workers of America 1974 Pension Plan:

Report on the Financial Statements

We have audited the accompanying financial statements of the United Mine Workers of America 1974 Pension Plan (the "Plan"), which comprise the statements of net assets available for benefits as of June 30, 2021 and 2020, the related statements of changes in net assets available for benefits for the years then ended, and the related notes to financial statements.

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the Plan's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, information regarding United Mine Workers of America 1974 Pension Plan's net assets available for benefits as of June 30, 2021, and the changes therein for the year then ended, and its financial status as of June 30, 2020 and changes therein for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Report on Supplementary Information

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The supplemental schedule H, line 4i - schedule of assets (held at end of year) as of June 30, 2021, schedule H, line 4j - schedule of assets (acquired and disposed of within year) for the year ended June 30, 2021, and schedule H, line 4k - schedule of reportable transactions for the year ended June 30, 2021 are presented for the purpose of additional analysis and are not a required part of the financial statements but are supplemental information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974. Such information is the responsibility of the Plan's management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audits of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Withum Smith & Brown, PC

December 15, 2021

**United Mine Workers of America 1974 Pension Plan
Statements of Net Assets Available for Benefits
June 30, 2021 and 2020**

	<u>2021</u>	<u>2020</u>
Assets		
Cash and cash equivalents	\$ 167,328,862	\$ 1,234,148,915
Investments - at fair value - Note 4		
Investments held	2,796,161,211	1,638,660,260
Investments on loan - Note 5	3,284,843	6,082,235
Total investments	<u>2,799,446,054</u>	<u>1,644,742,495</u>
Securities lending collateral received as cash and invested - Note 5	<u>3,372,813</u>	<u>6,228,841</u>
Receivables		
Legislative transfer from Office of Surface Mining	322,155,966	365,373,018
Contributions from signatory employers	39,660	890,328
Withdrawal liability - net of allowance of \$1,115,680 in 2021 and \$1,115,680 in 2020	15,040,000	31,195,680
Due from broker for investments sold	7,002,602	8,084,781
Due from related trusts - Notes 2 and 6	49,917,880	54,298,435
Accrued interest and dividends	1,658,881	1,639,408
Other	160,725	137,872
Total receivables	<u>395,975,714</u>	<u>461,619,522</u>
Furniture, equipment and leasehold improvements - cost less: Accumulated depreciation and amortization of \$5,477,585 in 2021 and \$5,102,042 in 2020	<u>601,919</u>	<u>663,051</u>
Other assets	<u>1,278,598</u>	<u>1,234,199</u>
Total assets	<u>3,368,003,960</u>	<u>3,348,637,023</u>
Liabilities		
Accounts payable and accrued administrative expenses	4,732,993	5,718,317
Obligation to refund collateral received as cash and invested - Note 5	3,372,813	6,228,841
Due to broker for investments purchased	11,747,163	8,802,357
Accrued administrative employees' pension benefit liability - Note 7	27,896,761	39,290,884
Accrued administrative employees' postretirement benefits other than pensions - Note 8	61,119,569	61,696,628
Other	223,456	225,521
Total liabilities	<u>109,092,755</u>	<u>121,962,548</u>
Net assets available for benefits	<u>\$ 3,258,911,205</u>	<u>\$ 3,226,674,475</u>

The Notes to Financial Statements are an integral part of these statements.

United Mine Workers of America 1974 Pension Plan
Statements of Changes in Net Assets Available for Benefits
June 30, 2021 and 2020

	<u>2021</u>	<u>2020</u>
Additions		
Investment income		
Net appreciation in fair value of investments	\$ 289,068,787	\$ 44,856,711
Interest income	5,775,154	9,418,187
Dividend income	6,128,926	3,692,522
Securities lending income - Note 5	35,243	45,647
Partnership income	1,168,392	2,169,217
Real estate income	1,782,509	255,021
Other income	<u>156,485</u>	<u>15,084</u>
Total investment income	304,115,496	60,452,389
Investment expenses	<u>(3,432,659)</u>	<u>(3,112,999)</u>
Net investment income	300,682,837	57,339,390
Contributions from signatory employers - Notes 2 and 10	2,632,356	11,492,171
Contributions - withdrawal liability	3,097,978	617,840
Withdrawal liability interest income	4,838,326	4,874,792
Legislative transfer from Office of Surface Mining	<u>322,155,966</u>	<u>1,568,003,163</u>
Total additions	<u>633,407,463</u>	<u>1,642,327,356</u>
Deductions		
Pension benefits - Note 1	<u>575,499,522</u>	<u>586,347,455</u>
Death benefits - Note 1	<u>8,075,000</u>	<u>6,571,935</u>
Bad debts expense	<u>-</u>	<u>155,616</u>
Administrative expenses - Note 2		
Administrative expenses	20,719,249	20,414,435
Net periodic pension cost - service cost	1,437,000	1,220,950
Net periodic postretirement cost - service cost	<u>1,180,648</u>	<u>813,116</u>
Total administrative expenses	<u>23,336,897</u>	<u>22,448,501</u>
Total deductions	<u>606,911,419</u>	<u>615,523,507</u>
Net change before employee benefit adjustments	26,496,044	1,026,803,849
Employees' pension-related changes other than periodic pension cost - Note 7	5,607,417	(4,360,073)
Employees' postretirement benefit-related changes other than periodic postretirement benefit cost - Note 8	1,519,308	(3,495,042)
Other components of net periodic pension and postretirement costs	<u>(1,386,039)</u>	<u>(1,249,897)</u>
Net change in net assets available for benefits	32,236,730	1,017,698,837
Net assets available for benefits		
Beginning of year	<u>3,226,674,475</u>	<u>2,208,975,638</u>
End of year	<u>\$ 3,258,911,205</u>	<u>\$ 3,226,674,475</u>

The Notes to Financial Statements are an integral part of these statements.

**United Mine Workers of America 1974 Pension Plan
Notes to Financial Statements
June 30, 2021 and 2020**

1. PLAN AND TRUST DESCRIPTION

The following brief description of the United Mine Workers of America 1974 Pension Plan (the "Plan") and Trust (the "Trust") is provided for general information purposes only. Participants should refer to the Plan and Trust documents for complete information.

General

The Trust is an irrevocable trust established by the National Bituminous Coal Wage Agreement of 1974 ("1974 Agreement") that became effective December 6, 1974. Pursuant to the 1974 Agreement, the National Bituminous Coal Wage Agreement of 2016 ("2016 Agreement") that became effective August 15, 2016, and related prior agreements, the Trust provides pension benefits to eligible individuals who retire under provisions of the Plan. Pursuant to the 2016 Agreement and related prior agreements, the Plan defines the type and amount of pension benefits that are provided by the Trust. The Plan also defines the eligibility requirements that individuals must meet to receive benefits from the Trust. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 ("ERISA"), as amended.

The United Mine Workers of America ("UMWA") 1950 Pension Plan merged into the Plan on June 30, 2007.

Benefits - 1974 Participants

The following benefits apply to a 1974 Plan participant who is a mine worker who was regularly employed in a classified job on December 6, 1974 or who has earned a year of credited signatory service after December 5, 1974.

Normal Retirement

Participants are eligible for normal retirement benefits when they either (1) reach age sixty-five with five years of signatory service, subject to break-in-service rules or (2) reach age sixty-two with ten years of signatory service or twenty years of credited service including the required years of signatory service. Signatory service is defined as time during which a participant worked as an employee in a classified job for an employer signatory to the National Bituminous Coal Wage Agreement then in effect. The Plan limits the amount of nonsignatory service that may be recognized by the benefit formula. In addition to the twenty year credited service requirement, the participant must have the following service with an employer signatory to the National Bituminous Coal Wage Agreement:

<u>Date of Retirement</u>	<u>Years of Signatory Service Required</u>	<u>Maximum Number of Years of Nonsignatory Service Included in Credited Service</u>
Before 1/1/77	5	15
1/1/77 to 12/31/77	6	14
1/1/78 to 12/31/78	7	13
1/1/79 to 12/31/79	8	12
1/1/80 to 12/31/80	9	11
1/1/81 and after	10	10

Age Fifty-five Retirement Pension

Participants are eligible for early retirement benefits when they reach age fifty-five with at least ten years of signatory service or twenty years of credited service including the required years of signatory service. The dollar amount for such benefit is subject to reduction for early commencement in accordance with the provisions of the Plan.

United Mine Workers of America 1974 Pension Plan

Notes to Financial Statements

June 30, 2021 and 2020

Disability Retirement

Participants are eligible for disability retirement benefits when the disability is due to a mine accident occurring on or after December 6, 1974, while the participant is employed in a classified job for a signatory employer, and the participant is eligible for Social Security Disability Insurance benefits as a result of such an accident. The benefit is payable as either:

- A normal disability benefit to participants with at least ten years of signatory service prior to retirement, or
- A minimum disability benefit to participants with less than ten years of signatory service prior to retirement.

Deferred Vested Pension

Participants vest upon completion of ten years of signatory service or twenty years of credited service (as defined under Normal Retirement Pension eligibility). Participants also vest upon completion of five years of signatory service with one hour of service on or after July 1, 1999. Vested participants who cease classified work prior to attaining age fifty-five and who do not qualify for a Deferred Vested Pension - Special or a Deferred Vested Pension - Enhanced 1996 are eligible for this benefit at age 55 or later, which may be subject to an actuarial reduction.

Deferred Vested Pension - Special

Vested participants who were between the ages of fifty and fifty-five on their last day of work, which occurs on or after June 7, 1981, who have at least twenty years of signatory service, and who were either (1) laid-off and had not refused recall or (2) terminated under Article III, Section (j) of the 2002 Agreement (or physically unable to perform regular work) and not employed in the coal industry thereafter, are eligible for the benefits. This type of benefit was deleted as of January 1, 2007, for participants who retired under the 2011 and 2016 Agreements. Those individuals may be eligible for a similar benefit under an existing pension type that makes the Deferred Vested Pension - Special redundant.

Deferred Vested Pension - Enhanced 1996

Vested participants who ceased classified work on or after December 16, 1993, but prior to attaining age 55, who have at least twenty years of signatory service, and who were either (1) laid-off and had not refused recall or (2) terminated under Article III, Section (j) of the Wage Agreement (or physically unable to perform regular work) and not employed in the coal industry thereafter, and the participants' pension benefits are not in pay status on or before August 16, 1996 are eligible for the benefits.

Special Permanent Layoff Pension

Vested participants who ceased classified work on or after January 1, 1998, and had twenty years of signatory service, prior to age fifty-five and who either (1) had been permanently laid-off due to mine closing, or (2) permanently laid off (i.e. on layoff status at least 180 days and not refused recall), are eligible for this benefit, which is calculated as if the participants were age 55. Vested participants who do not have credited signatory service between November 1, 1997 and June 17, 1998 and who return to work after June 18, 1998, must work either 250 hours of credited signatory service or have returned to work as a result of a recall to fill a bona fide job opening.

United Mine Workers of America 1974 Pension Plan
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Special 30-and-Out Layoff Pension

Vested participants whose last day of credited service is on or after January 1, 2002, and who had at least 30 years of signatory service on such last day of credited service and who have been laid off and not refused recall are eligible for this benefit. The dollar amount of such benefit is the amount the participant would be eligible to receive under the Normal Retirement option, not subject to reduction for early commencement. Any participant who, because of layoff, was not actively at work as of December 31, 2001, must either earn at least 250 hours of credited service following his return to work, or return to work as the result of a recall determined by the Trustees to have been to fill a bona fide job opening and not for the purpose of qualifying for this Special 30-and-Out Layoff Pension Benefit to be eligible for this benefit. This type of benefit was deleted as of January 1, 2007, for participants who retired under the 2011 and 2016 Agreements. Those individuals may be eligible for a similar benefit under an existing pension type that makes the Special 30-and-Out Layoff Pension redundant.

30-and-Out Pension

Vested participants whose last day of credited service is on or after January 1, 2003 and who had at least 30 years of signatory service on such last day of credited service are eligible for this benefit. The dollar amount of such benefit is the amount the participant would be eligible to receive under the Normal Retirement option, not subject to reduction for early commencement. Any participant who, because of layoff, was not actively at work as of December 31, 2001, must either earn at least 250 hours of credited service following his return to work, or return to work as a result of a recall determined by the Trustees to have been to fill a bona fide job opening, and not for the purpose of qualifying for this 30-and-Out Pension Benefit to be eligible for this benefit.

Surviving Spouse Benefit

Generally, eligible surviving spouses of participants who had attained age fifty-five and were receiving, or were eligible to receive at the time of death, a pension (except Deferred Vested participants who have less than twenty years of credited service) are eligible for this benefit, which is equal to 75% of the participant's pension. A Surviving Spouse Benefit of \$10,000 plus \$100 a month is also provided for participants who completed at least ten years of credited service and who died as a result of a mine accident during the term of the National Bituminous Coal Wage Agreement of 1978 or 1981.

Joint and Survivors Annuity

If a participant qualifies for a pension under the Plan but is not covered by a Surviving Spouse Benefit, the pension benefit otherwise provided to such participant shall be reduced actuarially and 50% of such reduced pension benefit will be continued, after the death of the participant, for the life of any eligible surviving spouse. However, such participant may elect not to take a joint and survivor annuity and instead receive an unreduced pension benefit for life only.

Preretirement Survivors Annuity

An eligible surviving spouse is entitled to receive a preretirement survivor annuity if the participant completed five years of signatory service for vesting purposes, is not covered by a Surviving Spouse Benefit, and dies before he elects or is entitled to elect a pension benefit.

United Mine Workers of America 1974 Pension Plan
Notes to Financial Statements
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Death Benefits - 1974 Participants

Subject to the following conditions and exceptions, death benefits are provided to the named beneficiaries of any pensioner (other than a pensioner receiving a deferred vested pension based upon less than twenty years of credited service or a pensioner receiving a pension based in whole or in part upon years of service credited under the terms of Article II (G) of the Plan) whose death occurs on or after February 1, 1991. Generally, the pensioner's last credited signatory service must have been with an employer signatory to the 2016 Agreement or any current or prior agreement that provides for conforming contributions to the Plan. The death benefit is \$10,000 if the named beneficiary is the pensioner's surviving spouse or dependent, and \$8,500 for all others. However, as a result of the actuary's certification that the Plan is in critical status for the Plan year beginning July 1, 2014, effective October 28, 2014, the Plan's lump sum death benefit is limited to \$5,000 while the Plan is in critical or critical and declining status. Death benefits are not provided by the Plan for pensioners who are also eligible beneficiaries of the UMWA Combined Benefit Fund.

Benefits - 1950 Participants

The following benefits apply to a 1950 Plan participant who is a mine worker who qualifies for a pension benefit and who ceased performing classified work for an Employer prior to December 31, 1975 or became disabled between May 28, 1946 and December 6, 1974 as a result of a mine accident.

Normal Retirement

A participant is eligible for normal retirement benefits when he ceases work, attains age fifty-five, and has completed one of the two service requirements described below:

- Twenty years of credited service including service with an employer signatory to the National Bituminous Coal Wage Agreement:

<u>Date Attains Age 55</u>	<u>Years of Signatory Service Required</u>
Before 1/1/77	5
1/1/77 to 12/31/77	6
1/1/78 to 12/31/78	7
1/1/79 to 12/31/79	8
1/1/80 to 12/31/80	9
1/1/81 and after	10

- Ten years signatory service including at least three years after December 31, 1970.

Disability Retirement

A participant is eligible for disability retirement benefits when the disability is due to a mine accident that occurred between May 29, 1946 and December 6, 1974, when the participant worked in a classified job for a signatory employer, and when the participant is eligible for Social Security Disability Insurance benefits as a result of such an accident.

United Mine Workers of America 1974 Pension Plan

Notes to Financial Statements

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Widow's Pension

Commencing March 1, 1982, a widow's pension is available to the widow of a pensioner receiving benefits under this Plan at time of death if the widow was married to such pensioner throughout the nine-month period ending on the date of the pensioner's death (unless such nine-month period would be waived for purposes of Social Security widow's benefits).

Termination with Vested Rights

Participants' rights vest upon completion of either twenty years of credited service (including the required amount of signatory service) or ten years of signatory service and at least three years of which are signatory after December 31, 1970.

Death Benefits - 1950 Participants

Death benefits are provided for eligible survivors of any participant who either: (a) was receiving pension payments under this Plan at the time of death and was eligible for health benefits under the UMWA 1992 Benefit Plan; UMWA 1993 Benefit Plan; or a plan maintained by an employer pursuant to section 9711 of the Internal Revenue Code, or (b) had made application for, and was eligible to receive, such payments and benefits. The death benefit is \$10,000 if the named beneficiary is the pensioner's surviving spouse or dependent, and \$8,500 for all others. However, as a result of the actuary's certification that the Plan is in critical status for the Plan year beginning July 1, 2014, effective October 28, 2014, the Plan's lump sum death benefit is limited to \$5,000 while the Plan is in critical or critical and declining status. Death benefits are not provided by the Plan for pensioners who are participants of the UMWA Combined Benefit Fund.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The Plan's accounting conforms with accounting principles generally accepted in the United States of America. Significant accounting policies are summarized as follows:

Cash Equivalents

Demand deposits and highly liquid investments with a maturity of three months or less when acquired, are considered cash equivalents.

Investments Valuation and Income Recognition

When available, investments are valued based on quoted market prices. When quoted market prices are not available, valuation is based on quoted prices of like assets, corroborated market data, indices and/or yield curves. The amounts shown in Note 4 for investments that have no quoted market price represent estimated fair value. The following is a description of the valuation methodologies used for assets measured at fair value:

- Certain equities, certain investments of securities lending collateral received as cash, and certain fixed income securities are valued based on quoted prices in the active market in which they are traded.
- Other equities, other investments of securities lending collateral received as cash, other fixed income securities, and convertible securities are valued using quoted prices of like assets, corroborated market data, indices and/or yield curves.
- Commingled funds, hedge funds, private equities and real estate common collective trusts are recorded at the value reported to the Plan by the investment manager or the sponsor based on the net asset value ("NAV") of the underlying investments in accordance with written policy. For these investments, NAV is considered the practical expedient. Fair value estimates of these investments are reviewed, monitored and adjusted if appropriate by the Trustees of the Plan in accordance with the written policy.

United Mine Workers of America 1974 Pension Plan
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Purchases and sales of securities are recorded on a trade-date basis. Investment receivables and investment payables represent amounts due and amounts payable, respectively, for security transactions not yet settled at period end. Realized and unrealized gains and losses on the value of investments are recognized in net appreciation (depreciation) in fair value of investments on the statements of changes in net assets available for benefits. Dividends are recorded on the ex-dividend date. Interest and other investment income is recorded on the accrual basis.

Contributions from Signatory Employers

Contributions from signatory employers are accrued based upon analysis of signatory employer remittance reports and cash receipts subsequent to year-end. Management believes all contributions receivable are collectible and no allowance for uncollectible accounts has been provided.

Administrative Expenses

The Plan pays for administrative services provided to it and to related irrevocable trusts established pursuant to the 1974 Agreement, the 2016 Agreement, related interim agreements and the Coal Industry Retiree Health Benefit Act of 1992. Administrative expenses applicable solely to each plan have been directly charged to that plan. The remaining administrative expenses were allocated among the plans based on functional activities using predetermined factors meaningful to each particular function. Administrative expenses are shown net of costs allocated to related party plans on the statements of changes in net assets available for benefits.

Investment Expenses

Certain investment related expenses are included in the determination of net appreciation in fair value of investments presented on the statements of changes in net assets available for benefits.

Furniture, Equipment and Leasehold Improvements

Furniture, equipment and leasehold improvements are capitalized at cost. Depreciation and amortization on furniture, equipment and leasehold improvements are calculated on the straight-line method over the estimated useful lives of the assets. Furniture and equipment is depreciated over 3 to 10 years, and leasehold improvements are amortized over the remaining term of the lease. Depreciation and amortization expenses, after allocation to other related plans, for the years ended June 30, 2021 and 2020 were \$198,329 and \$191,081, respectively.

Withdrawal Liability

During the years ended June 30, 2021 and 2020, the Plan had receivables from withdrawn employers as a result of the employers' withdrawal and the underfunded status of the Plan. Management has estimated an allowance for uncollectible amounts for each withdrawal liability, and the amounts reflected on the statements of net assets available for benefits are net of those allowances.

Legislative Transfer From Office of Surface Mining

Transfers from the Office of Surface Mining ("OSM") received pursuant to the Bipartisan American Miners Act of 2019 ("American Miners Act") are recognized in the year the Plan becomes entitled to receive the transfer. During the year ended June 30, 2020, the Plan additionally recognized retroactive transfer amounts for the years ended June 30, 2017, 2018, and 2019. Transfers are recorded on the statements of changes in net assets available for benefits. See Note 10 for additional information.

Recognition of Benefits

Benefits are recognized when paid.

United Mine Workers of America 1974 Pension Plan

Notes to Financial Statements

June 30, 2021 and 2020

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, disclosure of contingent assets and liabilities, and the actuarial present value of accumulated Plan benefits at the date of the financial statements and changes therein during the reporting period. Actual results could differ from those estimates.

Accounting Principles Adopted

Compensation - Retirement Benefits

For the year ended June 30, 2020, Plan management adopted the changes in accounting principles reflected in Accounting Standards Update (“ASU”) 2017-07 *Compensation - Retirement Benefits* (Topic 715), *Improving the Presentation of Net Periodic Cost and Net Periodic Postretirement Benefit Cost*, in order to improve the presentation of these costs in the statements of changes in net assets available for benefits. As a result, the service cost component of net periodic pension cost and net periodic postretirement cost is presented separately from the other components of those costs on the statements of changes in net assets available for benefits. The other components of those net periodic costs, interest cost, expected return on assets, amortization of prior service cost and amortization of (gain)/loss, are presented as other components of net periodic pension and postretirement costs. See Notes 7 and 8 for additional detail.

Fair Value Measurement

For the year ended June 30, 2021, Plan management adopted the amendments for permitting removed or modified disclosures in accounting principles reflected in Accounting Standards Update (“ASU”) No. 2018-13, *Fair Value Measurement* (Topic 820): *Disclosure Framework – Changes to the Disclosure Requirements for Fair Value Measurement*. ASU 2018-13 is effective for fiscal years beginning after December 15, 2019. The ASU requires employee benefit plans to adopt the amendments for removed or modified disclosures and adopt the additional disclosures on the effective date of the ASU. Certain amendments are required to be applied prospectively, while others should be applied retrospectively. There were no material effects of the adoption on the Plan’s financial statements.

Recent Accounting Pronouncements

Leases

In February 2016, the FASB issued ASU 2016-02 *Leases* (Topic 842), which requires the recognition of a “right to use” asset and a lease liability, initially measured at the present value of the lease payments, on the statements of net assets available for benefits for all of the Plan’s lease obligations. In November 2019, the FASB issued ASU 2019-10 *Financial Instruments - Credit Losses* (Topic 326), *Derivatives and Hedging* (Topic 815), and *Leases* (Topic 842): *Effective Dates*, which delayed the effective date of ASU 2016-02 for non-public entities. Therefore, ASU 2016-02 is now effective for fiscal years beginning after December 15, 2021.

Subsequent Events

In preparing these financial statements, management of the Plan has evaluated events and transactions that occurred after June 30, 2021 for potential recognition or disclosure in the financial statements. These events and transactions were evaluated through December 15, 2021, the date the financial statements were available to be issued, and certain items are discussed in Note 14 pertaining to litigation. No other items have come to the attention of management that require recognition or disclosure.

United Mine Workers of America 1974 Pension Plan
Notes to Financial Statements
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3. ACTUARIAL PRESENT VALUE OF ACCUMULATED PLAN BENEFITS

Accumulated plan benefits are expected future periodic payments that are attributable under the Plan's provisions to the service that participants have rendered. Accumulated plan benefits include benefits expected to be paid to (a) retired or terminated participants or their beneficiaries, (b) beneficiaries of deceased participants and (c) active participants or their beneficiaries.

Benefits under the Plan are based on participants' years of credited service. Benefits payable under all circumstances (retirement, death, disability and termination of employment) are included, to the extent that they are deemed attributable to employee service rendered prior to the dates on which the benefit information is presented, at the valuation dates.

The actuarial present value of accumulated plan benefits is determined by an independent actuarial firm. It is that amount that results from applying actuarial assumptions to adjust the accumulated Plan benefits to reflect the time value of money (through discounts for interest) and the probability of payment (by means of decrements such as for death, disability, withdrawal, or retirement) between the valuation date and the expected date of payment. Actuarial assumptions are based on the presumption that the Plan will continue. Were the Plan to terminate, different actuarial assumptions and other factors might be applicable in determining the actuarial present value of accumulated Plan benefits.

The significant actuarial assumptions used to determine the actuarial present value of accumulated plan benefits as of June 30, 2020 were:

- Life expectancy of participants:
 - Assumed Plan mortality, 110% of the RP-2006 Blue Collar Mortality Tables for employees and healthy annuitants projected forward using the MP-2019 projection scale.
 - Post-disablement mortality, 110% of the RP-2006 Generational Blue Collar Mortality Tables for disabled annuitants projected forward using the MP-2019 projection scale.
- Disability - 1.5% per year for ages 20 through 64,
- Administrative expenses- \$22,000,000 per year excluding investment expenses,
- Withdrawal - 125% of the Vaughn Table ultimate rates plus 4%,
- Net investment return – 4.50% per year.

United Mine Workers of America 1974 Pension Plan
Notes to Financial Statements
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Representative values of the assumed annual rates of retirement at June 30, 2020 are as follows:

<u>Date of Retirement</u>	<u>Fewer than 30 Years of Service</u>	<u>30 or More Years of Service</u>	<u>Vested Terminations</u>
50 - 53	0.00	0.13	0.00
54	0.00	0.20	0.00
55	0.10	0.38	0.45
56	0.07	0.34	0.19
57	0.07	0.30	0.12
58	0.08	0.30	0.09
59	0.09	0.30	0.06
60	0.10	0.30	0.06
61	0.14	0.35	0.06
62	0.40	0.70	1.00
63	0.30	0.45	1.00
64	0.60	0.30	1.00
65	1.00	1.00	1.00

The resulting average expected retirement age is 60.4.

The actuarial present value of accumulated plan benefits as of June 30, 2020 is as follows:

Vested benefits

Participants currently receiving benefits	\$ 7,813,872,965
Expenses on participants currently receiving benefits	293,020,236
Other participants	808,129,334
Expenses on other participants	<u>30,304,850</u>
	<u>8,945,327,385</u>

Nonvested benefits

Nonvested accumulated benefits	116,479,493
Expenses on nonvested benefits	<u>4,367,981</u>
	<u>120,847,474</u>

Actuarial present value of

accumulated plan benefits	<u>\$ 9,066,174,859</u>
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United Mine Workers of America 1974 Pension Plan
Notes to Financial Statements
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The changes in the actuarial present value of accumulated plan benefits for the year ended June 30, 2020 were as follows:

Actuarial present value of accumulated plan benefits as of the beginning of the year	<u>\$ 8,719,163,116</u>
Increase (decrease) attributable to	
Change in actuarial assumptions	704,865,404
Benefits accumulated and experience gain or loss	(10,164,078)
Interest due to decrease in the discount period	267,678,308
Benefits paid	(592,919,390)
Operational expenses paid	<u>(22,448,501)</u>
Net increase	<u>347,011,743</u>
Actuarial present value of accumulated plan benefits as of the end of the year	<u>\$ 9,066,174,859</u>

For the present value of expenses for ASC 960, a 3.75% load was applied to the accrued liabilities for 2020.

Other changes in actuarial assumptions used in the current valuation were as follows:

- The assumed future hours assumption decreased to 526,644 for the Plan year ending in 2021.
- The assumed mortality table was changed to the RP-2006 Blue Collar Mortality Tables with 110% adjustment and the mortality projection scale was changed from the MP-2018 projection scale to the MP-2019 projection scale. These changes were made in order to reflect the latest mortality improvement data available and to better match the standard tables to specific Plan experience.

The computation of the actuarial present value of accumulated Plan benefits was made as of July 1, 2020. Had the valuation been performed as of June 30, 2020, there would be no material differences. The Plan's actuarially determined Minimum Funding Standards Account had a negative credit balance as of June 30, 2020, the latest valuation date. The Plan is in critical status and making progress under its Rehabilitation Plan, as certified by the Plan's actuary.

4. FAIR VALUE MEASUREMENTS

Accounting principles generally accepted in the United States of America define fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date, establish a fair value reporting hierarchy and define three broad levels of inputs (the assumptions that market participants would use in pricing the asset or liability) as noted below:

Level 1 - Inputs to the valuation methodology are unadjusted quoted prices in active markets for identical assets or liabilities that the reporting entity has the ability to access at the measurement date.

Level 2 - Inputs to the valuation methodology are quoted prices for similar assets or liabilities in active markets, quoted prices for identical or similar assets or liabilities in markets that are not active or inputs that are derived principally from or corroborated by observable market data by correlation or other means.

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

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A financial instrument's level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. A detailed description of the valuation methodology for investments is included in Note 2. There have been no changes in the methodology used at June 30, 2021 and 2020.

The availability of observable market data is monitored to assess the appropriate classification of financial instruments within the fair value hierarchy. Changes in economic conditions or model-based valuation techniques may require the transfer of financial instruments from one fair value level to another. In such instances, the transfer is reported at the end of the reporting period. For the years ended June 30, 2021 and 2020, there were no transfers in or out of Level 3.

As of June 30, 2021 and 2020, assets measured at fair value on a recurring basis, including investments categorized by ultimate asset type rather than legal form, are summarized by level within the fair value hierarchy as follows:

	2021			
	Level 1	Level 2	Level 3	Total Fair Value
Convertible securities	\$ -	\$ 5,026,154	\$ -	\$ 5,026,154
Equities	211,931,638	-	-	211,931,638
Fixed income securities	31,444,602	75,005,283	-	106,449,885
Total investments in the fair value hierarchy	243,376,240	80,031,437	-	323,407,677
Investments measured at net asset value	-	-	-	2,476,038,377
Total investments at fair value	243,376,240	80,031,437	-	2,799,446,054
Securities lending collateral received as cash and invested	1,370,963	2,001,850	-	3,372,813
	<u>\$ 244,747,203</u>	<u>\$ 82,033,287</u>	<u>\$ -</u>	<u>\$ 2,802,818,867</u>
	2020			
	Level 1	Level 2	Level 3	Total Fair Value
Convertible securities	\$ -	\$ 3,262,411	\$ -	\$ 3,262,411
Equities	252,668,017	12,413,619	-	265,081,636
Fixed income securities	15,390,807	50,925,500	-	66,316,307
Total investments in the fair value hierarchy	268,058,824	66,601,530	-	334,660,354
Investments measured at net asset value	-	-	-	1,310,082,141
Total investments at fair value	268,058,824	66,601,530	-	1,644,742,495
Securities lending collateral received as cash and invested	4,362,042	1,866,800	-	6,228,841
	<u>\$ 272,420,866</u>	<u>\$ 68,468,329</u>	<u>\$ -</u>	<u>\$ 1,650,971,336</u>

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The fair values as of June 30, 2021 and 2020 of the following investments have been determined using the net asset value per unit of the investment:

	2021		2020	
	Fair Value	Unfunded Commitments	Fair Value	Unfunded Commitments
Commingled funds (a)	\$ 2,386,648,469	\$ -	\$ 1,214,769,451	\$ -
Private equities (b)	38,831,805	23,356,403	44,194,433	22,657,658
Real estate (c)	50,558,103	-	51,118,257	-
	\$ 2,476,038,377	\$ 23,356,403	\$ 1,310,082,141	\$ 22,657,658

- (a) This category includes funds that hold publicly-traded U.S. and non-U.S. equities in developed and emerging markets and funds that hold fixed income securities. The U.S. equity funds employ passive index investment strategies and have the goal of achieving the total return of the S&P 500 Index, Nasdaq, the Dow Jones U.S. Completion Total Stock Market Index, Russell Midcap Index and the Russell 2000 Index. Several of the non-U.S. equity funds employ passive index investment strategies and have the goal of achieving the total return of the MSCI Emerging Markets IMI Net Dividend Return Index, the MSCI Canada Index and the MSCI EAFE Index. There are seven funds with the objective to as closely as practicable approximate various Bloomberg Bond Indexes over the long term. In addition, there are eight funds that employ active stock selection investment strategies in various emerging markets regions or countries. The funds that hold fixed income securities employ passive index investment strategies and have the goal of achieving the total return of the applicable Bloomberg Bond Index. There is one fund that employs an active security selection investment strategy. There are two risk parity funds. There is one fund that provides long-term capital appreciation and dividend income through investment in a broadly diversified portfolio of predominantly large cap and blue chip equity securities. There is one fund that seeks to provide a high level of income and moderate long-term capital appreciation by tracking the performance of a benchmark index that measures the performance of publicly traded equity REITs and other real estate-related investments. There is one fund that provides long-term capital appreciation by investing substantially all its assets in its corresponding Master Fund. There are two funds that seek to provide current income while maintaining limited price volatility. As of June 30, 2021 and 2020, \$1,359,711,545 and \$564,817,338, respectively, of invested amounts may be redeemed on a daily basis with written notice; \$759,122,441 and \$393,635,043, respectively, may be redeemed on a daily basis with written notice five business days prior to redemption; and \$267,814,483 and \$256,317,070, respectively, may be redeemed on a monthly or semi-monthly basis on such days that the net asset value of the investment is determined.
- (b) This category includes investments in private equity limited partnerships which invest in private and public company common stock, preferred stock, note, subordinated debt, warrants and options, promissory notes, corporate bonds, and private industrial, technology, and energy companies. A total of 12 funds are held in four main investment strategies: U.S. buyout, venture capital, European buyout, and emerging markets. The fund vintages cover 2001 - 2011. Third-party sales of interests in this category of investment may be done only with written consent of the general partner. In addition, certain distributions in this category may be deemed recallable.

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The Plan's partnership/joint venture interests consist primarily of limited partnership interests in private equity partnerships. Funds are provided to the investment managers as investments are consummated. As of June 30, 2021 and 2020, the Plan had outstanding commitments to fund an additional \$23,356,403 and \$22,657,658, respectively, of investments in this asset class.

- (c) This category includes investments in two real estate funds. One fund pursues a pure core investment strategy designed to deliver a relatively high level of current income combined with moderate appreciation potential and its investments are composed primarily of real estate investments owned directly or through partnership interests. The other fund's purpose is to actively manage a core portfolio of primarily equity real estate investments located in the United States. Redemption terms vary across funds and are subject to availability of cash and to the funds' investment activities and resulting liquidity. As of June 30, 2021 and 2020, \$21,949,706 and \$23,391,865, respectively, of invested amounts may be redeemed quarterly with written notice at 60 days prior to quarter end; and \$28,608,397 and \$27,726,392, respectively, may be redeemed quarterly with written notice at 45 days prior to quarter end.

5. SECURITIES LENDING PROGRAM

The Trustees of the Plan are in an agreement with the bank that acts as custodian for the Plan's investments, which authorizes the bank to lend securities held in the Plan's accounts to third parties. The bank must obtain collateral from the borrower in the form of cash. Both the collateral and the securities loaned are marked-to-market on a daily basis so that an adequate amount of collateral has been received from the borrower. In the event that the loaned securities are not returned by the borrower, the bank will, at its own expense, either replace the loaned securities or, if unable to purchase those securities on the open market, credit the Plan's accounts with cash equal to the market value of the loaned securities. Once cash collateral is received by the custodian bank, it is invested and the investments are subject to market and credit risk. The custodial bank is not responsible for any losses on invested collateral.

Although the Plan's securities lending activities are collateralized as described above, and although the terms of the securities lending agreement with the custodial bank require the bank to comply with government rules and regulations related to the lending of securities held by ERISA plans, the securities lending program involves both market and credit risks. In this context, market risk refers to the possibility that the borrowers of securities will be unable to collateralize their loan upon a sudden material change in the fair value of the loaned securities or the collateral, or that the bank's investment of cash collateral received from the borrowers of the Plan's securities may be subject to unfavorable market fluctuations. Credit risk refers to the possibility that counter-parties involved in the securities lending program may fail to perform in accordance with the terms of their contracts. To date, the Plan has experienced no material losses in connection with the securities lending program.

At June 30, 2021 and 2020, the market value of securities loaned, by asset category, was as follows:

	<u>2021</u>	<u>2020</u>
U.S. corporate and government bonds	\$ 1,950,090	\$ 1,826,188
U.S. equities	1,334,559	3,944,934
Global equities	194	311,113
	<u>\$ 3,284,843</u>	<u>\$ 6,082,235</u>

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Collateral received for loaned securities was as follows:

	<u>2021</u>	<u>2020</u>
Received as cash and invested	\$ 3,372,813	\$ 6,228,841

In order to present the statements of net assets available for benefits in accordance with accounting principles generally accepted in the United States of America, the fair value of loaned securities is separately identified, the value of investments of cash received as collateral is reflected as an asset and the obligation to refund the cash collateral received is reflected as a liability.

In fiscal years 2021 and 2020, under the terms of the securities lending agreement with the current custodian, the Plan received 80% of revenue derived from all securities lending activities. The net income derived from securities lending activities earned during the years ended June 30, 2021 and 2020 was \$35,243 and \$45,647, respectively. These amounts are included on the statements of changes in net assets available for benefits and were determined as follows:

	<u>2021</u>	<u>2020</u>
Gross earnings on collateral	\$ 4,408	\$ 130,607
Rebate from (to) securities borrower	<u>39,640</u>	<u>(73,558)</u>
Net earnings on collateral	44,048	57,049
Fees paid to custodial bank	<u>(8,805)</u>	<u>(11,402)</u>
	<u>\$ 35,243</u>	<u>\$ 45,647</u>

6. RELATED PARTY AND PARTY-IN-INTEREST TRANSACTIONS

The Plan invests certain assets in investment funds operated by various investment advisors of the Plan, who are considered parties-in-interest under ERISA. These transactions qualify for exemption from the prohibited transaction rules under ERISA.

At June 30, 2021 and 2020, the Plan had amounts due from related trusts for each trust's respective share of allocable expenses and contributions received as follows:

	<u>2021</u>	<u>2020</u>
Due from related trusts		
UMWA Combined Benefit Fund	\$ 24,655,559	\$ 25,147,580
UMWA 1993 Benefit Plan	14,414,221	17,156,831
UMWA 1992 Benefit Plan	9,527,705	10,512,142
UMWA Cash Deferred Savings Plan of 1988	782,405	767,993
UMWA Prefunded Benefit Plan	<u>537,990</u>	<u>713,889</u>
	<u>\$ 49,917,880</u>	<u>\$ 54,298,435</u>

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7. EMPLOYEES' PENSION PLAN

The Plan sponsors a multiple employer pension plan covering substantially all of the employees of participating employers, all of whom are other UMWA plans. The benefits are based on years of service and the average of the employee's four highest twelve consecutive-month periods of earnings. The Plan's funding policy is to contribute annually at least the minimum required by ERISA. Contributions are intended to provide for benefits that are attributed to service to date and for those expected to be earned in the future. Net periodic pension costs and the funded status of the Employees' Pension Plan are determined by the Employees' Pension Plan's actuary.

The employees of the Plan also provide services to other plans. Accordingly, a portion of the unfunded obligation and related expense of the Employees' Pension Plan have been allocated to other plans and are included in due from related trusts, which is reflected on the statements of net assets available for benefits. The allocated expense is comprised of two components, the net periodic pension cost and the adjustment for pension-related changes other than net periodic pension cost, which are included on the statements of changes in net assets available for benefits.

The computation of accrued pension liability as of June 30, 2021 and 2020 was as follows:

	<u>2021</u>	<u>2020</u>
Projected benefit obligation	\$ (99,248,174)	\$ (101,092,045)
Fair value of plan assets	<u>71,351,413</u>	<u>61,801,161</u>
Accrued pension liability	<u>\$ (27,896,761)</u>	<u>\$ (39,290,884)</u>

As of June 30, 2021 and 2020, the accumulated benefit obligation was \$83,670,707 and \$85,529,777, respectively.

The change in the projected benefit obligation for the years ended June 30, 2021 and 2020 was determined as follows:

	<u>2021</u>	<u>2020</u>
Benefit obligation at beginning of year	<u>\$ 101,092,045</u>	<u>\$ 89,354,144</u>
Increase attributable to		
Service cost	3,191,297	2,590,741
Interest cost	2,344,028	2,844,098
Net benefits paid	(7,084,738)	(5,357,433)
Actuarial (gain) / loss	<u>(294,458)</u>	<u>11,660,495</u>
	<u>(1,843,871)</u>	<u>11,737,901</u>
Benefit obligation at end of year	<u>\$ 99,248,174</u>	<u>\$ 101,092,045</u>

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The following is a summary of significant actuarial assumptions used to determine benefit obligations at June 30:

	<u>2021</u>	<u>2020</u>
Discount rate	2.50%	2.40%
Rate of compensation increase	3.50%	3.50%

The net periodic pension expense, which is included on the statements of changes in net assets available for benefits, was computed as follows:

	<u>2021</u>	<u>2020</u>
Service cost	\$ 3,191,297	\$ 2,590,741
Interest cost	2,344,028	2,844,098
Expected return on plan assets	(3,637,382)	(3,548,905)
Amortization of net loss	<u>2,645,922</u>	<u>1,676,356</u>
	4,543,865	3,562,290
Amount allocated to the other plans for shared employees	<u>2,497,822</u>	<u>1,883,474</u>
1974 Pension Plan net periodic pension expenses	<u>\$ 2,046,043</u>	<u>\$ 1,678,816</u>

For 2021 and 2020, \$1,437,000 and \$1,220,950, respectively, is included in net periodic pension cost - service cost and \$609,043 and \$457,866, respectively, is included in other components of net pension and postretirement costs on the statements of changes in net assets available for benefits.

Following is a summary of significant actuarial assumptions used to determine net periodic pension costs for the years ended June 30:

	<u>2021</u>	<u>2020</u>
Discount rate	2.40%	3.30%
Rate of compensation increase	3.50%	3.50%
Expected long term rate of return on plan assets	6.00%	6.00%

As of June 30, 2021 and 2020, actuarial amounts that have not yet been recognized as components of net periodic pension cost, before allocation to other related plans, were:

	<u>2021</u>	<u>2020</u>
Prior service cost	\$ -	\$ -
Net loss	<u>(21,928,064)</u>	<u>34,309,202</u>
	<u>\$ (21,928,064)</u>	<u>\$ 34,309,202</u>

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Prior service cost and net loss not yet recognized as components of net periodic benefit cost are recognized in the computation of projected benefit obligation and, consequently, annual changes in these amounts are recognized as adjustments to net assets available for benefits. Changes in these amounts, to the extent not recognized as current expense, are reflected as pension-related changes other than net periodic pension cost.

For the year ended June 30, 2021, the Plan's actuary calculated an increase in net assets available for benefits of \$12,381,138 for these changes. The Plan recognized an increase in net assets available for benefits of \$5,607,417 for these changes after allocation to other related plans. For the year ended June 30, 2020, the Plan's actuary calculated a decrease in net assets available for benefits of \$9,503,209 for these changes. The Plan recognized a decrease in net assets available for benefits of \$4,360,073 for these changes after allocation to other related plans.

The amount expected to be recognized as a component of net periodic benefit cost, for the amortization of net loss, before allocation to other related plans during the year ending June 30, 2022 is \$2,078,928.

The Employees' Pension Plan's assets are invested with the objective of being able to meet current and future benefit payment needs, while controlling pension expense volatility and future contributions. Employees' Pension Plan assets are diversified among U.S. large cap equities, U.S. small cap equities, international equities, commodity funds, U.S. fixed income investments and cash equivalents. The "strategic target" allocation ranges are 35% - 55% equities, 38% - 48% fixed income, 5% - 15% commodities, and 0% - 5% cash equivalents at June 30, 2021.

The Employees' Pension Plan's asset allocations at June 30, 2021 and 2020, by asset category, are as follows:

	<u>2021</u>	<u>2020</u>
Equity funds	50.00%	46.00%
Fixed income funds	37.00%	43.00%
Commodities	12.00%	8.00%
Other (including cash equivalents)	<u>1.00%</u>	<u>3.00%</u>
	<u>100.00%</u>	<u>100.00%</u>

Cash equivalents are valued at cost, which approximates fair value. Equity funds, fixed income funds, and commodity funds are recorded at the value reported to the Plan by the investment manager based on the net asset value of the underlying investments of the fund. NAV is considered the practical expedient.

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As of June 30, 2021 and 2020, assets of the Employees' Pension Plan measured at fair value on a recurring basis are summarized by level within the fair value hierarchy as follows:

	2021			Total Fair Value
	Level 1	Level 2	Level 3	
Investments measured at net asset value				
Equity funds	\$ -	\$ -	\$ -	\$ 35,669,996
Fixed income funds	-	-	-	26,735,601
Commodity funds	-	-	-	8,222,369
	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 70,627,966</u>

	2020			Total Fair Value
	Level 1	Level 2	Level 3	
Investments measured at net asset value				
Equity funds	\$ -	\$ -	\$ -	\$ 28,533,414
Fixed income funds	-	-	-	27,177,532
Commodity funds	-	-	-	4,895,047
	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 60,605,993</u>

No Plan assets are expected to be returned to the employers during the fiscal year ending June 30, 2022.

The Plan and the other plans contributed \$3,556,850 and \$3,253,082 to the Employees' Pension Plan for the years ended June 30, 2021 and 2020, respectively. Management of the Plan and the other plans expect to contribute \$1,470,620 to the Employees' Pension Plan during the fiscal year ending June 30, 2022.

The Employees' Pension Plan paid benefits of \$7,084,738 and \$5,357,433 to eligible 1974 Pension Plan employees during the years ended June 30, 2021 and 2020, respectively. As of June 30, 2021, expected benefit payments for each of the next five fiscal years and for the following five fiscal year period in aggregate are as follows:

2022	\$ 6,127,000
2023	6,384,000
2024	6,822,000
2025	6,230,000
2026	5,671,000
2027 - 2031	<u>27,811,000</u>
	<u>\$ 59,045,000</u>

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8. POSTRETIREMENT BENEFITS OTHER THAN PENSIONS

The Plan sponsors a health benefits plan covering its administrative employees. The plan pays for health coverage for retirees who are not Medicare eligible. The plan substitutes Medicare supplemental coverage for the regular health coverage once retirees become Medicare eligible. Retirees who have less than 20 years of service must contribute a portion of a premium until they become Medicare eligible.

The accrued administrative employees' postretirement benefits other than pensions, which are included on the statements of net assets available for benefits, reflect the entire liability for employees' postretirement benefits other than pensions. As certain employees' benefits are allocated to the other trust funds, an allocated portion of the liability is included in due from related trusts, which is included on the statements of net assets available for benefits.

The Plan's postretirement health benefits plan is unfunded. The computation of accrued postretirement benefit obligation as of June 30, 2021 and 2020 was as follows:

	<u>2021</u>	<u>2020</u>
Accumulated postretirement benefit obligation		
Retirees, beneficiaries and covered dependents	\$ 29,217,397	\$ 28,274,744
Active plan participants eligible for benefits	10,905,977	12,197,875
Active plan participants not yet eligible	<u>20,996,195</u>	<u>21,224,009</u>
	61,119,569	61,696,628
Plan assets at fair value	<u>-</u>	<u>-</u>
Accrued postretirement benefit obligation in excess of plan assets	<u>\$ 61,119,569</u>	<u>\$ 61,696,628</u>

Significant actuarial assumptions used in determining the benefit obligations at June 30, 2021 and 2020 were as follows:

	<u>2021</u>	<u>2020</u>
Discount rate	2.70%	2.60%

The change in benefit obligations for the years ended June 30, 2021 and 2020 was determined as follows:

	<u>2021</u>	<u>2020</u>
Accumulated postretirement benefit obligation at beginning of year	<u>\$ 61,696,628</u>	<u>\$ 52,069,048</u>
Increase (decrease) attributable to		
Service cost	2,401,901	1,788,009
Interest cost	1,580,715	1,741,641
Net benefits paid	(1,571,698)	(1,360,546)
Actuarial loss (gain)	<u>(2,987,977)</u>	<u>7,458,476</u>
	<u>(577,059)</u>	<u>9,627,580</u>
Accumulated postretirement benefit obligation at end of year	<u>\$ 61,119,569</u>	<u>\$ 61,696,628</u>

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Components of net periodic postretirement benefit cost included on the statements of changes in net assets available for benefits for the years ended June 30, 2021 and 2020 are as follows:

	<u>2021</u>	<u>2020</u>
Service cost	\$ 2,401,901	\$ 1,788,009
Interest cost	<u>1,580,715</u>	<u>1,741,641</u>
	3,982,616	3,529,650
Amount allocated to other plans for shared employees	<u>(2,024,971)</u>	<u>(1,924,504)</u>
1974 Pension Plan net periodic postretirement benefits	<u>\$ 1,957,645</u>	<u>\$ 1,605,146</u>

For 2021 and 2020, \$1,180,649 and \$813,116, respectively, are reported as net periodic postretirement cost and service cost and \$776,996 and \$792,030, respectively, are included in other components of net periodic pension and postretirement costs on the statements of changes in net assets available for benefits.

The discount rate used to determine net periodic postretirement benefit costs was 2.60% and 3.40% for the years ended June 30, 2021 and 2020, respectively.

As of June 30, 2021 and 2020, actuarial amounts that have not yet been recognized as components of net periodic postretirement benefit cost, before allocation to other related plans, were:

	<u>2021</u>	<u>2020</u>
Net loss	<u>\$ 5,463,630</u>	<u>\$ 8,729,554</u>

Net loss not yet recognized as a component of net periodic postretirement benefit cost is recognized in the computation of accumulated benefit obligation and, consequently, annual changes are recognized as adjustments to net assets available for benefits. Changes in the amount of loss, to the extent not recognized as current expense, are reflected as postretirement-related changes other than net periodic postretirement benefit cost.

For the year ended June 30, 2021, the Plan's actuary calculated an increase in net assets available for benefits of \$2,987,977 for these changes. The Plan recognized an increase in net assets available for benefits of \$1,519,308 for these changes after allocation to other related plans. For the year ended June 30, 2020, the Plan's actuary calculated a decrease in net assets available for benefits of \$7,458,476 for these changes. The Plan recognized a decrease in net assets available for benefits of \$3,495,042 for these changes after allocation to other related plans.

The amount expected to be recognized during the year ending June 30, 2022 as a component of net periodic postretirement benefit cost for the amortization of net loss, before allocation to other related plans, is \$0.

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Health benefits of \$1,664,904 and \$1,452,310, net of retiree contributions, were paid during the years ended June 30, 2021 and 2020, respectively. As of June 30, 2021, expected benefit payments, which reflect expected future service, as appropriate, are expected to be paid during each of the next five fiscal years and for the following five fiscal year period in aggregate as follows:

	Postretirement Benefits*
2022	\$ 2,050,356
2023	2,192,070
2024	2,237,257
2025	2,368,391
2026	2,487,346
2027-2031	<u>14,035,457</u>
	<u>\$ 25,370,877</u>

* Payments shown are net of retiree contributions, representing the Fund's share of the cost of benefits.

9. LEASE AGREEMENTS

The Plan is obligated under various operating lease agreements for office space and equipment through 2030. These rental expenses are allocated along with other administrative expenses (as explained in Note 2). Minimum annual rental payments required for future fiscal years are:

2022	\$ 2,636,044
2023	2,702,288
2024	2,730,786
2025	2,783,797
2026	2,851,569
Thereafter	<u>16,340,267</u>
	<u>\$ 30,044,751</u>

Rental expense incurred during the years ended June 30, 2021 and 2020 before allocation to other plans was \$2,531,066 and \$2,469,097, respectively.

10. FUNDING POLICY

Under the Employee Retirement Income Security Act ("ERISA"), as amended by the Pension Protection Act of 2006 ("PPA") and the Multiemployer Pension Reform Act of 2014, the Plan's actuary certified to the Internal Revenue Service and the Plan's Board of Trustees on September 28, 2015 that the Plan was in critical and declining status, as defined in Section 305(b)(6), for the Plan year beginning July 1, 2015. Based on this certification and in accordance with applicable law, on May 25, 2016, August 15, 2016, May 26, 2017, April 24, 2018, April 24, 2019, and April 24, 2020, the UMWA and Bituminous Coal Operators' Association ("BCOA") settlors updated the rehabilitation plan, which was originally adopted on February 26, 2015, after an initial certification of critical status for the Plan year beginning July 1, 2014. For the Plan years beginning July 1, 2016, July 1, 2017, July 1, 2018, and July 1, 2019, the Plan remained in critical and declining status. For the Plan years beginning July 1, 2020 and July 1, 2021, the Plan was in critical status. The rehabilitation plan's schedules have or will be updated as appropriate.

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Benefits of the Plan are funded through contributions by employers signatory to the 2016 Agreement and related prior agreements. As a result of the actuary's certification that the Plan is in critical and declining status for the Plan year beginning July 1, 2015, the contribution rate increased to \$6.05 per hour worked and \$1.21 per ton procured or acquired on or after July 1, 2015. Effective August 15, 2016, the contribution rate decreased to \$5.00 per hour worked and \$0.96 per ton procured or acquired on after August 15, 2016, pursuant to the terms of the 2016 Agreement.

Pursuant to the American Miners Act, the Surface Mining Control and Reclamation Act ("SMCRA") was amended to include the Plan in annual federal transfers received from the Office of Surface Mining ("OSM"), effective for fiscal years commencing after September 30, 2016. The amount transferred to the Plan is equal to \$750 million plus interest on the Abandoned Mine Land Reclamation Fund, less the amounts paid to the UMWA Combined Benefit Fund, 1992 Benefit Plan and 1993 Benefit Plan, applicable states, and Indian Tribes. Federal transfers will continue until the first fiscal year after the first plan year the Plan's funded percentage is at least 100%.

11. PLAN TERMINATION

If the Plan is terminated, it shall remain in force and effect for the period necessary to complete the payment of benefits, in accordance with the terms of the Plan, to the extent assets in the Plan are available to pay such benefits and subject to any applicable requirements of federal law concerning employer liability. If the Plan's assets are insufficient, the Plan must reduce benefit payments to the highest level that can be paid from the Plan's available resources. If such resources are not enough to pay benefits at a level specified by law, the Plan must apply to the PBGC for financial assistance. The PBGC generally guarantees pension benefits payable at normal retirement age, some early retirement benefits, and qualified preretirement survivor benefits, but the level of benefits guaranteed by the PBGC is subject to a statutory ceiling which may be adjusted periodically. The PBGC does not guarantee benefits above the normal retirement benefit, disability benefits not in pay status, or non-pension benefits such as death benefits.

12. RISK AND UNCERTAINTIES

The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts reported in the statements of net assets available for benefits.

The actuarial present value of accumulated Plan benefits (Note 3), the projected benefit obligation and net periodic pension cost (Note 7), and the accumulated benefit obligation and net periodic benefit cost of postretirement benefits other than pensions (Note 8) are reported based on certain assumptions pertaining to interest rates, inflation rates and employee demographics, all of which are subjected to change. Due to uncertainties inherent in the estimations and assumptions process, it is at least reasonably possible that changes in these estimates and assumptions in the near term would be material to the financial statements.

The Plan maintains its cash in bank deposit accounts and its investments in custodial accounts which exceed federally insured limits. The Plan has not experienced any credit losses on such accounts and does not believe that it is exposed to any significant financial risk on cash or investments.

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13. TAX STATUS

The Plan obtained its latest determination letter dated November 12, 2015, in which the Internal Revenue Service (“IRS”) stated that the Plan, as then designed, was in compliance with the applicable requirements of the Internal Revenue Code (“Code”).

Accounting principles generally accepted in the United States of America require management to evaluate income tax positions taken and recognize a tax liability if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the Internal Revenue Service. Management has analyzed the tax positions taken by the Plan and has concluded that as of June 30, 2021 and 2020, there are no uncertain positions taken or expected to be taken that would require recognition of a liability in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits in progress for any tax periods. In addition, there have been no tax related interest or penalties for the periods presented in these financial statements. Management believes the Plan is no longer subject to income tax examinations for years prior to the year ended June 30, 2018.

14. LITIGATION

Deutsche Bank - Tribune Company Litigation

The Trust is an apparent member of a class of defendants described in an adversary proceeding brought in 2010 by unsecured creditors in the Tribune Company's Chapter 11 bankruptcy proceeding in the U.S. Bankruptcy Court for Delaware, and it is also a named defendant in a civil action filed by individual secured creditors of the Tribune Company in the U.S. District Court for the District of Columbia in 2011. These actions have named or described as defendant class members those investors in the Tribune Company who sold equity shares of the Company pursuant to a 2007 leveraged buyout tender offer by the Company. The Tribune Company filed for bankruptcy protection in Delaware in 2008. Plaintiffs allege that the tender offer constituted a fraudulent conveyance or constructive fraudulent conveyance, and they seek to void the transactions and recover their proceeds. One of the Trust's investment managers, LSV Asset Management, held Tribune Company shares on behalf of the Trust and tendered them for payment of approximately \$1.6 million in the 2007 transaction. The relief sought in the actions could include repayment by the Trust of this amount. The cases have been consolidated for pretrial proceedings in the Southern District of New York, and they have been stayed pending rulings on motions to dismiss. In September 2013, the District Court dismissed the actions brought by individual secured creditors for lack of those creditors' standing under the Bankruptcy Code. The plaintiffs then filed notice of appeal to the U.S. Court of Appeals for the Second Circuit. On March 29, 2016 the 2nd Circuit affirmed the individual secured creditors lack of standing. The individual secured creditors filed a request for a hearing en banc, which the 2nd Circuit denied on July 22, 2016. In September 2016, the individual secured creditors filed a petition for a writ of certiorari with the U.S. Supreme Court. On April 3, 2018, the U.S. Supreme Court issued a statement that consideration of the petition for writ of certiorari would be deferred, and in April 2021 the U.S. Supreme Court denied the petition, effectively ending the secured creditors' claims. On January 9, 2017, the District Court dismissed the claims alleged by the unsecured creditors. On June 18, 2018, the District Court directed the parties to submit a letter regarding the status of discovery and the possibility of settlement. The parties submitted a letter on July 9, 2018. On April 23, 2019 the District Court rejected a motion filed by the unsecured creditors to amend their complaint. In July 2019 the unsecured creditors appealed to the Second Circuit the District Court's rejection of the amended complaint and also the January 9, 2017 dismissal of claims. The unsecured creditors filed their appellate brief in January 2020, and a Committee representing large shareholders filed a response brief in April 2020 (the Court deems the response brief to be filed on behalf of all shareholders). The Second Circuit heard oral argument on August 24, 2020. In August 2021 the Second Circuit ruled in favor of the shareholders and rejected the unsecured creditors' claims. The unsecured creditors filed a request for a hearing en banc, which the Second Circuit denied on October 7, 2021. It is expected that the unsecured creditors will file a petition for writ of certiorari with the U.S. Supreme Court. The Trust has been represented in these matters by counsel provided by LSV Asset Management, which under ERISA is a fiduciary for this investment. The Trustees and counsel expect to present valid defenses against these claims, but they are unable to predict the outcome of the litigation.

United Mine Workers of America 1974 Pension Plan

Notes to Financial Statements

June 30, 2021 and 2020

Evade or Avoid Withdrawal Liability Claims against Peabody

On July 16, 2015, the Plan filed a lawsuit against Peabody Energy Corporation and Peabody Holding Company ("Peabody") in the U.S. District Court for the District of Columbia seeking to compel those companies to submit to arbitration of the Trustees' determination that a principal purpose of those companies' spinoff of subsidiaries that became Patriot Coal Corporation was to evade or avoid their obligations to the Plan, including withdrawal liability. On October 29, 2015, the Plan issued its notice and demand letters to Peabody for withdrawal liability in the amount of \$644,213,302, together with a determination that the transaction in which Patriot was spun off from Peabody was a transaction to evade and avoid withdrawal liability. The assessment was later revised to \$642,657,881.

Peabody Energy and 129 of its subsidiary companies filed for Chapter 11 bankruptcy protection in St. Louis, Missouri on April 13, 2016. Prior to its bankruptcy filing on April 13, 2016, Peabody and the Plan commenced arbitration of the withdrawal liability assessment, as mandated in ERISA. The Peabody bankruptcy filing triggered an automatic stay of the arbitration proceedings but the Bankruptcy Court approved a stipulation by the parties to permit the selection of an arbitrator and the exchange of discovery documents. Peabody later filed, in the bankruptcy, an objection to the claim and the arbitration thereof, arguing that the Bankruptcy Court should adjudicate the claim. This was resolved, with Bankruptcy Court approval, by an expedited AAA arbitration.

On March 14, 2017, the Plan reached a settlement for payments of \$75 million paid over a four-year period. On July 1, 2021 Peabody paid the remaining \$15 million representing full payment of the settlement amount.

Energy West Mining Corporation

Energy West filed a request for arbitration of its withdrawal liability assessment of \$115 million, and Mark Irvings was appointed the arbitrator in the proceeding. Energy West did not challenge that it is liable for withdrawal liability, but did challenge the amount due. The company raised two issues in its notice to arbitrate. First, that the Trust did not use "reasonable actuarial assumptions" ("particularly the interest rate assumption") when the Trust calculated Energy West's withdrawal liability. Second, Energy West claims that the Trust is not entitled to calculate Energy West's withdrawal liability using Section 421(d) of the Employee Retirement Income Security Act of 1974 ("ERISA"), 29 U.S.C. § 1391(d), which exempts the Trust from ERISA's 20-year payment cap when determining Energy West's annual payment stream. The arbitrator issued a decision in favor of the Plan on August 7, 2018. The Plan filed a complaint in the U.S. District Court for the District of Columbia to enforce the arbitration award on August 14, 2018. Energy West also filed a complaint, which has been consolidated into the action filed by the Plan. On May 22, 2020, the Court entered an order granting the Plan's Motion for Summary Judgment and denying the Motion for Summary Judgement filed by Energy West. On June 22, 2020, Energy West filed a notice of appeal and all briefing was completed on March 30, 2021. Oral argument occurred on October 25, 2021.

Walter Energy Bankruptcy

Walter Energy, Inc. and 22 of its subsidiaries ("Walter") filed Chapter 11 bankruptcy petitions on July 15, 2015 in the U.S. Bankruptcy Court for the Northern District of Alabama. On December 28, 2015, the Bankruptcy Court granted Walter's 1113 motion to reject its collective bargaining obligations. The order of the Bankruptcy Court allowed Walter to stop contributing under the NBCWA, which it did. This triggered Walter's withdrawal from participation in the Plan, and the Plan assessed the Walter companies \$904 million in withdrawal liability. On December 8, 2015 certain Canadian subsidiaries of Walter Energy filed for bankruptcy protection in Canada. The Plan's claim for withdrawal liability was asserted against the Canadian debtors and in September 2017, a settlement was reached in the approximate amount of \$10 million dollars.

United Mine Workers of America 1974 Pension Plan

Notes to Financial Statements

June 30, 2021 and 2020

The Trust has identified an offshore entity, Cardem Insurance, that was in the control group of companies when Walter Energy withdrew from the Plan. On August 6, 2019, the Plan sued Cardem in the United States District Court for the District of Columbia for pension plan withdrawal liability. Cardem filed a Motion to Dismiss November 7, 2019, claiming the court did not have personal jurisdiction over it because it lacked the requisite connections to the U.S. The Plan filed an Opposition to the Motion to Dismiss and a Motion Seeking Limited Jurisdictional Discovery. On September 2, 2020, the District Court accepted a Magistrate's Report and Recommendation that the lack of personal jurisdiction claim be dismissed without prejudice and that the Plan be granted leave to take limited jurisdictional discovery. After the jurisdictional discovery was completed Cardem filed its renewed Motion to Dismiss. The matter has been fully briefed and is awaiting the court's decision.

Alpha Natural Resources Bankruptcy

On August 3, 2015, Alpha Natural Resources and its affiliates filed chapter 11 petitions in the US Bankruptcy Court in Richmond, Virginia. The Plan asserted a contingent withdrawal liability claim of \$782 million (later amended as discussed below). Alpha operated for a time in chapter 11, and then sold substantially all its assets in a sale confirmed on July 7, 2016, at which time the withdrawal liability claim ceased to be contingent. In conjunction with the sale, the Bankruptcy Court confirmed Alpha's plan of reorganization on July 12, 2016.

The various ERISA trusts which comprise the UMWA Health & Retirement Funds reached a settlement with Alpha, approved by the Bankruptcy Court, which provides for a cash payment of \$10 million, \$8.0 million of which has been paid in installments in accordance with the settlement agreement.

All payments have been made as scheduled. The settlement proceeds are allocated among the trusts by formula agreed to by the Trustees of the Trusts that are party to the settlement. The final Alpha settlement payment of \$2 million dollars is due on December 31, 2021.

In addition to the settlement above, the debtors and the Plan agreed on an "allowed" withdrawal liability claim of \$985 million, which was approved by the Bankruptcy Court. Under the confirmed chapter 11 plan, such allowed claims received certain equity rights in ANR, the entity which purchased certain Alpha assets. The Plan sold at auction its claim and equity rights for \$64.55 million.

Murray Energy Holdings Bankruptcy

On October 29, 2019, Murray Energy Holdings, with 96 affiliates, ("Murray") filed a chapter 11 bankruptcy petition in the Southern District of Ohio. The Plan had a contingent withdrawal liability claim estimated at the time to be about \$5.7 billion. On April 14, 2020, the bankruptcy court authorized Murray to modify the terms of its collective bargaining agreement under sections 1113/1114 of the bankruptcy code and approved Murray's termination of its IEP under the collective bargaining agreement.

The Plan filed its proof of claim against all of the Debtors for contingent withdrawal liability. On April 15, 2020, the Plan filed an objection to the Debtor's Disclosure Statement. The parties resolved the matter and the Plan's rights were reserved to bring claims against anyone other than the Debtors, the Debtor's Estate, Murray Newco (now ACNR, the entity which emerged from the chapter 11 reorganization) or the Wind Down Trust related to Debtor's Plan withdrawal liability. In an Order dated August 31, 2020, the Bankruptcy Court confirmed the Debtors' Second Amended Plan of Reorganization. The Court issued an Order on September 16, 2020, that the Effective Date of the Plan is the date of the Order.

United Mine Workers of America 1974 Pension Plan
Notes to Financial Statements
June 30, 2021 and 2020

On March 2, 2021, the Plan sent Notice and Demand letters for payment of Murray Energy's withdrawal liability of \$6.5 billion dollars to several of Murray Energy's non-debtor related entities and the Estate of Robert Murray on the grounds that three entities, the Estate of Robert Murray, Mrs. Murray and Chagrin Executive Offices, were members of the Murray Energy controlled group on the date of withdrawal and therefore jointly and severally liable for the withdrawal liability. On October 13, 2021 the three entities filed Demands for Arbitration of the Plan's assessment of withdrawal liability.

On April 13, 2021, the Plan filed a Presentation of Claim to the Belmont County, Ohio Probate Court in the Estate of Robert Eugene Murray, which claim was rejected by the estate on August 30, 2021. In addition to filing its claim against the estate, the Plan filed exceptions to certain transfers of title to estate assets representing approximately 99% of the stated value of the estate to Mrs. Murray and the Trustee Michael Shaheen. The parties agreed to stay the probate matter with respect to the discovery and hearing on the Exceptions and Account, and on October 13, 2021, the Probate Court issued an agreed order staying those matters. The arbitration and probate proceedings have been stayed by agreement of the parties pending the outcome of the litigation discussed below.

On March 3, 2021, the Plan filed a Complaint for Declaratory Judgment in the United States District Court for the District of Columbia seeking a ruling that the non-debtor related entities are jointly and severally liable for payment of Murray Energy's withdrawal liability. On June 28, 2021 the Estate of Robert Murray, Mrs. Murray and Chagrin Executive Offices filed separate Motions to Dismiss the Complaint. The Plan's response was filed on August 31, 2021. The Defendants filed Replies on October 20, 2021, and the issue is now fully briefed.

On October 22, 2021 the Plan filed a complaint in the United States District Court for the District of Columbia to contest the rejection of its claim against the Murray Estate in satisfaction of the Ohio Probate law mandate that a contest be filed within 60 days of the rejection of a claim. The new case has been consolidated with the previously filed case, as the cases present substantially the same issue.

SUPPLEMENTARY INFORMATION

United Mine Workers of America 1974 Pension Plan
Schedule H, Line 4i - Schedule of Assets (Held at End of Year)
EIN #52-1050282, Plan #002
June 30, 2021

United Mine Workers of America 1974 Pension Plan
EIN 52-1050282
Plan No. 002
June 30, 2020

Form 5500, Schedule H, Part IV, Line 4i
Schedule of Assets (Held At End of Year)

(a)	(b) Identity of Issuer, Borrower, Lessor, or Similar Party	(c) Description of Investment Including Maturity Date, Rate of Interest Collateral, Par, or Maturity Value	(d) Cost	(e) Current Value
	<u>Interest-bearing Cash</u>	Cash equivalents	\$ 9,854,184	\$ 9,854,184
	<u>U.S. Government Securities</u>	See attached	2,748,220	2,748,435
	<u>Corporate Debt Instruments - Other</u>	See attached	76,978,443	79,005,835
	<u>Corporate Stocks - Preferred</u>	See attached	185,810	62,255
	<u>Corporate Stocks - Common</u>	See attached	99,067,327	159,407,217
	<u>Partnership/Joint Venture Interests</u>	See attached	169,952,971	60,781,510
	<u>Other</u>	See attached	171,329,291	182,171,330
	<u>Common Collective Trusts</u>			
	BR ALPHACREDIT INVESTMENT GRADE FUND A	43,171,310 shares	463,218,150	527,111,251
	BR EQUITY INDEX FD A	28,334 shares	25,264,605	46,593,649
	BR EXTENDED MRKT	20,685 shares	10,222,191	18,910,256
	BR MONEY MARKET FD	100 shares	100	100
	BR MSCI EMERGING MARKETS	2,129,842 shares	36,252,438	41,833,373
	GTSCO ENHANCED LARGE CAP FUND	923,781 shares	39,539,435	58,567,698
	INVESCO BALANCED RISK ALLOCATION TRUST FUND	10,646,276 shares	244,947,883	308,316,166
	JP MORGAN STRATEGIC PROPERTY FUND	7,419,995 shares	7,419,998	28,608,397
	SSGA MSCI CANADA INDEX SL	87,743 shares	6,492,189	12,080,105
	SSGA MSCI EAFE INDEX SL FUND	843,539 shares	51,127,662	105,923,184
	SSGA LONG US CREDIT CORPORATE INDX SLFUND	2,228,241 shares	40,418,241	45,157,530
	SSGA LONG US TREASURY INDEX	5,374,552 shares	154,814,866	159,075,981
	SSGA LONG USNON-CORPORATE INDX CREDITSL FUND	326,346 shares	5,509,382	5,872,917
	SSGA 1-3 YEAR US CREDIT INDX SL FUND	1,292,529 shares	23,225,630	24,268,530
	SSGA 1-3 YR US TREAS INDEX SEC	17,408,311 shares	245,878,537	252,037,526
	SSGA 3-10 YEAR US CREDIT INDX SL FUND	2,506,162 shares	57,931,958	62,263,580
	SSGA 3-10 YR US TREAS INDEX SEC	19,040,162 shares	361,453,647	373,548,941
			<u>1,773,716,912</u>	<u>2,070,169,184</u>
	<u>103-12 Investment Entities</u>			
	DFA U.S. MICRO CAP TR	1,413 shares	5,713,834	17,658,476
	<u>Registered Investment Companies</u>	See attached	199,417,496	227,441,912
	NTGI COLTV GOVT STIF REGISTERED	159,018,867 shares	159,018,867	159,018,867
			<u>358,436,363</u>	<u>386,460,779</u>
			<u>\$ 2,667,983,355</u>	<u>\$ 2,968,319,205</u>

See Independent Auditor's Report.

United Mine Workers of America 1974 Pension Plan
Schedule H, Line 4i - Schedule of Assets (Acquired and Disposed of Within Year)
EIN #52-1050282, Plan #002
June 30, 2021

See attached.

See Independent Auditor's Report.

**United Mine Workers of America 1974 Pension Plan
Schedule H, Line 4j - Schedule of Reportable Transactions
EIN #52-1050282, Plan #002
For the Year Ended June 30, 2021**

See attached.

See Independent Auditor's Report.

◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Interest Bearing Cash - USD</i>			
USD - United States dollar	9,854,183.590	9,854,183.59	9,854,183.59
Total - all currencies		9,854,183.59	9,854,183.59
Total Interest Bearing Cash - USD		9,854,183.59	9,854,183.59
<i>U.S. Government Securities</i>			
United States - USD			
##UNITED STS TREAS NTS .125% USE SEDOL: BMBYXB6 06-30-2023 DO NOT	2,755,000.000	2,748,220.12	2,748,435.36
Total United States - USD		2,748,220.12	2,748,435.36
Total U.S. Government Securities		2,748,220.12	2,748,435.36
<i>Corporate Debt Instruments - Other</i>			
Belgium - USD			
TELENET FIN LUX 5.5% SNR SEC 01/03/2028 USD SEDOL: BFF9R27	400,000.000	428,168.00	421,500.00
Total Belgium - USD		428,168.00	421,500.00
Brazil - USD			
BRASKEM NETH FIN B V 5.875% 01-31-2050 CUSIP: N15516AE2	240,000.000	242,767.20	262,802.40
BRASKEM NETH FIN 4.5% GTD SNR 31/01/2030USD SEDOL: BHT64C7	240,000.000	243,960.00	250,060.80
EMBRAER NETH FIN B 5.4% DUE 02-01-2027 SEDOL: BYQFJG5	225,000.000	237,412.50	239,769.00
PVTPL MARB BONDCO PLC 3.95% 01-29-2031 CUSIP: 566007AC4	250,000.000	250,000.00	241,050.00
Total Brazil - USD		974,139.70	993,682.20

** All or a portion of this security participates in Securities Lending.

◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
Corporate Debt Instruments - Other			
Canada - USD			
BAYTEX ENERGY CORP 8.75% 04-01-2027 CUSIP: C08047AC3	70,000.000	50,837.50	70,525.00
BOMBARDIER INC FIXED 7.875% DUE 04-15-2027 CUSIP: C10602BG1	185,000.000	179,450.00	191,937.50
BOMBARDIER INC 7.125% 06-15-2026 CUSIP: 097751BV2	440,000.000	443,728.13	460,680.00
FIRST QUANTUM MINERALS LTD 6.875% DUE 10-15-2027 BEO CUSIP: C3535CAM0	460,000.000	500,825.00	501,262.00
INTELLIGENT PACKAGING 15/09/2028 6% 09-15-2028 CUSIP: C47108AA0	80,000.000	83,724.00	83,200.00
MEG ENERGY CORP 5.875% 02-01-2029 CUSIP: C54294AG5	175,000.000	182,437.50	182,437.50
PRECISION DRILLING CORP 6.875% 01-15-2029 CUSIP: 740212AM7	60,000.000	59,551.80	61,800.00
PVTPL BAYTEX ENERGY CORP 144A 5.625% DUE 06-01-2024/06-06-2014 BEO CUSIP: 07317QAG0	65,000.000	56,471.00	65,487.50
PVTPL BOMBARDIER INC 7.875% DUE 04-15-2027 SEDOL: BHL3S24	270,000.000	264,856.03	280,125.00
PVTPL EMPIRE CMNTYS CORP 7% DUE 12-15-2025/12-22-2020 BEO CUSIP: 29163VAC7	90,000.000	90,000.00	94,500.00
PVTPL FIRST QUANTUM MINERALS LTD 6.875% 03-01-2026 CUSIP: 335934AR6	200,000.000	184,500.00	209,222.00
PVTPL GFL ENVIRONMENTAL INC 4.0% 08-01-2028 CUSIP: 36168QAL8	195,000.000	195,202.80	192,630.75
PVTPL PRECISION DRILLING CORP PRECISION DRILLING CORP 7.125% DUE 01-15-2026 BEO CUSIP: 740212AL9	10,000.000	10,050.00	10,300.00
PVTPL TELESAT CDA/TELESAT LLC 5.625% DUE11-06-2026 BEO CUSIP: 87952VAR7	90,000.000	90,000.00	90,337.50
1011778 BC ULC/NEW RED FIN INC 4.0% 10-15-2030 CUSIP: C6900PAJ8	510,000.000	493,996.20	493,425.00
Total Canada - USD		2,885,629.96	2,987,869.75
Chile - USD			
KENBOURNE INVEST 6.875% SNR 26/11/2024 USD SEDOL: BKTCZZ6	320,000.000	345,113.60	339,107.20
Total Chile - USD		345,113.60	339,107.20

** All or a portion of this security participates in Securities Lending.

◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Debt Instruments - Other</i>			
Colombia - USD			
MILLICOM INTL CELL 5.125% BDS 15/01/28 USD2000 SEDOL: BF3FX63	202,500.000	217,887.98	210,600.00
Total Colombia - USD		217,887.98	210,600.00
France - USD			
ALTICE FRANCE SA 15/01/2029 5.125% 01-15-2029 CUSIP: F0265PCD8	485,000.000	489,762.70	487,425.00
Total France - USD		489,762.70	487,425.00
Germany - USD			
DEUTSCHE BK AG N Y 4.875% DUE 12-01-2032 CUSIP: 251526BN8	400,000.000	393,676.00	431,368.00
Total Germany - USD		393,676.00	431,368.00
Ireland - USD			
ARD FINANCE SA 6.5% 30/06/2027 SEDOL: BJTP804	365,000.000	388,725.00	383,250.00
Total Ireland - USD		388,725.00	383,250.00
Israel - USD			
ENERGEAN ISRAEL FI 4.875% SNR SEC 30/03/26 USD SEDOL: BLH2QQ3	30,000.000	30,150.00	30,799.44
ENERGEAN ISRAEL FI 5.375% SNR 30/03/28 USD1000 SEDOL: BKP8KV9	20,000.000	20,075.00	20,599.40
TEVA PHARMACEUTICAL INDST LTD 4.1% BDS 10-01-2046 USD2000 SEDOL: BD3GSZ6	1,425,000.000	1,264,287.50	1,248,656.25
TEVA 3.15% DUE 10-01-2026 SEDOL: BD3GT31	440,000.000	423,852.00	418,550.00
Total Israel - USD		1,738,364.50	1,718,605.09
Italy - USD			
TELECOM ITALIA CAP 6.375% DUE 11-15-2033 SEDOL: B2NTFL3	100,000.000	90,360.11	119,250.00

** All or a portion of this security participates in Securities Lending.

◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
Corporate Debt Instruments - Other			
Italy - USD			
TELECOM ITALIA CAP 6% DUE 09-30-2034 SEDOL: B80LG33	290,000.000	266,369.79	334,587.50
UNICREDIT SPA 5.459%-FRN SUB 30/06/35 USD SEDOL: BMB2SF9	265,000.000	289,048.75	288,940.53
Total Italy - USD		645,778.65	742,778.03
Macau - USD			
PVTPL STUDIO CITY FIN LTD 5.0% DUE 01-15-2029/01-14-2021 BEO CUSIP: 86389QAG7	205,000.000	205,000.00	206,849.10
Total Macau - USD		205,000.00	206,849.10
Mexico - USD			
CEMEX SAB DE CV 5.2% DUE 09-17-2030 BEO CUSIP: P2253TJQ3	220,000.000	243,386.00	241,912.00
CEMEX SAB DE CV 5.45% GTD 19/11/2029 USD SEDOL: BL0KTG5	225,000.000	249,511.50	247,387.50
PVTPL CEMEX SAB DE CV 3.875% DUE 07-11-2031 BEO CUSIP: 151290BZ5	200,000.000	200,000.00	203,300.00
Total Mexico - USD		692,897.50	692,599.50
Netherlands - USD			
PVTPL UPC BROADBAND FINCO B V 4.875% DUE 07-15-2031 BEO CUSIP: 90320BAA7	230,000.000	230,000.00	230,529.00
Total Netherlands - USD		230,000.00	230,529.00
Singapore - USD			
ABJA INVESTMENT CO 5.45% SNR 24/01/2028 USD SEDOL: BD3RHT6	230,000.000	243,222.70	247,859.45
Total Singapore - USD		243,222.70	247,859.45
Switzerland - USD			
CONSOLIDATED ENERGY FINANCE SA 6.5% DUE 05-15-2026 BEO CUSIP: L1957QAE0	150,000.000	149,250.00	153,879.00
Total Switzerland - USD		149,250.00	153,879.00

** All or a portion of this security participates in Securities Lending.

◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
Corporate Debt Instruments - Other			
Tanzania, United Republic Of - USD			
HTA GROUP LTD (MA) 7% GTD SNR 18/12/2025USD SEDOL: BMQ52S4	445,000.000	479,687.75	475,211.05
Total Tanzania, United Republic Of - USD		479,687.75	475,211.05
United Kingdom - USD			
ARDONAGH MIDCO 2 PLC 11.5% DUE 01-15-2027 CUSIP: G04587AA2	200,000.000	216,500.00	219,000.00
CONNECT FINCO SARL/CONNECT U S CORP 6.75% 10-01-2026 CUSIP: L2000XAA8	200,000.000	213,560.00	211,500.00
PVTPL JAGUAR LD ROVER AUTOMOTIVE PLC 5.875% DUE 01-15-2028/12-11-2020 BEO CUSIP: 47010BAK0	200,000.000	200,000.00	210,500.00
VIRGIN MEDIA FINANCE PLC 5.0% 07-15-2030 CUSIP: G93654AF1	200,000.000	212,124.00	202,058.00
Total United Kingdom - USD		842,184.00	843,058.00
United States - USD			
##DONOTUSE## CUSIP: 991028804	45,000.000	45,000.00	45,000.00
AERIE PHARMACEUTICALS INC SR NT CONV 1.5% 10-01-2024 SEDOL: BKX8NW3	55,000.000	50,050.00	54,176.87
ALBERTA ENERGY LTD 7.375% DUE 11-01-2031 SEDOL: 2835772	35,000.000	42,000.00	46,469.79
ALLEGHENY TECHNOLOGIES INC SR STEP UP 08-15-2023 07-12-2013 SEDOL: BC9XYM3	195,000.000	192,856.25	213,768.75
ALLY FINL INC 5.75% DUE 11-20-2025 SEDOL: BDCBVG4	430,000.000	501,337.00	493,707.85
AMC NETWORKS INC 4.25% DUE 02-15-2029 REG SEDOL: BLCHH93	235,000.000	235,000.00	237,056.25
AMER PRESIDENT COS LTD SR 8.0 DEB DUE 1-15-2024 SEDOL: 2973672	265,000.000	224,203.06	289,181.25
APACHE CORP FIXED 4.875% DUE 11-15-2027 SEDOL: BMD7LJ7	50,000.000	52,000.00	54,149.50
APACHE CORP 4.25% DUE 01-15-2030 SEDOL: BK1M2B9	145,000.000	148,306.00	152,975.00
APACHE CORP 4.375% 10-15-2028 SEDOL: BYZLW65	85,000.000	86,381.25	90,482.50

** All or a portion of this security participates in Securities Lending.

◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
Corporate Debt Instruments - Other			
United States - USD			
ARAMARK SERVICES INC 5% COR BD DUE 01-20-2028 BEO CUSIP: U03889LAE1	230,000.000	242,650.00	240,856.00
ASCENT RES UTICA HLDGS LLC / ARU 7% 11-01-2026 SEDOL: BLH9170	125,000.000	119,687.50	130,776.25
ASSUREDPARTNERS INC 5.625% 01-15-2029 CUSIP: U0461PAB9	95,000.000	95,475.00	95,000.00
AVIS BUDGET CAR RENT LLC/INC 5.75% 07-15-2027 SEDOL: BJXXZK3	145,000.000	146,087.50	152,023.80
BAUSCH HEALTH COS INC 5.25% 02-15-2031 CUSIP: C07885AG8	15,000.000	15,112.50	14,001.75
BAUSCH HLTH 5.25% 30/01/2030 SEDOL: 6A98YWU	1,090,000.000	1,095,450.00	1,013,700.00
BEAZER HOMES USA FIXED 5.875% DUE 10-15-2027 SEDOL: BFMR519	280,000.000	278,600.00	292,614.00
BIOMARIN PHARMACEUTICAL INC SR SUB CONV NT .599% 08-01-2024 SEDOL: BF47SZ2	190,000.000	198,448.12	196,897.00
BIOMARIN PHARMACEUTICAL INC SR SUB NT CONV 1.25% DUE 05-15-2027 REG SEDOL: BLPJXX2	735,000.000	752,989.40	736,416.46
BLOCK 4.875% DUE 03-01-2028 SEDOL: BLK7881	90,000.000	93,852.00	91,800.00
BLOOMIN BRANDS INC / OSI RESTAURANT 5.125% 04-15-2029 SEDOL: BNYK943	50,000.000	52,008.50	51,375.00
BLOOMIN BRANDS INC / OSI RESTAURANT SR NT 144A 5.125% 04-15-2029 SEDOL: BNSM3G5	75,000.000	75,000.00	77,062.50
BLUE RACER MIDSTREAM LLC/FIN CORP 6.625%07-15-2026 SEDOL: BKKJSS0	85,000.000	86,497.70	88,825.00
BLUE RACER MIDSTREAM LLC/FIN CORP 7.625%12-15-2025 SEDOL: BN456Y7	90,000.000	96,075.00	97,531.20
BOEING CO FIXED 3.55% DUE 03-01-2038 CUSIP: 097023BY0	30,000.000	25,528.50	30,812.00
BOEING CO 3.25% DUE 02-01-2035 SEDOL: BKPHQH4	5,000.000	4,301.25	5,055.62
BOYD GAMING CORP 4.75% 12-01-2027 SEDOL: BMWJDF4	340,000.000	350,098.00	351,900.00
BROADSTREET PARTNERS INC 15/04/2029 5.875% 04-15-2029 CUSIP: 11135RAA3	90,000.000	90,000.00	91,800.00

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Debt Instruments - Other</i>			
United States - USD			
BUCKEYE PARTNERS L 4.5% DUE 03-01-2028 SEDOL: BL4P8L4	130,000.000	130,950.00	133,290.30
BUCKEYE PARTNERS L 5.6% DUE 10-15-2044 SEDOL: BSNH724	105,000.000	97,820.10	101,850.00
BUILDERS FIRSTSOURCE INC 5% 03-01-2030 SEDOL: BKM2BG6	165,000.000	174,301.05	173,489.25
BWAY HOLDING CO FIXED 7.25% DUE 04-15-2025 SEDOL: BYV3JV9	190,000.000	193,857.00	186,200.00
CALIFORNIA RES CORP SR NT 144A 7.125% 02-01-2026 SEDOL: BMXYP52	35,000.000	35,000.00	36,831.20
CALLON PETE CO 6.25% DUE 04-15-2023 CUSIP: 144577AH6	50,000.000	47,887.50	50,058.00
CALPINE CORP 5.125% SNR 15/03/28 USD2000 SEDOL: 6A9RM2U	550,000.000	574,558.75	559,625.00
CALUMET SPECIALTY 11% DUE 04-15-2025 SEDOL: BKFVZK2	40,000.000	43,800.00	43,500.00
CARNIVAL CORP 5.75% DUE 03-01-2027 BEO CUSIP: P2121VAL8	275,000.000	293,562.50	288,062.50
CARPENTER TECH 6.375% DUE 07-15-2028 SEDOL: BN4CPQ3	460,000.000	460,000.00	505,011.41
CARVANA CO FIXED 5.875% DUE 10-01-2028 CUSIP: U1468GAD6	540,000.000	558,125.00	568,188.00
CEDAR FAIR L P / CANADAS WONDERLAND 6.5%10-01-2028 CUSIP: U12589AD6	105,000.000	113,531.25	113,137.50
CENTENNIAL RES FIXED 5.375% 01-15-2026 CUSIP: U14008AA1	25,000.000	22,875.00	24,500.00
CENTENNIAL RES FIXED 6.875% 04-01-2027 CUSIP: U14008AB9	110,000.000	107,225.00	112,487.10
CMO WELLS FARGO COML MTG TR 2014-LC16 MTG PASS THRU CTF CL C DUE 08-15-2050 CUSIP: 94988XBA3	85,000.000	66,937.50	63,194.78
CMO WFRBS COML MTG TR 2012-C10 COML MTG PASSTHRU CTF CL C DUE 12-15-2045 REG CUSIP: 92890NAY5	170,000.000	141,925.00	145,913.70
COML METALS CO 5.375% DUE 07-15-2027 SEDOL: BF2BL24	425,000.000	389,249.55	449,437.50
COMM 2012-CCRE3 3.922% DUE 10-15-2045 CUSIP: 12624PAL9	100,000.000	98,625.00	99,910.20

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Debt Instruments - Other</i>			
United States - USD			
COMMSCOPE 5% DUE 03-15-2027 SEDOL: BDFB3H6	1,225,000.000	1,242,542.00	1,254,093.75
COMMUNITY HEALTH S 8% GTD SNR SEC 15/03/26 USD SEDOL: BJQRDD9	305,000.000	326,386.60	328,637.50
CONTL RES INC FIXED 3.8% DUE 06-01-2024 SEDOL: BZ02873	150,000.000	124,043.75	158,625.00
CONTL RES INC 4.5 DUE 04-15-2023 SEDOL: BCCWFC4	43,000.000	40,169.17	44,744.94
CORNERSTONE BUILDING BRANDS INC 6.125% DUE 01-15-2029 SEDOL: BM9C000	185,000.000	197,256.25	198,412.50
CP ATLAS BUYER INC 7% DUE 12-01-2028 SEDOL: BMWC4P0	45,000.000	47,049.30	46,631.25
CROCS INC 4.25% DUE 03-15-2029 SEDOL: BK7Z7V7	125,000.000	125,000.00	127,500.00
CROWN AMERS LLC/CROWN AMERS CAP 4.25% DUE 09-30-2026 SEDOL: BF6Q4S2	325,000.000	314,562.50	348,562.50
CSC HOLDINGS LLC 4.625% 12-01-2030 SEDOL: BMH63Y9	675,000.000	665,000.00	662,249.25
CVR ENERGY INC 5.25% DUE 02-15-2025 SEDOL: BL6VKY7	70,000.000	66,558.80	70,035.70
DANA INC 4.25% DUE 09-01-2030 BEO SEDOL: BN29V46	45,000.000	45,000.00	46,293.75
DAVITA INC 3.75% 02-15-2031 SEDOL: BMBQM04	250,000.000	242,325.00	240,000.00
DCP MIDSTREAM OPER 5.625% DUE 07-15-2027 SEDOL: BLB2G81	275,000.000	298,925.00	312,812.50
DIAMOND SPORTS GR/ DIAMON 6.625% DUE 08-15-2027 BEO SEDOL: BK0XB38	90,000.000	50,427.00	44,202.15
DIAMOND SPORTS GROUP LLC/DIAMOND SP 5.375% DUE 08-15-2026 BEO SEDOL: BK0X9Z6	200,000.000	142,060.00	129,500.00
DISH DBS CORP 5.875% 11-15-2024 CUSIP: 25470XAW5	432,000.000	432,603.61	463,860.00
DISH DBS CORP 7.75% DUE 07-01-2026 SEDOL: BYVR0K7	730,000.000	802,825.00	826,725.00
DISH NETWORK CORP NT CONV 3.375% 08-15-2026 REG SEDOL: BF953F6	1,520,000.000	1,464,214.34	1,551,160.00

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Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Debt Instruments - Other</i>			
United States - USD			
ENCANA CORP 6.5% DUE 08-15-2034 SEDOL: B02DZ90	260,000.000	289,068.20	343,229.82
ENCOMPASS HEALTH CORP 4.75% DUE 02-01-2030 SEDOL: BK7CR30	260,000.000	270,998.00	276,250.00
ENCOMPASS HLTH 4.5% DUE 02-01-2028 SEDOL: BK73CG1	260,000.000	269,698.00	269,742.20
ENDO DESIGNATED ACTIVITY CO 6.0% DUE 06-30-2028 BEO SEDOL: BMBZ0G3	110,000.000	97,762.50	74,179.05
ENERGIZER HOLDINGS FIXED 4.375% DUE 03-31-2029 SEDOL: BKWGW43	145,000.000	145,814.90	145,149.35
ENLINK MIDSTREAM 5.45% DUE 06-01-2047 SEDOL: BDVJS80	200,000.000	152,958.00	177,500.00
EQT CORPORATION 5.0% DUE 01-15-2029 BEO SEDOL: BMDMZ01	335,000.000	335,000.00	373,514.95
EQT MIDSTREAM PARTNERS L P 5.5% 07-15-2028 SEDOL: BFXXB07	180,000.000	192,596.40	194,504.40
EQT MIDSTREAM PARTNERS L P 6.5%UE 07-15-2048 SEDOL: BFXXB41	130,000.000	138,062.50	139,100.00
EQUITRANS 6.5% DUE 07-01-2027 SEDOL: BN2X3W0	170,000.000	188,700.00	189,550.00
FORD MTR CO DEL 8.5% DUE 04-21-2023 SEDOL: BMWWS69	545,000.000	612,655.31	608,192.75
FORD MTR CO DEL 9% DUE 04-22-2025 SEDOL: BMWWS70	950,000.000	1,163,381.25	1,171,226.50
FREEDOM MTG 7.625% DUE 05-01-2026 SEDOL: BN2RNH7	235,000.000	240,875.00	244,635.00
GEN MTRS FINL CO 5.75% DUE 12-31-2049 SEDOL: BFB5M57	225,000.000	238,925.00	244,887.75
GENERAL MTRS FINL CO INC 5.7% 12-31-2049 SEDOL: BLNPMQ8	70,000.000	79,237.50	78,400.00
GENERAL MTRS FINL CO INC 6.5% DUE 12-31-2049 REG SEDOL: BFY34H4	175,000.000	193,581.25	196,000.00
GENESIS ENERGY L P 7.75% DUE 02-01-2028 SEDOL: BKLZLT9	205,000.000	198,536.35	211,855.20
GLOBAL AIR LEASE CO 7.25% PAY IN KIND DUE 09-15-2024 CUSIP: G3962JAA9	140,000.000	140,531.25	140,700.00

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<i>Corporate Debt Instruments - Other</i>			
United States - USD			
GOODYEAR TIRE & FIXED 4.875% DUE 03-15-2027 SEDOL: BF08246	445,000.000	433,523.68	471,553.15
GPC MERGER SUB INC 7.125% DUE 08-15-2028 SEDOL: BKS96B1	85,000.000	92,650.00	91,587.50
HARVEST MIDSTREAM I LP 7.5% SEDOL: BL65YZ8	90,000.000	96,777.00	97,740.00
HCA INC 3.5% DUE 09-01-2030 SEDOL: BLF2KK7	95,000.000	75,406.25	101,210.15
HCA INC 7.5% DUE 11-06-2033 SEDOL: B039TZ1	240,000.000	226,806.86	331,200.00
HERCULES INC 6.5% DUE 06-30-2029 SEDOL: B06F2S0	200,000.000	170,500.00	221,218.00
HESS MIDSTREAM OPERATIONS LP 5.625% DUE 02-15-2026 SEDOL: BL9C3F9	730,000.000	750,075.00	761,390.00
HILCORP ENERGY I L 5.75% DUE 02-01-2029 SEDOL: BL6JRZ1	65,000.000	65,000.00	67,762.50
HILCORP ENERGY I L 6% DUE 02-01-2031 SEDOL: BL6JRX9	55,000.000	55,000.00	58,300.00
HILCORP ENERGY I LP/ HILCORP FIN 5.75% SEDOL: BL6JS14	45,000.000	47,038.50	46,898.55
HOSPITALITY PPTYS FIXED 4.75% DUE 10-01-2026 CUSIP: 44106MBA9	205,000.000	199,290.50	202,437.50
HOSPITALITY PPTYS TR 4.65 DUE 03-15-2024 REG SEDOL: BKKMXW8	10,000.000	8,237.50	10,182.00
HOSPITALITY PPTYS 3.95% 01-15-2028 SEDOL: BZ3CYL6	10,000.000	7,500.00	9,425.00
HOSPITALITY PPTYS 4.35% DUE 10-01-2024 CUSIP: 44106MAZ5	70,000.000	58,025.00	70,490.00
HOSPITALITY PPTYS 4.5% DUE 06-15-2023 SEDOL: BBFL2Q4	20,000.000	16,850.00	20,500.00
HOSPITALITY PPTYS 4.95% DUE 02-15-2027 SEDOL: BYW0MN2	30,000.000	21,675.00	29,850.00
ICAHN ENTERPRISES LP/CORP 5.25% DUE 05-15-2027 SEDOL: BLGSGV7	1,120,000.000	1,186,860.15	1,156,394.40
ICAHN ENTERPRISES 4.375% DUE 02-01-2029 SEDOL: BMCPK62	195,000.000	195,256.25	194,025.00

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<i>Corporate Debt Instruments - Other</i>			
United States - USD			
IHEARTCOMMUNICATIONS INC 8.375% 05-01-2027 SEDOL: BK0NK86	405,000.000	400,320.90	433,856.25
INDEFAULT 1839688 ALBERTA ULC PIK 00% 12-31-2040 SEDOL: BWBSHN8	672,364.000	630,147.77	2,477.24
INDIGO NAT RES LLC 5.375% DUE 02-01-2029 SEDOL: BN4N986	160,000.000	161,212.50	167,200.00
INTL GAME TECH PLC 5.25% GTD 15/01/2029 USD SEDOL: 0A9WN3U	200,000.000	215,000.00	214,500.00
ISTAR INC FIXED 4.25% DUE 08-01-2025 SEDOL: BKQNVLO	385,000.000	367,675.00	396,068.75
JPMBB COML MTG 4.7124 DUE 08-15-2046 CUSIP: 46640LAK8	235,000.000	220,900.00	220,935.04
KB HOME 4.8% DUE 11-15-2029 SEDOL: BK50YV3	850,000.000	850,000.00	920,949.50
KRAFT HEINZ FOODS 3% DUE 06-01-2026 CUSIP: 50077LAD8	250,000.000	265,555.56	266,233.62
L BRANDS INC 6.875% DUE 11-01-2035 SEDOL: BD218S5	290,000.000	355,583.50	367,212.50
LADDER CAP FINL FIXED 5.25% DUE 10-01-2025 SEDOL: BDD0TR7	125,000.000	125,312.50	127,187.50
LAMAR MEDIA CORP 3.75% 02-15-2028 SEDOL: BMXWTN2	180,000.000	181,247.40	183,150.00
LIVONGO HEALTH INC SR NT CONV .875% DUE 06-01-2025 REG SEDOL: 2520670	75,000.000	125,822.64	118,359.22
LOGAN MERGER SUB INC 5.5% DUE 08-31-2027BEO SEDOL: BMPRTB3	90,000.000	94,162.50	93,154.50
MADISON IAQ LLC 5.875% DUE 06-30-2029 SEDOL: BM9PWX6	95,000.000	95,000.00	96,662.50
MARRIOTT OWNERSHIP RESORTS INC 4.75% DUE01-15-2028 REG SEDOL: BMFT0J4	485,000.000	494,593.30	496,979.50
MATADOR RES CO FIXED 5.875% 09-15-2026 SEDOL: BJ1MZM4	105,000.000	101,212.50	108,150.00
MERITOR INC 4.5% 12-15-2028 CUSIP: U5900XAB0	50,000.000	50,750.00	50,687.50
MORGAN STANLEY BK FLTG RT 4.35137% DUE 08-15-2046 CUSIP: 61762TAH9	350,000.000	244,375.00	256,200.95

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United States - USD			
MPH ACQUISITION HLDGS LLC 5.75% 11-01-2028 SEDOL: BNXHDZ4	110,000.000	106,562.50	110,540.10
MSBAM COML MTG FLTG RT 4.28212% DUE 10-15-2030 SEDOL: B8XC859	190,000.000	91,200.00	111,995.61
MSBAM COML MTG SECS TR 2012-CKSV CL-C 144A FRN 10-15-2030 CUSIP: 553514AL4	100,000.000	66,000.00	80,024.67
MURPHY OIL CORP 5.125 12-01-2042 SEDOL: B7WNRX7	115,000.000	101,200.00	113,892.55
MURPHY OIL CORP 6.375% DUE 07-15-2028 REG SEDOL: BMCDDR8	95,000.000	95,000.00	100,163.25
MURPHY OIL CORP 6.875% DUE 08-15-2024 SEDOL: BZBZ912	100,000.000	100,250.00	102,250.00
NABORS IND LTD 7.25% DUE 01-15-2026 SEDOL: BJRC948	55,000.000	53,487.50	53,900.00
NATIONSTAR MTG 5.5% DUE 08-15-2028 SEDOL: BMD7LH5	235,000.000	245,401.10	236,910.55
NAVIENT CORP 6.0% 12-15-2043 SEDOL: BDRW5R1	6,575.000	121,637.50	167,136.50
NCR CORP 5.25% DUE 10-01-2030 SEDOL: 2A9WS5U	185,000.000	196,562.50	191,937.50
NETFLIX INC FIXED 6.37% 05-15-2029 CUSIP: 64110LAX4	210,000.000	276,181.25	268,222.50
NETFLIX INC 4.875% SNR 15/06/30 USD2000 SEDOL: BK5X229	225,000.000	274,089.00	267,592.50
NETFLIX INC 5.875% DUE 11-15-2028 SEDOL: BJRDY72	230,000.000	290,403.25	282,308.90
NEUROCRINE BIOSCIENCES INC 2.25% 05-15-2024 SEDOL: BG13NK0	60,000.000	84,457.02	80,214.00
NIELSEN FINANCE LLC/CO 5.625% 10-01-2028 SEDOL: BM8ZLK7	320,000.000	339,862.40	338,144.00
NMG HLDG CO INC / 7.125% DUE 04-01-2026 SEDOL: BNRLH72	100,000.000	100,000.00	106,750.00
NUSTAR LOGISTICS L P 5.75% DUE 10-01-2025 BEO SEDOL: BN7KG61	135,000.000	144,028.80	146,812.50
OCCIDENTAL PETE CORP 6.625% DUE 09-01-2030 REG SEDOL: BN15XB6	205,000.000	205,000.00	246,000.00

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United States - USD			
OCCIDENTAL PETE FIXED 2.9% DUE 08-15-2024 SEDOL: BJ9NFL8	440,000.000	422,369.20	449,900.00
OCCIDENTAL PETE FIXED 7.875% DUE 09-15-2031 SEDOL: BKXCDZ8	45,000.000	53,550.00	57,825.00
OCCIDENTAL PETE 4.1% DUE 02-15-2047 SEDOL: BZ1C623	155,000.000	143,131.25	144,323.60
OCCIDENTAL PETE 4.2% DUE 03-15-2048 SEDOL: BFMZD75	30,000.000	27,700.00	28,050.00
OCCIDENTAL PETE 4.4% DUE 04-15-2046 SEDOL: BDBFN16	40,000.000	36,400.00	38,420.00
OCCIDENTAL PETE 7.5% DUE 05-01-2031 SEDOL: BKTC909	95,000.000	111,975.00	119,700.00
OCCIDENTAL PETE 8.875% DUE 07-15-2030 SEDOL: BMGZ9V6	605,000.000	636,800.00	809,120.95
OWL ROCK CAP CORP 4.25% DUE 01-15-2026 SEDOL: BMX4VQ5	215,000.000	213,396.10	232,274.65
PALO ALTO NETWORKS FIXED .75% DUE 07-01-2023 SEDOL: BJX8KR0	170,000.000	239,208.60	247,775.00
PALO ALTO NETWORKS INC .375% DUE 06-01-2025 SEDOL: BNT2JL1	255,000.000	330,775.66	346,800.00
PANCANADIAN PETE 7.2% DUE 11-01-2031 SEDOL: B3CTX73	90,000.000	110,925.00	118,428.35
PAR PHARMACEUTICAL 7.5% DUE 04-01-2027 CUSIP: U7024RAA2	90,000.000	96,975.00	92,009.70
PETSMART INC C 7.75% DUE 02-15-2029 BEO SEDOL: BMXM772	250,000.000	271,822.50	275,625.00
PG&E CORP 5.25% DUE 07-01-2030 SEDOL: BLCC408	50,000.000	55,140.00	50,475.00
PG&E CORP 5% DUE 07-01-2028 SEDOL: BLCC3Z6	90,000.000	96,552.00	91,000.80
POST HOLDINGS INC FIXED 4.625% DUE 04-15-2030 SEDOL: BM8FWC6	235,000.000	246,818.15	238,955.05
PVTPL REALOGY GROUP LLC/REALOGY CO-ISSUER CO 5.75% DUE 01-15-2029 SEDOL: BNNKW78	205,000.000	207,887.50	214,304.95
PVTPL AADVANTAGE LOYALTY IP LTD/AMERN AIRLS 5.5% DUE 04-20-2026 BEO SEDOL: BM8H716	195,000.000	195,000.00	206,456.25

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United States - USD			
PVTPL AADVANTAGE LOYALTY IP LTD/AMERN AIRLS 5.75% DUE 04-20-2029 BEO SEDOL: BM8H783	220,000.000	220,000.00	237,875.00
PVTPL AHP HEALTH PARTNERS INC SR NT 5.75% 07-15-2029 SEDOL: BLB16Z5	85,000.000	85,000.00	86,168.75
PVTPL AMC ENTMT HLDGS INC 1ST LIEN NT 144A 10.5% DUE 04-15-2025/04-24-2020 SEDOL: BMTYYD7	50,000.000	47,250.00	54,250.00
PVTPL AMERICAN AIRLINES INC 4.5% DUE 02-24-2025 BEO SEDOL: BLBQF42	10,000.000	7,600.00	9,212.50
PVTPL ANTERO RES CORP SR NT 7.625% DUE 02-01-2029 BEO SEDOL: BM8NG06	165,000.000	168,431.25	183,150.00
PVTPL ANTERO RES CORP 8.375% DUE 07-15-2026 BEO SEDOL: BMHXK05	30,000.000	30,000.00	34,125.00
PVTPL ARDAGH PACKAGING FIN PLC/ARDAGH HLDGS SR NT 144A 5.25% 08-15-2027 CUSIP: 03969AAR1	425,000.000	443,976.25	433,500.00
PVTPL ASCENT RESOURCES 5.875% 06-30-2029 SEDOL: BNHTSC8	90,000.000	90,000.00	90,000.00
PVTPL AT HOME GROUP INC 4.875% DUE 07-15-2028 BEO SEDOL: BLPPXY1	55,000.000	55,000.00	55,137.50
PVTPL AT HOME GROUP INC 7.125% DUE 07-15-2029 BEO SEDOL: BLR8VV1	100,000.000	100,000.00	101,000.00
PVTPL BCPE ULYSSES MERGER SUB LLC 6.25% DUE 01-15-2029 SEDOL: BMHLJ57	130,000.000	130,000.00	131,001.00
PVTPL BLUE RACER MIDSTREAM LLC/FIN CORP 7.625% 12-15-2025 SEDOL: BMYD741	25,000.000	25,000.00	27,092.00
PVTPL BOYD GAMING CORP 4.75% DUE 06-15-2031 BEO SEDOL: BMW1BG7	120,000.000	120,000.00	124,500.00
PVTPL BOYNE USA INC 4.75% DUE 05-15-2029BEO SEDOL: BKVKPB4	60,000.000	60,000.00	61,903.80
PVTPL BRUNDAGE-BONE CONCRETE PUMPING HLDGS INC 6.0% DUE 02-01-2026 SEDOL: BN4Q2D1	115,000.000	117,800.00	121,060.50
PVTPL CALLON PETE CO DEL 8.0% DUE 08-01-2028 BEO SEDOL: BP6C8J9	130,000.000	130,000.00	131,462.50
PVTPL CARNIVAL CORP GTD SR SECD NT 144A 5.75% DUE 03-01-2027/02-16-2021 BEO CUSIP: 143658BN1	340,000.000	339,725.00	356,150.00
PVTPL CHS/CMNTY HEALTH SYS INC 5.625% DUE 03-15-2027/12-28-2020 BEO SEDOL: BNNTB78	255,000.000	255,000.00	272,212.50

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
Corporate Debt Instruments - Other			
United States - USD			
PVTPL CHS/CMNTY HEALTH SYS 6.875% 04-15-2029 SEDOL: BMDMJ98	145,000.000	145,000.00	151,738.15
PVTPL CINEMARK USA INC 5.25% DUE 07-15-2028 BEO SEDOL: BN0WZH8	80,000.000	80,000.00	82,000.00
PVTPL CLARIVATE SCIENCE HLDGS CORP 4.875% DUE 06-30-2029 BEO SEDOL: BP38LF7	145,000.000	145,000.00	148,806.25
PVTPL CLEAR CHANNEL OUTDOOR HOLDINGS INC 7.5% DUE 06-01-2029 BEO SEDOL: BNHS096	50,000.000	50,000.00	51,766.83
PVTPL CLEAR CHANNEL WORLDWIDE 7.75% 04-15-2028 SEDOL: BM9NG16	215,000.000	219,200.00	225,216.80
PVTPL COMMUNITY HEALTH SYSTEMS INC(NEW) 6.125% DUE 04-01-2030 BEO SEDOL: BMTQPY1	200,000.000	200,000.00	203,000.00
PVTPL COMSTOCK RES INC 6.75% DUE 03-01-2029 SEDOL: BMW2W01	95,000.000	95,000.00	101,196.85
PVTPL CRESTWOOD MIDSTREAM PARTNERS LP 6.0% 02-01-2029 SEDOL: BNK9N31	100,000.000	100,000.00	104,750.00
PVTPL CSC HLDGS LLC SR GTD NT 144A 5.375% DUE 02-01-2028/01-29-2018 BEO SEDOL: BF2BQ30	205,000.000	202,950.00	216,879.75
PVTPL CVR PARTNERS LP/CVR NITROGEN FIN CORP 6.125% DUE 06-15-2028 SEDOL: BMFX8V4	55,000.000	55,000.00	56,375.00
PVTPL DELUXE CORP 8% DUE 06-01-2029 BEO SEDOL: BN0TP68	95,000.000	95,000.00	103,075.00
PVTPL ELASTIC N V 4.125% DUE 07-15-2029/07-15-2024 BEO SEDOL: BNM4ZJ4	180,000.000	180,000.00	180,000.00
PVTPL ENDO DESIGNATED ACTIVITY CO 6.0% DUE 06-30-2028 BEO SEDOL: BJK0B10	60,000.000	52,650.00	40,461.30
PVTPL ENDO LUX FIN CO I SARL 6.125% 04-01-2029 CUSIP: 29280BAA3	110,000.000	110,000.00	107,800.00
PVTPL ENDURE DIGITAL INC 6.0% DUE 02-15-2029 BEO SEDOL: BMFZ7B3	310,000.000	307,406.25	306,900.00
PVTPL ENERGY VENTURES GOM LLC/ENVEN FIN CORP 11.75% DUE 04-15-2026 SEDOL: BMV1N51	60,000.000	58,800.00	62,572.80
PVTPL ENTERCOM MEDIA CORP 6.75% DUE 03-31-2029 BEO SEDOL: BNG5B40	125,000.000	125,000.00	129,701.88
PVTPL EQT CORP SR NT 3.625% 05-15-2031 SEDOL: BMY681	30,000.000	30,000.00	31,275.00

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United States - USD			
PVTPL EXPEDIA GROUP INC 0.0% DUE 02-15-2026 BEO SEDOL: BKP85L4	80,000.000	80,000.00	86,400.00
PVTPL FERRELLGAS ESCROW LLC/FG 5.375% DUE 04-01-2026 BEO SEDOL: BLGZL35	100,000.000	100,000.00	99,125.00
PVTPL FOUNDATION BLDG MATLS INC 6.0% DUE 03-01-2029 SEDOL: BN49FV9	250,000.000	252,468.75	247,500.00
PVTPL GRAFTECH FIN INC 4.625% DUE 12-15-2028/12-15-2023 BEO SEDOL: BMHLJ35	55,000.000	55,000.00	56,443.75
PVTPL GUARDANT HEALTH INC 0% DUE 11-15-2027 BEO SEDOL: BNDQ2Z4	75,000.000	84,987.45	85,359.38
PVTPL HERENS HOLDCO S A R L 4.75% DUE 05-15-2028 BEO CUSIP: 427169AA5	200,000.000	200,000.00	199,000.00
PVTPL HILTON GRAND VACATIONS BORROWER ESC 4.875% 07-01-2031 SEDOL: BNKCJL0	85,000.000	85,000.00	84,777.30
PVTPL HILTON GRAND VACATIONS BORROWER ESCROW L SR NT 5.0% 06-01-2029 SEDOL: BMXKCL5	305,000.000	305,000.00	311,862.50
PVTPL INDEPENDENCE ENERGY FIN LLC 7.25% DUE 05-01-2026 BEO SEDOL: BN29V13	110,000.000	110,000.00	115,518.70
PVTPL IONIS PHARMACEUTICALS INC 0.0% DUE 04-01-2026 BEO SEDOL: BMT7M09	80,000.000	80,000.00	78,376.00
PVTPL JELD-WEN INC SR NT 4.875% 12-15-2027 SEDOL: BF4PGP2	155,000.000	151,737.50	161,079.10
PVTPL JETBLUE AWYS CORP SR NT CONV 0.5% DUE 04-01-2026 SEDOL: BMW2F80	65,000.000	65,000.00	64,772.50
PVTPL KOPPERS INC PA 6.0% DUE 02-15-2025 BEO SEDOL: BYXH328	95,000.000	91,675.00	98,040.00
PVTPL LIBERTY MEDIA CORP .5% DUE 12-01-2050 BEO SEDOL: BN0T416	110,000.000	113,757.16	126,555.00
PVTPL LIGADO NETWORKS LLC PIK 17.50%05-01-2024 SEDOL: BMFN847	65,483.000	53,585.56	50,421.91
PVTPL LIGADO NETWORKS LLC 15.5% DUE 11-01-2023 BEO SEDOL: BMCCSS1	221,593.000	221,919.29	218,366.61
PVTPL LIONS GATE CAP HLDGS LLC SR NT 5.5%04-15-2029 SEDOL: BMWX2S2	150,000.000	150,000.00	157,687.50
PVTPL LIVE NATION ENTMT INC 3.75% DUE 01-15-2028/01-04-2021 BEO SEDOL: BN7RJ07	100,000.000	100,000.00	100,442.00

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<i>Corporate Debt Instruments - Other</i>			
United States - USD			
PVTPL MAGIC MERGECO INC 7.875% 05-01-2029 SEDOL: BN6JYJ8	185,000.000	185,000.00	190,781.25
PVTPL MARRIOTT OWNERSHIP RESORTS INC 4.5% DUE 06-15-2029 SEDOL: BMBMCS0	70,000.000	70,000.00	70,962.50
PVTPL MECCANICA HLDGS USA INC GTD NT 144A 7.375 DUE 07-15-2039/07-15-2009 BEO CUSIP: 583491AB1	255,000.000	193,321.87	326,400.00
PVTPL MIDCAP FINANCIAL ISSR TR 6.5% DUE 05-01-2028 BEO SEDOL: BMBV4H0	135,000.000	135,000.00	141,282.90
PVTPL MIDCAP FINANCIAL 5.625% DUE 01-15-2030 BEO SEDOL: BMBSMQ6	200,000.000	200,000.00	200,772.00
PVTPL MPH ACQUISITION HLDGS LLC SR NT 5.75% 11-01-2028 SEDOL: BN2B8J6	95,000.000	96,216.00	95,466.45
PVTPL NABORS INDUSTRIES INC 9% SNR NTS 02-01-2025 USD SEDOL: BKY6C63	39,000.000	35,976.72	40,950.00
PVTPL NEW FORTRESS ENERGY INC 6.75% DUE 09-15-2025 BEO SEDOL: BNGFXX3	455,000.000	462,087.50	465,806.25
PVTPL NEW FORTRESS ENERGY LLC 6.5% DUE 09-30-2026/04-12-2021 BEO SEDOL: BP0X973	30,000.000	30,000.00	30,654.00
PVTPL NORTHERN OIL & GAS INC 8.125% DUE 03-01-2028/02-18-2021 BEO SEDOL: BM8C3G8	100,000.000	100,000.00	107,750.00
PVTPL OASIS PETE INC NEW SR NT 6.375% 06-01-2026 SEDOL: BN0Z599	45,000.000	45,000.00	46,922.85
PVTPL ORGANON FIN 1 LLC 5.125% 04-30-2031 SEDOL: BMV1L02	250,000.000	250,000.00	257,550.00
PVTPL PARK RIV HLDGS INC 5.625% DUE 02-01-2029/01-22-2021 BEO SEDOL: BMDJ3Z3	150,000.000	150,037.50	145,856.25
PVTPL PATRICK INDS INC 4.75% DUE 05-01-2029 BEO SEDOL: BMF1LT7	90,000.000	90,000.00	89,437.50
PVTPL PELOTON INTERACTIVE INC SR NT CONV144A 0% DUE 02-15-2026 BEO SEDOL: BLH1VS7	105,000.000	101,671.83	101,521.88
PVTPL PLAYTIKA HLDG CORP 4.25% DUE 03-15-2029/03-11-2021 BEO SEDOL: BMYCMB0	55,000.000	55,000.00	54,962.05
PVTPL RACKSPACE TECHNOLOGY GLOBAL INC 5.375% DUE 12-01-2028 BEO SEDOL: BN7N7Q7	90,000.000	94,977.90	92,250.00
PVTPL REAL HERO MERGER SUB 2 INC 6.25% DUE 02-01-2029 BEO SEDOL: BMF88D1	50,000.000	50,000.00	51,860.00

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United States - USD			
PVTPL ROYAL CARIBBEAN CRUISES LTD 5.5% DUE 04-01-2028 BEO CUSIP: 780153BG6	370,000.000	370,000.00	387,501.00
PVTPL SCIENTIFIC GAMES INTL INC 7.25% DUE 11-15-2029 SEDOL: BJLPYT3	5,000.000	5,450.00	5,640.00
PVTPL SIMMONS FOOD INC 4.625% DUE 03-01-2029 BEO SEDOL: BLKH085	120,000.000	120,000.00	121,042.80
PVTPL SOLARIS MIDSTREAM HLDGS LLC 7.625%DUE 04-01-2026/04-01-2021 BEO SEDOL: BN2D5R9	45,000.000	45,000.00	47,700.00
PVTPL SUBURBAN PROPANE PARTNERS L.P 5.0%DUE 06-01-2031 BEO SEDOL: BN0WMM7	90,000.000	90,000.00	92,137.50
PVTPL SUNCOKE ENERGY INC 4.875% DUE 06-30-2029 BEO SEDOL: BMFX8Z8	35,000.000	35,000.00	34,956.25
PVTPL TOWNSQUARE MEDIA INC 6.875% DUE 02-01-2026/01-06-2021 BEO SEDOL: BMVB9C0	40,000.000	40,000.00	42,800.00
PVTPL TRANSDIGM INC SR SUB NT 4.625% 01-15-2029 SEDOL: BMXYG26	85,000.000	85,000.00	85,029.75
PVTPL TRANSDIGM INC 4.875% DUE 05-01-2029 BEO SEDOL: BM8F5B6	460,000.000	460,000.00	464,370.00
PVTPL TRITON WTR HLDGS INC 6.25% DUE 04-01-2029/03-31-2021 BEO SEDOL: BLF8T86	120,000.000	120,000.00	120,300.00
PVTPL TWITTER INC 0% DUE 03-15-2026 BEO SEDOL: BKQN0C4	155,000.000	150,613.50	147,831.25
PVTPL U S ACUTE CARE SOLUTIONS LLC 6.375% DUE 03-01-2026 BEO SEDOL: BKP96F8	85,000.000	85,000.00	87,830.50
PVTPL UBER TECHNOLOGIES INC 0% DUE 12-15-2025 BEO SEDOL: BMQBX45	125,000.000	125,000.00	126,750.00
PVTPL UNITED AIRLINES INC 4.375% DUE 04-15-2026 BEO SEDOL: BMG8799	75,000.000	75,000.00	77,638.50
PVTPL UNITED AIRLINES INC 4.625% DUE 04-15-2029 BEO SEDOL: BMG8788	115,000.000	115,000.00	119,025.00
PVTPL VICTORIAS SECRET & CO 4.625% DUE 07-15-2029 BEO SEDOL: BNM5FM0	140,000.000	140,000.00	140,000.00
PVTPL VICTORS MERGER CORP 6.375% DUE 05-15-2029 BEO SEDOL: BKPGJV6	125,000.000	125,000.00	125,937.50
PVTPL VIKING OCEAN CRUISES SHIP VII LTD 5.625% DUE 02-15-2029 BEO SEDOL: BMGS3Q8	200,000.000	200,143.75	202,000.00

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United States - USD			
PVTPL VINE ENERGY HLDGS LLC 6.75% DUE 04-15-2029/04-07-2021 BEO SEDOL: BNTFHM7	100,000.000	100,000.00	105,250.00
PVTPL WEATHERFORD INTL LTD 8.75% DUE 09-01-2024 BEO CUSIP: 947075AR8	25,000.000	26,250.00	26,156.25
QUICKEN LNS LLC/QUICKEN LNS CO-ISSU 3.625% 03-01-2021 SEDOL: BMH3K83	20,000.000	19,543.75	19,750.00
QUICKEN LNS 3.875% DUE 03-01-2031 SEDOL: BLSN9D3	1,205,000.000	1,189,675.00	1,214,025.45
RADIAN GROUP INC FIXED 6.625% DUE 03-15-2025 SEDOL: BMF6PD4	410,000.000	410,000.00	462,680.90
RADIATE HOLDCO /FINANCE 6.5% 09-15-2028 CUSIP: U7501VAD9	180,000.000	191,700.00	189,117.00
RANGE RES CORP 5.0% 03-15-2023 SEDOL: BF3TMD5	438,000.000	424,860.00	453,330.00
REALOGY GROUP LLC/REALOGY CO-I 7.625% 06-15-2025 SEDOL: BMJ1N31	175,000.000	190,141.00	189,822.50
REALOGY GROUP LLC/REALOGY CO-I 9.375% 04-01-2027 SEDOL: BJQR2V2	85,000.000	95,847.70	94,446.90
RITE AID CORP 7.5% DUE 07-01-2025 SEDOL: BM97KT4	85,000.000	88,612.50	86,062.50
ROYAL CARIBBEAN CRUISES LTD SR NT 144A 4.25% 07-01-2026 CUSIP: 780153BH4	120,000.000	120,000.00	119,850.00
ROYAL CARIBBEAN CRUISES 3.7% 03-15-2028 SEDOL: BD1DDN2	150,000.000	141,193.75	143,263.50
SABRE GLBL INC 7.375% 09-01-2025 SEDOL: BK4MYS7	175,000.000	189,437.50	190,312.50
SAFEWAY INC 7.25% DUE 02-01-2031 SEDOL: BFZDDS7	10,000.000	9,750.00	11,675.00
SCIENTIFIC GAMES CORP 7.25% 11-15-2029 SEDOL: BJTM2D6	520,000.000	572,275.00	586,560.00
SCIENTIFIC GAMES I 7% GTD SNR 15/05/28 USD2000 SEDOL: BJ9S5H9	190,000.000	202,600.00	207,518.00
SCIENTIFIC GAMES 7% DUE 05-15-2028 SEDOL: BL0KTF4	105,000.000	112,400.00	114,681.00
SINCLAIR TELEVISION SBGI 5 1/8 02/15/27 5.125% 08-30-2016 CUSIP: U8275QAH3	140,000.000	140,350.00	140,525.00

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United States - USD			
SLM CORP MEDIUM TERM NTS BOOK ENTRY 5.625% DUE 08-01-2033 SEDOL: 2922061	1,195,000.000	934,515.14	1,155,314.05
SM ENERGY CO 5.625% DUE 06-01-2025 SEDOL: BXCJ180	60,000.000	57,600.00	59,400.00
SM ENERGY CO 6.5% DUE 07-15-2028 REG SEDOL: BL98722	45,000.000	45,000.00	46,237.50
SM ENERGY CO 6.75% DUE 09-15-2026 SEDOL: BDJ0GW5	80,000.000	78,142.50	81,400.00
SOUTHWEST AIRLS CO 1.25% DUE 05-01-2025 SEDOL: BKP33Y8	210,000.000	303,466.42	318,018.75
SOUTHWESTN ENERGY STEP CPN 6.2% DUE 01-23-2025 SEDOL: BV9FYC2	210,000.000	206,368.69	232,470.00
SPIRIT AEROSYSTEMS 4.6% DUE 06-15-2028 SEDOL: BDR7P87	195,000.000	193,050.00	191,100.00
SPIRIT AEROSYSTEMS 7.5% DUE 04-15-2025 SEDOL: BMWWK96	315,000.000	342,562.50	336,262.50
SPLUNK INC 1.125% DUE 06-15-2027 BEO SEDOL: BM9CMR1	45,000.000	43,362.47	43,846.88
SPRINGLEAF FIN 6.875% DUE 03-15-2025 SEDOL: BF28TP4	180,000.000	180,000.00	203,148.00
SPRINGLEAF FIN 7.125% DUE 03-15-2026 CUSIP: 85172FAN9	410,000.000	412,050.00	477,531.10
SRS DISTR INC SR NT 144A 6.125% 07-01-2029 CUSIP: 78471RAC0	95,000.000	95,000.00	97,765.45
SUNOCO LP 4.5% 05-15-2029 SEDOL: BMXF782	150,000.000	149,625.00	152,625.00
T-MOBILE USA INC 2.25% DUE 02-15-2026 CUSIP: 87264ABR5	555,000.000	555,000.00	559,162.50
T-MOBILE USA INC 4.5% BNDS DUE 02-01-2026 CUSIP: 87264AAU9	1,130,000.000	1,130,000.00	1,151,605.60
TALLGRASS ENERGY 6% DUE 03-01-2027 SEDOL: BLH94P9	85,000.000	87,975.00	87,550.00
TARGA RES PARTNERS LP/TARGA RES FIN 5.5% SNR NTS 03-01-2030 USD SEDOL: BNNQWW1	425,000.000	457,363.75	467,355.50
TAYLOR MORRISON COMMUNITIES 5.125% 08-01-2030 CUSIP: U8760NAF6	120,000.000	131,114.40	130,065.60

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United States - USD			
TELADOC HEALTH INC 1.25% DUE 06-01-2027 SEDOL: BN0WZG7	460,000.000	547,529.92	514,924.00
TENET HEALTHCARE 6.875% DUE 11-15-2031 SEDOL: 2842749	480,000.000	371,151.14	544,800.00
TITAN INTL INC DEL 7% DUE 04-30-2028 SEDOL: BMV1MM1	90,000.000	90,000.00	94,162.50
TKC HLDGS INC 10.5% 05-15-2029 SEDOL: BMFS8B9	45,000.000	45,000.00	48,712.50
TRANSDIGM INC FIXED 5.5% 11-15-2027 SEDOL: BM9QGV5	120,000.000	102,425.00	125,100.00
TRANSDIGM INC FIXED 7.5% 03-15-2027 SEDOL: BJV3SS4	10,000.000	9,500.00	10,637.50
TRAVEL PLUS 4.625% DUE 03-01-2030 SEDOL: 4A9WS5U	630,000.000	667,550.00	649,341.00
TRI POINTE HOMES INC 5.25% DUE 06-01-2027 SEDOL: BF4SN83	70,000.000	66,050.00	75,950.00
TRIUMPH GROUP INC 6.25% DUE 09-15-2024 SEDOL: BK7CR29	105,000.000	106,718.75	106,575.00
UBER TECHNOLOGIES FIXED 6.25% DUE 01-15-2028 CUSIP: U9029YAF7	2,160,000.000	2,363,425.00	2,324,613.60
UBER TECHNOLOGIES FIXED 7.5% DUE 09-15-2027 CUSIP: U9029YAC4	110,000.000	121,275.00	120,887.80
UNITI GROUP LP / 4.75% DUE 04-15-2028 SEDOL: BNSM3M1	160,000.000	160,000.00	159,600.00
US CONCRETE INC 5.125% DUE 03-01-2029 BEO CUSIP: U9033EAH1	235,000.000	243,786.65	256,737.50
UTD AIRLS HLDGS 4.25% DUE 10-01-2022 SEDOL: BZ309N7	480,000.000	480,000.00	491,400.00
UTD AIRLS 2020-1A 5.875% DUE 04-15-2029 SEDOL: BMFV4N2	199,846.500	199,846.50	221,746.06
UTD RENTALS N AMER 5.875% DUE 09-15-2026 SEDOL: BD076X6	10,000.000	9,800.00	10,347.90
VERITAS US INC. 10.5% 02-01-2024 CUSIP: U92214AA0	200,000.000	201,000.00	205,294.00
VIASAT INC FIXED 6.5% DUE 07-15-2028 CUSIP: U92222AF2	95,000.000	100,462.50	101,313.70

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United States - USD			
VIKING CRUISES LTD FIXED 5.875% DUE 09-15-2027 SEDOL: BF0GXJ2	80,000.000	78,200.00	79,056.00
VOLT 2021-NPL5 4.8262% 03-27-2051 CUSIP: 92873FAB3	100,000.000	100,000.00	99,898.15
WEATHERFORD INTL LTD SR NT 144A 11.0% 12-01-2024 CUSIP: 947075AP2	120,000.000	120,844.50	124,800.00
WELLS FARGO COML MTG TR 2016-C36 MTG PASSTHRU CTF CL C 4.17763% 11-15-2059 CUSIP: 95000MBV2	50,000.000	36,656.25	43,945.04
WESTERN MIDSTREAM OPER LP 4.05% DUE 02-01-2030/01-13-2020 REG SEDOL: BKRMR85	225,000.000	246,217.50	252,001.13
WESTN MIDSTREAM STEP CPN 5.25% DUE 02-01-2050 SEDOL: BKRMRB8	240,000.000	243,672.00	277,880.40
WFRBS COML MTG TR VAR RT 5.54909801483% DUE 03-15-2044 SEDOL: B58S538	107,778.240	49,780.08	52,509.56
WHEEL PROS ESCR 6.5% DUE 05-15-2029 SEDOL: BMF39X3	60,000.000	60,000.00	60,675.00
WHITE CAP BUYER LLC 6.875% DUE 10-15-2028 BEO SEDOL: BNG43J6	45,000.000	47,994.75	48,161.25
WINDSTREAM ESCROW LLC/WINDSTREAM ESCRO 7.75% DUE 08-15-2028 BEO SEDOL: BL6CQR5	95,000.000	97,137.50	97,850.00
WOLVERINE ESCROW LLC 9.0% 11-15-2026 SEDOL: BKX9Y67	55,000.000	48,125.00	53,625.00
WYNDHAM DESTINATIONS INC 6.0% DUE 04-01-2027/03-21-2017 REG SEDOL: BF083Z4	20,000.000	22,350.00	21,971.40
WYNDHAM DESTINATIONS INC 6.625% DUE 07-31-2026 SEDOL: BMWZQZ3	35,000.000	39,725.00	39,655.00
WYNN LAS VEG LLC/C 5.5% GTD SNR 01/03/2025 USD SEDOL: BVYJ8L6	375,000.000	393,862.50	403,822.50
WYNN RESORTS FIN LLC / WYNN RESORTS 5.125% 10-01-2029 CUSIP: U98354AA8	140,000.000	147,875.00	147,875.00
YUM BRANDS INC 3.625% DUE 03-15-2031 SEDOL: BN7S9F5	320,000.000	317,600.00	318,400.00
Total United States - USD		64,862,454.64	66,676,004.55

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Debt Instruments - Other</i>			
Zambia - USD			
1ST QUANTUM MINLS 6.875% SNR 01/03/2026 USD SEDOL: BFZYRT9	730,000.000	766,500.00	763,660.30
Total Zambia - USD		766,500.00	763,660.30
Total Corporate Debt Instruments - Other		76,978,442.68	79,005,835.22
<i>Corporate Stock - Preferred</i>			
Spain - EUR			
GRIFOLS SA NON-CUM PRF SHS EUR0.05 (B) POST CONS SEDOL: BYP0K57	3,547.000	78,224.23	62,254.53
Total Spain - EUR		78,224.23	62,254.53
United States - USD			
PVTPL AZUL HLDGS INC PFD SER B CUSIP: 05500Q205	12,675.000	107,585.33	0.00
Total United States - USD		107,585.33	0.00
Total Corporate Stock - Preferred		185,809.56	62,254.53
<i>Corporate Stock - Common</i>			
Brazil - USD			
STONECO LTD COM CLASS A CUSIP: G85158106	1,995.000	101,924.08	133,784.70
Total Brazil - USD		101,924.08	133,784.70
Canada - USD			
KIRKLAND LAKE GOLD LTD COM KIRKLAND LAKEGOLD LTD CUSIP: 49741E100	717.000	26,029.01	27,626.01
** RESTAURANT BRANDS INTL INC COM NPV CUSIP: 76131D103	757.000	47,536.13	48,781.08
RITCHIE BROS AUCTIONEERS INC COM CUSIP: 767744105	501.000	15,238.39	29,699.28

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
Canada - USD			
Total Canada - USD		88,803.53	106,106.37
China - USD			
YUM CHINA HLDGS INC COM CUSIP: 98850P109	751.000	37,661.96	49,753.75
Total China - USD		37,661.96	49,753.75
Denmark - DKK			
DSV A S SEDOL: B1WT5G2	3,314.000	265,864.68	772,934.59
GENMAB AS DKK1 SEDOL: 4595739	486.000	34,226.14	198,878.25
NETCOMPANY GROUP DKK1 SEDOL: BFYDWS1	6,072.000	561,737.56	689,939.48
ROYAL UNIBREW A/S DKK2 (POST SPLIT) SEDOL: BX8ZX20	4,503.000	390,554.29	573,633.32
TRYG A/S DKK5 SEDOL: BXDZ972	15,145.000	363,001.89	371,829.07
Total Denmark - DKK		1,615,384.56	2,607,214.71
Denmark - USD			
ADR ASCENDIS PHARMA A/S SPONSORED ADR CUSIP: 04351P101	323.000	44,611.82	42,490.65
GENMAB A/S SPONSORED ADR CUSIP: 372303206	3,363.000	123,591.99	137,311.29
Total Denmark - USD		168,203.81	179,801.94
Finland - EUR			
KONE CORPORATION NPV ORD 'B' SEDOL: B09M9D2	2,926.000	161,092.99	238,732.11
NESTE OYJ NPV SEDOL: B06YV46	4,599.000	310,010.46	281,642.20
Total Finland - EUR		471,103.45	520,374.31

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
France - EUR			
ALD EUR1.5 SEDOL: BF03BV1	18,247.000	263,488.72	273,518.45
ALTEN NPV1.05 SEDOL: 5608915	2,155.000	117,903.48	285,717.71
LVMH MOET HENNESSY LOUIS VUITTON SE EUR0.30 SEDOL: 4061412	793.000	247,867.60	621,898.90
SAFRAN SA EUR0.20 SEDOL: B058TZ6	2,709.000	283,228.75	375,617.56
STMICROELECTRONICS EUR1.04 SEDOL: 5962332	6,312.000	140,376.53	229,090.70
TELEPERFORMANCE SOCIETE EUROPEENNE SEDOL: 5999330	1,234.000	412,429.70	500,922.04
VINCI EUR2.50 SEDOL: B1XH026	2,232.000	184,538.15	238,197.13
WORLDLINE EUR0.68 SEDOL: BNFWR44	3,846.000	296,956.38	360,043.09
Total France - EUR		1,946,789.31	2,885,005.58
Germany - EUR			
CTS EVENTIM AG & C NPV SEDOL: 5881857	3,799.000	241,838.73	237,425.84
INFINEON TECHNOLOG ORD NPV (REGD) SEDOL: 5889505	4,571.000	106,500.66	183,329.73
LEG IMMOBILIEN SE SEDOL: B9G6L89	1,750.000	121,871.17	252,048.23
MTU AERO ENGINES A NPV (REGD) SEDOL: B09DHL9	1,286.000	327,743.57	318,586.59
PUMA SE NPV SEDOL: 5064722	3,674.000	237,129.75	438,096.02
QIAGEN NV EUR0.01 SEDOL: BYXS699	9,457.000	480,835.66	457,125.71
RATIONAL AG NPV SEDOL: 5910609	302.000	182,256.65	273,620.34
STABILUS S.A. EUR0.01 SEDOL: BMM1PP4	1,495.000	81,160.41	121,533.70
Total Germany - EUR		1,779,336.60	2,281,766.16

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Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
Germany - USD			
ADR BIONTECH SE ADS CUSIP: 09075V102	840.000	85,144.46	188,059.20
Total Germany - USD		85,144.46	188,059.20
Iceland - EUR			
MAREL HF 144A SEDOL: BK1X320	39,329.000	253,663.80	273,311.94
Total Iceland - EUR		253,663.80	273,311.94
India - USD			
GENPACT LIMITED COM STK USD0.01 CUSIP: G3922B107	724.000	18,906.51	32,891.32
Total India - USD		18,906.51	32,891.32
Ireland - EUR			
KINGSPAN GROUP ORD EUR0.13 SEDOL: 4491235	3,433.000	155,109.36	324,229.95
Total Ireland - EUR		155,109.36	324,229.95
Israel - USD			
WIX.COM LTD COM ILS0.01 CUSIP: M98068105	197.000	45,753.53	57,185.16
Total Israel - USD		45,753.53	57,185.16
Italy - EUR			
DIASORIN SPA EUR1 SEDOL: B234WN9	1,589.000	211,021.36	300,561.03
FERRARI NV COM EUR0.01 SEDOL: BD6G507	1,850.000	225,761.78	381,741.22
FINECOBANK SPA EUR0.33 SEDOL: BNGN9Z1	21,600.000	170,924.48	376,546.98
GVS SPA COM SEDOL: BMVB793	11,015.000	104,379.56	180,395.73

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Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
Italy - EUR			
MONCLER SPA NPV SEDOL: BGLP232	6,254.000	300,619.70	423,192.27
Total Italy - EUR		1,012,706.88	1,662,437.23
Netherlands - EUR			
ADYEN NV EUR0.01 SEDOL: BZ1HM42	80.000	180,258.76	195,483.76
ASM INTL NV EUR0.04 SEDOL: 5165294	1,172.000	345,452.59	384,995.33
ASML HOLDING NV EUR0.09 SEDOL: B929F46	1,114.000	186,884.61	765,441.07
BE SEMICONDUCTOR INDUSTRIES NV EUR0.01 SEDOL: BG0SCK9	5,039.000	396,141.83	427,505.17
IMCD NV EUR0.16 SEDOL: BNCBD46	3,029.000	269,473.63	481,699.43
Total Netherlands - EUR		1,378,211.42	2,255,124.76
Netherlands - USD			
ADR ARGEX SE SPONSORED ADS CUSIP: 04016X101	311.000	65,144.37	93,632.77
Total Netherlands - USD		65,144.37	93,632.77
Poland - PLN			
ALLEGRO.EU SA PLN0.01 SEDOL: BMBQDF6	16,734.000	190,721.55	288,438.42
Total Poland - PLN		190,721.55	288,438.42
South Africa - ZAR			
NASPERS N ZAR0.02 SEDOL: 6622691	8,613.000	1,355,730.52	1,808,520.39
REMGRO LTD NPV SEDOL: 6290689	98,075.000	672,366.88	787,141.38
Total South Africa - ZAR		2,028,097.40	2,595,661.77

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
Spain - EUR			
AMADEUS IT GROUP EUR0.01 SEDOL: B3MSM28	3,926.000	296,329.48	276,184.64
FLUIDRA SA EUR1 SEDOL: B28V440	8,526.000	217,649.49	338,212.40
Total Spain - EUR		513,978.97	614,397.04
Sweden - SEK			
ADDECH AB SER'B'NPV SEDOL: BLN8T44	15,316.000	61,621.50	254,307.05
ASSA ABLOY SER'B'NPV (POST SPLIT) SEDOL: BYPC1T4	7,809.000	146,966.68	235,398.14
ATLAS COPCO AB SER'A'NPV SEDOL: BD97BN2	4,169.000	112,640.41	255,439.39
EPIROC AB SER'A'NPV SEDOL: BMD58R8	9,733.000	93,059.40	221,924.90
HEXAGON AB SER'B'NPV SEDOL: BNZFH1	18,481.000	106,270.94	274,011.89
Total Sweden - SEK		520,558.93	1,241,081.37
Switzerland - CHF			
LOGITECH INTL CHF0.25 (REGD) SEDOL: B18ZRK2	5,147.000	535,249.55	624,199.38
LONZA GROUP AG CHF1 (REGD) SEDOL: 7333378	1,004.000	253,788.09	712,309.41
NAMEN-AKT BELIMO HOLDING AG (SPLIT) HOLDING AG (SPLIT) SEDOL: BP0QDP8	734.000	194,106.59	335,892.25
** PETROPLUS HOLDINGS CHF7.58 (REGD) SEDOL: B1HH936	5,977.000	87,152.44	193.98
SIKA AG -ORDSHR VOTING BO SEDOL: BF2DSG3	2,169.000	194,783.93	709,820.41
STRAUMANN HLDG CHF0.10 (REGD) SEDOL: 7156832	371.000	332,361.54	592,010.60
TECAN GROUP AG CHF0.10 (REGD) SEDOL: 7110902	569.000	99,624.99	282,176.23
Total Switzerland - CHF		1,697,067.13	3,256,602.26

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Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
Corporate Stock - Common			
Switzerland - GBP			
WIZZ AIR HLDGS PLC ORD GBP0.0001 SEDOL: BN574F9	4,215.000	284,700.45	271,867.11
Total Switzerland - GBP		284,700.45	271,867.11
Switzerland - USD			
CRISPR THERAPEUTICS AG COM CHF0.03 CUSIP: H17182108	200.000	18,066.80	32,378.00
Total Switzerland - USD		18,066.80	32,378.00
United Kingdom - EUR			
ALLFUNDS GROUP PLC EUR0.0025 SEDOL: BNTJ354	15,652.000	216,402.61	272,448.74
Total United Kingdom - EUR		216,402.61	272,448.74
United Kingdom - GBP			
ABCAM SEDOL: B677469	8,723.000	195,669.44	166,415.88
AJ BELL PLC ORD GBP0.000125 SEDOL: BFZNLB6	32,292.000	176,036.64	193,517.27
AUTO TRADER GROUP ORD GBP0.01 SEDOL: BVYVFW2	55,643.000	287,644.71	486,882.11
BERKLEY GP HOLDINGS SEDOL: B02L3W3	3,728.000	164,290.68	236,644.62
DR. MARTENS PLC ORD GBP0.01 SEDOL: BL6NGV2	44,336.000	225,067.30	272,553.49
ELECTROCOMPONENTS ORD GBP0.10 SEDOL: 0309644	25,341.000	332,140.73	360,225.41
EXPERIAN ORD USD0.10 SEDOL: B19NLV4	8,188.000	234,653.97	315,133.21
FUNDSMITH EMERGING ORD GBP0.01 SEDOL: BLSNND1	16,419.000	215,570.68	317,548.42
HARGREAVES LANSDOW ORD GBP0.004 SEDOL: B1VZ0M2	9,402.000	174,787.31	206,385.59
JPMORGAN EMER MKTS JPMORGAN EMER MKTS SEDOL: BMXWN18	106,707.000	104,892.77	197,235.12

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
Corporate Stock - Common			
United Kingdom - GBP			
LONDON STOCK EXCHANGE GROUP ORD GBP0.06918604 SEDOL: B0SWJX3	2,747.000	108,039.42	302,449.03
RELX PLC SEDOL: B2B0DG9	13,093.000	249,169.54	347,095.80
RENISHAW ORD GBP0.20 SEDOL: 0732358	1,907.000	83,783.96	129,771.80
RIGHTMOVE COM STCK SEDOL: BGD3G2	33,048.000	248,604.01	296,478.14
SPIRAX-SARCO ENGINEERING ORD GBP0.269230769 SEDOL: BWFGQN1	2,266.000	153,804.83	426,199.34
THG PLC GBP0.005 SEDOL: BMTV739	44,892.000	292,746.35	378,297.97
Total United Kingdom - GBP		3,246,902.34	4,632,833.20
United Kingdom - USD			
ADR UNILEVER PLC SPONSORED ADR NEW CUSIP: 904767704	18,000.000	1,099,080.00	1,053,000.00
Total United Kingdom - USD		1,099,080.00	1,053,000.00
United States - CHF			
POLYPEPTIDE GROUP CHF0.01 SEDOL: BNC0LN8	4,820.000	337,819.64	445,316.17
Total United States - CHF		337,819.64	445,316.17
United States - USD			
#REORG/ ALEXION PHARMACEUTICALS STOCK MERGER 07-21-2021 CUSIP: 015351109	2,260.000	232,963.30	415,184.60
#REORG/ LONESTAR RES US STOCK MERGER PENN VA CORP 2C1QAE2 10-07-2021 SEDOL: BNKD5M6	11,904.000	310,000.00	122,016.00
#REORG/PIONEER ENERGY STOCK MERGER PATTERSON 2700290 10-04-2021 SEDOL: BMVBCT8	1,830.000	499,150.00	71,064.45
#REORG/SEAGATE TECHNOLOGY PLAN OR REORG SEAGATE TECHNOLOGY 2W1RAX3 05-19-2021 CUSIP: G7945M107	0.000	0.00	0.00
ABBOTT LAB COM CUSIP: 002824100	9,900.000	919,687.74	1,147,707.00

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Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
ABBVIE INC COM USD0.01 CUSIP: 00287Y109	3,100.000	218,579.60	349,184.00
ABIOMED INC COM CUSIP: 003654100	416.000	119,599.03	129,837.76
ACADIA HEALTHCARE CO INC COM CUSIP: 00404A109	499.000	21,312.27	31,312.25
ACADIA PHARMACEUTICALS INC COM CUSIP: 004225108	1,423.000	66,197.92	34,706.97
ACCELERON PHARMA INC COM CUSIP: 00434H108	620.000	62,385.21	77,803.80
ACTIVISION BLIZZARD INC COM STK CUSIP: 00507V109	12,000.000	1,131,273.35	1,145,280.00
ACUITY BRANDS INC COM CUSIP: 00508Y102	1,500.000	193,273.31	280,545.00
ADAPTIVE BIOTECHNOLOGIES CORP COM USD0.0001 CUSIP: 00650F109	883.000	37,412.49	36,079.38
ADOBE SYS INC COM CUSIP: 00724F101	2,400.000	779,241.91	1,405,536.00
** AFFIRM HLDGS INC CL A CL A CUSIP: 00827B106	421.000	24,104.48	28,354.35
AFLAC INC COM CUSIP: 001055102	5,100.000	163,675.26	273,666.00
AGCO CORP COM CUSIP: 001084102	2,300.000	170,832.50	299,874.00
AGILENT TECHNOLOGIES INC COM CUSIP: 00846U101	988.000	86,969.89	146,036.28
** AGILON HEALTH INC COM CUSIP: 00857U107	913.000	20,999.00	37,040.41
AGIOS PHARMACEUTICALS INC COM CUSIP: 00847X104	513.000	21,712.25	28,271.43
AIR PROD & CHEM INC COM CUSIP: 009158106	4,000.000	462,664.21	1,150,720.00
AKAMAI TECHNOLOGIES INC COM STK CUSIP: 00971T101	1,055.000	116,254.06	123,013.00
ALASKA AIR GROUP INC COM CUSIP: 011659109	1,100.000	69,404.57	66,341.00

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<i>Corporate Stock - Common</i>			
United States - USD			
ALBEMARLE CORP COM CUSIP: 012653101	210.000	32,631.52	35,376.60
ALIGN TECHNOLOGY INC COM CUSIP: 016255101	478.000	140,356.49	292,058.00
ALLEGION PLC COMMON STOCK CUSIP: G0176J109	225.000	16,864.57	31,342.50
ALLISON TRANSMISSION HOLDING CUSIP: 01973R101	2,900.000	130,446.02	115,246.00
ALLSTATE CORP COM CUSIP: 020002101	2,400.000	94,337.61	313,056.00
ALNYLAM PHARMACEUTICALS INC COM CUSIP: 02043Q107	1,003.000	127,823.33	170,028.56
ALPHABET INC CAPITAL STOCK USD0.001 CL A CUSIP: 02079K305	650.000	382,243.66	1,587,163.50
ALTICE USA INC CL A CL A CUSIP: 02156K103	3,607.000	100,885.68	123,142.98
ALTRIA GROUP INC COM CUSIP: 02209S103	6,400.000	247,397.76	305,152.00
AMAZON COM INC COM CUSIP: 023135106	400.000	495,434.83	1,376,064.00
AMC NETWORKS INC CL A CUSIP: 00164V103	2,600.000	175,589.70	173,680.00
AMEDISYS INC COM CUSIP: 023436108	385.000	70,125.19	94,298.05
AMER FINL GROUP INC OH COM STK CUSIP: 025932104	3,300.000	221,255.09	411,576.00
AMERICAN EXPRESS CO CUSIP: 025816109	8,000.000	486,354.48	1,321,840.00
AMERIPRISE FINL INC COM CUSIP: 03076C106	1,400.000	54,991.15	348,432.00
AMETEK INC NEW COM CUSIP: 031100100	238.000	9,100.57	31,773.00
AMGEN INC COM CUSIP: 031162100	5,700.000	703,148.42	1,389,375.00
AMPHENOL CORP NEW CL A CUSIP: 032095101	4,276.000	158,357.66	292,521.16

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Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
ANAPLAN INC COM CUSIP: 03272L108	1,908.000	109,564.11	101,696.40
ANSYS INC COM CUSIP: 03662Q105	485.000	132,976.11	168,324.10
APPLE INC COM STK CUSIP: 037833100	11,000.000	218,556.48	1,506,560.00
APPLIED MATERIALS INC COM CUSIP: 038222105	3,700.000	222,081.39	526,880.00
APTIV PLC COM USD CUSIP: G6095L109	509.000	62,306.43	80,080.97
ARCHER-DANIELS-MIDLAND CO COM CUSIP: 039483102	20,100.000	748,332.73	1,218,060.00
ARROW ELECTR INC COM CUSIP: 042735100	2,400.000	189,425.01	273,192.00
ASPEN TECHNOLOGY INC COM CUSIP: 045327103	592.000	75,002.68	81,423.68
ASSURANT INC COM CUSIP: 04621X108	250.000	22,634.54	39,045.00
AT&T INC COM CUSIP: 00206R102	15,900.000	503,006.09	457,602.00
AUTOMATIC DATA PROCESSING INC COM CUSIP: 053015103	6,175.000	425,410.05	1,226,478.50
AUTOZONE INC COM CUSIP: 053332102	153.000	150,516.65	228,309.66
AVALARA INC COM CUSIP: 05338G106	931.000	109,182.65	150,635.80
AVANTOR INC COM CUSIP: 05352A100	6,022.000	113,892.23	213,841.22
AVERY DENNISON CORP COM CUSIP: 053611109	377.000	42,481.18	79,260.48
BALL CORP COM CUSIP: 058498106	1,591.000	92,317.20	128,902.82
BANK NEW YORK MELLON CORP COM STK CUSIP: 064058100	7,200.000	328,313.70	368,856.00
BANK OF AMERICA CORP CUSIP: 060505104	10,500.000	301,877.32	432,915.00

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Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
BECTON DICKINSON & CO COM CUSIP: 075887109	4,500.000	555,916.79	1,094,355.00
BENTLEY SYS INC CL B CL B CUSIP: 08265T208	579.000	16,877.94	37,507.62
BERRY GLOBAL GROUP INC COM USD0.01 CUSIP: 08579W103	5,040.000	237,099.68	328,708.80
BEST BUY INC COM STK CUSIP: 086516101	1,700.000	132,837.64	195,466.00
BIG LOTS INC COM CUSIP: 089302103	2,700.000	85,686.57	178,227.00
BILL COM HLDGS INC COM CUSIP: 090043100	966.000	118,823.89	176,951.88
BIO RAD LABS INC CL A CUSIP: 090572207	250.000	149,702.40	161,072.50
BIOGEN INC COMMON STOCK CUSIP: 09062X103	300.000	69,790.75	103,881.00
BIOMARIN PHARMACEUTICAL INC COM ISIN CH0008107010 CUSIP: 09061G101	1,169.000	102,881.41	97,541.36
BLACK KNIGHT INC COM USD0.0001 WI CUSIP: 09215C105	1,528.000	87,138.81	119,153.44
BLACKROCK INC COM STK CUSIP: 09247X101	1,600.000	634,122.20	1,399,952.00
BLOCK H & R INC COM CUSIP: 093671105	10,100.000	164,662.50	237,148.00
BLUEPRINT MEDICINES CORP COM CUSIP: 09627Y109	667.000	56,190.23	58,669.32
BOOZ ALLEN HAMILTON HLDG CORP CL A COM STK CUSIP: 099502106	1,483.000	76,777.29	126,321.94
BOSTON BEER INC CL A CL A CUSIP: 100557107	107.000	105,618.64	109,225.60
BRIGHT HEALTH GROUP INC COM CUSIP: 10920V107	1,389.000	25,002.00	23,835.24
BRIGHT HORIZONS FA COM USD0.001 CUSIP: 109194100	614.000	72,959.83	90,325.54
BRISTOL MYERS SQUIBB CO COM CUSIP: 110122108	8,000.000	447,182.09	534,560.00

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
BROADRIDGE FINL SOLUTIONS INC COM STK CUSIP: 11133T103	1,215.000	156,610.61	196,258.95
BROWN-FORMAN INC CL B NON-VTG COM CUSIP: 115637209	1,792.000	74,425.28	134,292.48
BRUKER CORP CUSIP: 116794108	423.000	10,814.40	32,139.54
** BUMBLE INC COM CL A COM CL A CUSIP: 12047B105	1,070.000	46,010.00	61,632.00
BURLINGTON STORES INC COM CUSIP: 122017106	638.000	101,326.47	205,429.62
BWX TECHNOLOGIES INC COM CUSIP: 05605H100	524.000	28,754.00	30,454.88
CABLE ONE INC COM CUSIP: 12685J105	164.000	299,517.46	313,700.84
CABOT CORP COM CUSIP: 127055101	4,600.000	174,230.24	261,878.00
CADENCE DESIGN SYS INC COM CUSIP: 127387108	2,974.000	246,303.84	406,902.68
CAPITAL ONE FINL CORP COM CUSIP: 14040H105	1,200.000	55,743.10	185,628.00
CARDINAL HLTH INC CUSIP: 14149Y108	5,700.000	389,938.48	325,413.00
CARMAX INC COM CUSIP: 143130102	939.000	68,291.42	121,271.85
CARNIVAL CORP COM PAIRED CUSIP: 143658300	1,700.000	83,194.62	44,812.00
CARVANA CO CL A CL A CUSIP: 146869102	500.000	149,789.04	150,910.00
CASEYS GEN STORES INC COM CUSIP: 147528103	146.000	19,826.92	28,417.44
CATALENT INC COM CUSIP: 148806102	1,232.000	87,957.06	133,203.84
CATERPILLAR INC COM CUSIP: 149123101	5,500.000	436,271.04	1,196,965.00
CBOE GLOBAL MARKETS INC CUSIP: 12503M108	285.000	22,486.40	33,929.25

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<i>Corporate Stock - Common</i>			
United States - USD			
CDW CORP COM CUSIP: 12514G108	1,539.000	149,531.93	268,786.35
CELANESE CORP DEL COM SER A STK CUSIP: 150870103	1,700.000	175,719.32	257,720.00
CENT GARDEN & PET CO CL A CUSIP: 153527205	2,500.000	76,524.82	120,750.00
CENTENE CORP DEL COM CUSIP: 15135B101	440.000	24,262.81	32,089.20
CERIDIAN HCM HLDG INC COM CUSIP: 15677J108	1,058.000	65,956.62	101,483.36
CF INDS HLDGS INC COM CUSIP: 125269100	700.000	35,455.42	36,015.00
CHEWY INC CLASS A CUSIP: 16679L109	1,064.000	59,190.13	84,811.44
CHIPOTLE MEXICAN GRILL INC COM STK CUSIP: 169656105	299.000	330,395.21	463,551.66
CHURCH & DWIGHT INC COM CUSIP: 171340102	1,061.000	69,595.90	90,418.42
CIENA CORP COM NEW CUSIP: 171779309	4,300.000	170,651.75	244,627.00
CINTAS CORP COM CUSIP: 172908105	725.000	166,140.19	276,950.00
CISCO SYSTEMS INC CUSIP: 17275R102	28,500.000	804,459.15	1,510,500.00
CITIGROUP INC COM NEW COM NEW CUSIP: 172967424	9,800.000	1,140,976.24	693,350.00
CITIZENS FINL GROUP INC COM CUSIP: 174610105	9,500.000	390,497.17	435,765.00
CITRIX SYS INC COM CUSIP: 177376100	510.000	70,598.87	59,807.70
CLARIVATE PLC CUSIP: G21810109	1,024.000	29,095.48	28,190.72
CLOROX CO COM CUSIP: 189054109	363.000	62,585.66	65,307.33
COGNEX CORP COM CUSIP: 192422103	1,172.000	46,756.05	98,506.60

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◆ Schedule of Assets Held for Investment Purposes

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<i>Corporate Stock - Common</i>			
United States - USD			
COMCAST CORP NEW-CL A CUSIP: 20030N101	8,200.000	347,743.62	467,564.00
CONAGRA BRANDS INC COM USD5 CUSIP: 205887102	9,000.000	291,901.66	327,420.00
CONFLUENT INC CL A CL A CUSIP: 20717M103	409.000	14,724.00	19,427.50
CONSTELLATION BRANDS INC CL A CL A CUSIP: 21036P108	225.000	41,690.96	52,625.25
COOPER COS INC COM NEW COM NEW CUSIP: 216648402	243.000	57,316.73	96,293.61
COPART INC COM CUSIP: 217204106	2,259.000	171,739.51	297,803.97
CORNING INC COM CUSIP: 219350105	28,000.000	546,044.32	1,145,200.00
COSTAR GROUP INC COM CUSIP: 22160N109	4,560.000	255,059.62	377,659.20
COSTCO WHOLESALE CORP NEW COM CUSIP: 22160K105	3,300.000	552,099.36	1,305,711.00
COUPA SOFTWARE INC COM CUSIP: 22266L106	827.000	175,904.17	216,764.97
CRANE CO COM CUSIP: 224399105	2,990.000	158,587.28	276,186.30
CROWDSTRIKE HLDGS INC CL A CL A CUSIP: 22788C105	1,238.000	143,223.86	311,121.78
CROWN HLDGS INC COM CUSIP: 228368106	2,000.000	210,921.03	204,420.00
CUMMINS INC CUSIP: 231021106	1,800.000	226,917.34	438,858.00
CVS HEALTH CORP COM CUSIP: 126650100	6,600.000	398,522.61	550,704.00
DARLING INGREDIENTS INC COMSTK CUSIP: 237266101	1,367.000	92,258.45	92,272.50
DATADOG INC COM USD0.00001 CL A CUSIP: 23804L103	2,073.000	164,884.45	215,757.84
DAVITA INC COM CUSIP: 23918K108	2,371.000	198,048.58	285,539.53

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<i>Corporate Stock - Common</i>			
United States - USD			
DENALI THERAPEUTICS INC COM CUSIP: 24823R105	433.000	19,115.53	33,964.52
DEVON ENERGY CORP NEW COM CUSIP: 25179M103	4,700.000	135,119.06	137,193.00
DEXCOM INC COM CUSIP: 252131107	353.000	116,292.23	150,731.00
DICKS SPORTING GOODS INC OC-COM OC-COM CUSIP: 253393102	3,000.000	173,731.48	300,570.00
DISCOVER FINL SVCS COM STK CUSIP: 254709108	2,400.000	79,245.15	283,896.00
DOCUSIGN INC COM CUSIP: 256163106	1,649.000	237,148.47	461,010.93
DOLLAR TREE INC COM STK CUSIP: 256746108	744.000	58,367.32	74,028.00
DOMINOS PIZZA INC COM CUSIP: 25754A201	527.000	180,602.84	245,840.23
** DOUBLEVERIFY HLDGS INC COM CUSIP: 25862V105	850.000	34,016.46	35,989.00
DXC TECHNOLOGY CO COM CUSIP: 23355L106	1,228.000	45,291.15	47,818.32
DYNATRACE INC COM CUSIP: 268150109	1,047.000	31,835.17	61,165.74
EASTMAN CHEM CO COM CUSIP: 277432100	2,200.000	223,231.68	256,850.00
EBAY INC COM USD0.001 CUSIP: 278642103	6,100.000	266,575.98	428,281.00
ELANCO ANIMAL HEALTH INC COM CUSIP: 28414H103	1,409.000	38,451.59	48,878.21
ELECTR ARTS COM CUSIP: 285512109	371.000	38,840.73	53,360.93
EMERSON ELECTRIC CO COM CUSIP: 291011104	14,000.000	617,196.61	1,347,360.00
ENPHASE ENERGY INC COM CUSIP: 29355A107	1,295.000	169,396.52	237,800.85
ENTEGRIS INC COM CUSIP: 29362U104	2,234.000	119,987.65	274,714.98

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Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
EPAM SYS INC COM STK CUSIP: 29414B104	615.000	184,348.73	314,240.40
EQUIFAX INC COM CUSIP: 294429105	942.000	119,635.67	225,618.42
ETSY INC COM CUSIP: 29786A106	1,345.000	157,666.25	276,854.80
EURONET WORLDWIDE INC COM CUSIP: 298736109	356.000	41,463.25	48,184.60
EXACT SCIENCES CORP COM CUSIP: 30063P105	1,339.000	110,467.83	166,451.09
EXELIXIS INC COM STK CUSIP: 30161Q104	2,081.000	53,017.59	37,915.82
EXELON CORP COM CUSIP: 30161N101	4,900.000	141,523.10	217,119.00
EXPEDITORS INTL WASH INC COM CUSIP: 302130109	257.000	12,847.38	32,536.20
EXXON MOBIL CORP COM CUSIP: 30231G102	20,400.000	929,458.55	1,286,832.00
FACTSET RESH SYS INC COM STK CUSIP: 303075105	98.000	14,682.88	32,889.78
FASTENAL CO COM CUSIP: 311900104	573.000	12,027.31	29,796.00
FATE THERAPEUTICS INC COM CUSIP: 31189P102	350.000	29,925.00	30,376.50
FEDEX CORP COM CUSIP: 31428X106	740.000	132,679.43	220,764.20
FIRST HORIZON CORPORATION COM CUSIP: 320517105	11,700.000	207,203.08	202,176.00
FIRST REP BK SAN FRANCISCO CALIF NEW COM CUSIP: 33616C100	176.000	16,585.95	32,941.92
FIVE BELOW INC COM USD0.01 CUSIP: 33829M101	628.000	73,663.25	121,373.56
FIVE9 INC COM CUSIP: 338307101	788.000	89,345.49	144,511.32
FLEETCOR TECHNOLOGIES INC COM CUSIP: 339041105	930.000	195,972.86	238,135.80

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<i>Corporate Stock - Common</i>			
United States - USD			
FOOT LOCKER INC COM CUSIP: 344849104	5,300.000	201,573.48	326,639.00
FORD MTR CO DEL COM PAR \$0.01 COM PAR \$0.01 CUSIP: 345370860	28,300.000	284,117.92	420,538.00
FORTINET INC COM CUSIP: 34959E109	1,634.000	160,433.39	389,202.46
FORTUNE BRANDS HOME & SEC INC COM CUSIP: 34964C106	864.000	66,853.63	86,063.04
FOX CORP CL A CL A CUSIP: 35137L105	200.000	7,368.54	7,426.00
F5 NETWORKS INC COM STK CUSIP: 315616102	800.000	114,142.34	149,328.00
GARTNER INC COM CUSIP: 366651107	701.000	70,942.41	169,782.20
GEN MTRS CO COM CUSIP: 37045V100	4,800.000	162,633.10	284,016.00
GENERAC HLDGS INC COM STK CUSIP: 368736104	621.000	77,365.14	257,808.15
GENERAL DYNAMICS CORP COM CUSIP: 369550108	7,200.000	800,334.26	1,355,472.00
GILEAD SCIENCES INC CUSIP: 375558103	3,400.000	351,430.34	234,124.00
GODADDY INC CL A CL A CUSIP: 380237107	1,845.000	135,836.40	160,441.20
GOLDMAN SACHS GROUP INC COM CUSIP: 38141G104	1,200.000	214,803.41	455,436.00
GOODYEAR TIRE & RUBBER CO COM CUSIP: 382550101	7,200.000	214,086.79	123,480.00
GRACO INC COM CUSIP: 384109104	394.000	12,499.20	29,825.80
GRAND CANYON ED INC COM STK CUSIP: 38526M106	310.000	26,744.87	27,890.70
GUIDEWIRE SOFTWARE INC COM USD0.0001 CUSIP: 40171V100	274.000	18,736.75	30,885.28
HANESBRANDS INC COM STK CUSIP: 410345102	11,700.000	168,142.23	218,439.00

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<i>Corporate Stock - Common</i>			
United States - USD			
HARLEY DAVIDSON COM USD0.01 CUSIP: 412822108	6,200.000	274,132.94	284,084.00
HARTFORD FINL SVCS GROUP INC COM CUSIP: 416515104	4,900.000	175,066.33	303,653.00
HCA HEALTHCARE INC COM CUSIP: 40412C101	2,100.000	165,371.62	434,154.00
HERSHEY COMPANY COM STK USD1 CUSIP: 427866108	1,116.000	127,781.64	194,384.88
HEWLETT PACKARD ENTERPRISE CO COM CUSIP: 42824C109	25,900.000	233,416.17	377,622.00
HEXCEL CORP NEW COM CUSIP: 428291108	521.000	34,999.10	32,510.40
HILL-ROM HLDGS INC COM STK CUSIP: 431475102	800.000	88,107.15	90,872.00
HILTON WORLDWIDE HLDGS INC COM NEW COM NEW CUSIP: 43300A203	1,220.000	152,931.54	147,156.40
HOLOGIC INC COM CUSIP: 436440101	1,809.000	91,745.79	120,696.48
HOME DEPOT INC COM CUSIP: 437076102	4,400.000	328,242.37	1,403,116.00
HORIZON THERAPEUTICS PLC COM USD0.0001 CUSIP: G46188101	905.000	66,324.98	84,744.20
HP INC COM CUSIP: 40434L105	13,920.000	217,735.49	420,244.80
HUBBELL INC COM CUSIP: 443510607	191.000	22,089.75	35,686.44
HUBSPOT INC COM CUSIP: 443573100	550.000	152,480.08	320,496.00
HUNT J B TRANS SVCS INC COM CUSIP: 445658107	177.000	16,476.66	28,842.15
HUNTINGTON INGALLS INDS INC COM CUSIP: 446413106	766.000	149,875.20	161,434.50
HUNTSMAN CORP COM STK CUSIP: 447011107	10,300.000	174,894.57	273,156.00
IAA SPINCO INC CUSIP: 449253103	1,669.000	63,462.92	91,027.26

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<i>Corporate Stock - Common</i>			
United States - USD			
IAC/INTERACTIVECORP NEW COM NEW COM NEW CUSIP: 44891N208	787.000	132,735.42	121,331.79
ICU MED INC COM CUSIP: 44930G107	152.000	34,028.40	31,281.60
IDEX CORP COM CUSIP: 45167R104	145.000	4,882.31	31,907.25
IDEXX LABS INC COM CUSIP: 45168D104	502.000	100,376.01	317,038.10
ILL TOOL WKS INC COM CUSIP: 452308109	5,400.000	457,671.76	1,207,224.00
INCYTE CORP COM CUSIP: 45337C102	2,042.000	178,765.53	171,793.46
INGREDION INC COM CUSIP: 457187102	3,100.000	156,073.75	280,550.00
INSIGHT ENTERPRISES INC COM CUSIP: 45765U103	1,900.000	31,390.55	190,019.00
INTEL CORP COM CUSIP: 458140100	36,100.000	1,276,925.26	2,026,654.00
INTERNATIONAL BUSINESS MACHS CORP COM CUSIP: 459200101	2,100.000	281,616.06	307,839.00
INTL PAPER CO COM CUSIP: 460146103	25,200.000	823,346.65	1,545,012.00
IONIS PHARMACEUTICALS INC COM CUSIP: 462222100	800.000	40,040.64	31,912.00
IPG PHOTONICS CORP COM CUSIP: 44980X109	147.000	16,269.61	30,983.19
IQVIA HLDGS INC COM USD0.01 CUSIP: 46266C105	536.000	53,907.97	129,883.52
JAZZ PHARMACEUTICALS PLC COM USD0.0001 CUSIP: G50871105	1,900.000	259,948.65	337,516.00
JOHNSON & JOHNSON COM USD1 CUSIP: 478160104	6,600.000	523,590.67	1,087,284.00
JOHNSON OUTDOORS INC CL A CUSIP: 479167108	1,600.000	131,032.00	193,600.00
JPMORGAN CHASE & CO COM CUSIP: 46625H100	8,000.000	478,139.97	1,244,320.00

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<i>Corporate Stock - Common</i>			
United States - USD			
KEYSIGHT TECHNOLOGIES INC COM CUSIP: 49338L103	654.000	39,108.66	100,984.14
KLA CORPORATION COM USD0.001 CUSIP: 482480100	808.000	118,694.76	261,961.68
KODIAK SCIENCES INC COM USD0.0001 CUSIP: 50015M109	339.000	37,244.14	31,527.00
KOHL'S CORP COM CUSIP: 500255104	2,000.000	101,038.10	110,220.00
KRAFT HEINZ CO COM CUSIP: 500754106	7,400.000	250,921.55	301,772.00
KROGER CO COM CUSIP: 501044101	8,800.000	239,400.69	337,128.00
LAM RESH CORP COM CUSIP: 512807108	300.000	70,046.00	195,210.00
LANDSTAR SYS INC COM CUSIP: 515098101	194.000	13,473.16	30,655.88
LATTICE SEMICONDUCTOR CORP COM CUSIP: 518415104	686.000	31,528.16	38,539.48
LEAR CORP COM NEW COM NEW CUSIP: 521865204	1,200.000	58,521.13	210,336.00
LEGALZOOM COM INC COM CUSIP: 52466B103	224.000	6,272.00	8,478.40
LEIDOS HLDGS INC COM CUSIP: 525327102	522.000	40,875.33	52,774.20
LENNAR CORP CL A CL A CUSIP: 526057104	2,400.000	196,044.00	238,440.00
LINCOLN NATL CORP COM CUSIP: 534187109	4,100.000	199,758.53	257,644.00
LITTELFUSE INC COM CUSIP: 537008104	120.000	21,957.10	30,574.80
LULULEMON ATHLETICA INC COM CUSIP: 550021109	1,143.000	282,082.36	417,160.71
LYONDELLBASELL IND N V COM USD0.01 CL 'A' CUSIP: N53745100	2,900.000	241,217.76	298,323.00
L3HARRIS TECHNOLOGIES INC COM CUSIP: 502431109	1,000.000	208,843.60	216,150.00

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<i>Corporate Stock - Common</i>			
United States - USD			
MANHATTAN ASSOCS INC COM CUSIP: 562750109	810.000	88,358.62	117,320.40
MARATHON PETE CORP COM CUSIP: 56585A102	2,500.000	175,412.68	151,050.00
MARKETAXESS HLDGS INC COM STK CUSIP: 57060D108	570.000	225,869.25	264,246.30
MARVELL TECHNOLOGY INC COM CUSIP: 573874104	1,061.000	50,299.39	61,888.13
MASTEC INC COM CUSIP: 576323109	3,400.000	143,537.12	360,740.00
MATCH GROUP INC NEW COM CUSIP: 57667L107	2,623.000	279,121.69	422,958.75
MATTHEWS INTL CORP CL A CL A CUSIP: 577128101	5,900.000	131,953.50	212,164.00
MC CORMICK & CO INC COM NON-VTG CUSIP: 579780206	751.000	45,189.73	66,328.32
MC DONALDS CORP COM CUSIP: 580135101	5,000.000	338,766.86	1,154,950.00
MCKESSON CORP CUSIP: 58155Q103	4,166.000	646,448.80	796,705.84
MDU RES GROUP INC COM CUSIP: 552690109	12,200.000	274,811.78	382,348.00
MERCK & CO INC NEW COM CUSIP: 58933Y105	10,400.000	735,466.31	808,808.00
METLIFE INC COM STK USD0.01 CUSIP: 59156R108	7,200.000	269,268.63	430,920.00
METTLER-TOLEDO INTL INC COM CUSIP: 592688105	179.000	96,401.17	247,975.86
MGM RESORTS INTERNATIONAL COM CUSIP: 552953101	5,723.000	215,202.25	244,085.95
MICROCHIP TECHNOLOGY INC COM CUSIP: 595017104	2,255.000	203,902.30	337,663.70
MICROSOFT CORP COM CUSIP: 594918104	5,400.000	272,700.01	1,462,860.00
MIDDLEBY CORP COM CUSIP: 596278101	187.000	20,568.54	32,399.62

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<i>Corporate Stock - Common</i>			
United States - USD			
MIRATI THERAPEUTICS INC COM CUSIP: 60468T105	170.000	34,340.00	27,460.10
MKS INSTRS INC COM CUSIP: 55306N104	160.000	20,090.33	28,472.00
MOLINA HEALTHCARE INC COM CUSIP: 60855R100	397.000	49,539.82	100,464.82
MOLSON COORS BEVERAGE COMPANY COM USD0.01 CLASS B CUSIP: 60871R209	4,400.000	147,686.00	236,236.00
MONDAY COM LTD COM NPV CUSIP: M7S64H106	72.000	11,160.00	16,098.48
MONGODB INC CL A CL A CUSIP: 60937P106	518.000	121,378.39	187,267.36
MONOLITHIC PWR SYS INC COM CUSIP: 609839105	641.000	142,686.96	239,381.45
MOOG INC CL A CUSIP: 615394202	2,100.000	133,423.50	176,526.00
MORGAN STANLEY COM STK USD0.01 CUSIP: 617446448	20,200.000	797,252.20	1,852,138.00
MOTOROLA SOLUTIONS INC CUSIP: 620076307	313.000	36,403.45	67,874.05
MSCI INC COMMON CUSIP: 55354G100	558.000	154,821.04	297,458.64
** MULTIPLAN CORP CL A CL A CUSIP: 62548M100	3,700.000	35,953.15	35,224.00
N V R INC COM CUSIP: 62944T105	30.000	85,399.42	149,199.00
NASDAQ INC CUSIP: 631103108	201.000	16,163.40	35,335.80
NATERA INC COM CUSIP: 632307104	585.000	65,325.75	66,415.05
NATL FUEL GAS CO COM CUSIP: 636180101	3,300.000	180,231.41	172,425.00
NCINO INC COM CUSIP: 63947U107	1,500.000	110,415.79	89,880.00
NEUROCRINE BIOSCIENCES INC COM CUSIP: 64125C109	986.000	91,421.08	95,957.52

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<i>Corporate Stock - Common</i>			
United States - USD			
NEXTERA ENERGY INC COM CUSIP: 65339F101	16,600.000	1,031,058.57	1,216,448.00
NORTHROP GRUMMAN CORP COM CUSIP: 666807102	700.000	209,516.90	254,401.00
NOVOCURE LTD COM USD0.00 CUSIP: G6674U108	1,079.000	119,687.35	239,343.78
NRG ENERGY INC COM NEW CUSIP: 629377508	4,200.000	128,373.57	169,260.00
NUCOR CORP COM CUSIP: 670346105	12,000.000	461,130.45	1,151,160.00
NVIDIA CORP COM CUSIP: 67066G104	1,900.000	444,264.42	1,520,190.00
O REILLY AUTOMOTIVE INC NEW COM USD0.01 CUSIP: 67103H107	534.000	192,139.38	302,356.14
OKTA INC CL A CL A CUSIP: 679295105	1,411.000	250,421.81	345,243.48
OLD DOMINION FREIGHT LINE INC COM CUSIP: 679580100	612.000	70,357.79	155,325.60
OLD REP INTL CORP COM CUSIP: 680223104	11,600.000	171,081.00	288,956.00
OLLIES BARGAIN OUTLET HLDGS INC COM CUSIP: 681116109	2,155.000	181,826.46	181,300.15
ON SEMICONDUCTOR CORP COM CUSIP: 682189105	2,400.000	60,408.24	91,872.00
ORACLE CORP COM CUSIP: 68389X105	5,700.000	322,205.94	443,688.00
ORGANON & CO COM CUSIP: 68622V106	690.000	23,119.73	20,879.40
ORTHO CLINICAL DIAGNOSTICS HOLDINGS PLC USD0.00001 CUSIP: G6829J107	1,541.000	26,197.00	32,992.81
OSHKOSH CORPORATION CUSIP: 688239201	2,200.000	160,060.92	274,208.00
OSI SYS INC COM CUSIP: 671044105	1,000.000	78,594.15	101,640.00
OTIS WORLDWIDE CORP COM USD0.01 WI CUSIP: 68902V107	650.000	41,273.03	53,150.50

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
OWENS CORNING NEW COM STK CUSIP: 690742101	2,300.000	158,274.50	225,170.00
PACCAR INC COM CUSIP: 693718108	499.000	37,867.96	44,535.75
PACIFIC BIOSCIENCES OF CALIFORNIA INC COMMON STOCK CUSIP: 69404D108	1,100.000	33,850.63	38,467.00
PALO ALTO NETWORKS INC COM USD0.0001 CUSIP: 697435105	1,035.000	251,413.85	384,036.75
PAPA JOHNS INTL INC COM CUSIP: 698813102	330.000	20,056.15	34,465.20
PAYCHEX INC COM CUSIP: 704326107	631.000	27,431.69	67,706.30
PAYCOM SOFTWARE INC COM CUSIP: 70432V102	676.000	181,808.09	245,705.72
PAYLOCITY HLDG CORP COM CUSIP: 70438V106	705.000	104,627.44	134,514.00
PAYPAL HLDGS INC COM CUSIP: 70450Y103	5,000.000	958,240.99	1,457,400.00
PBF ENERGY INC CL A CL A CUSIP: 69318G106	3,500.000	81,126.07	53,550.00
PENSKE AUTOMOTIVE GROUP INC COM STK CUSIP: 70959W103	3,400.000	159,188.30	256,666.00
PENUMBRA INC COM CUSIP: 70975L107	410.000	76,219.70	112,364.60
PEPSICO INC COM CUSIP: 713448108	7,500.000	595,987.62	1,111,275.00
PFIZER INC COM CUSIP: 717081103	46,100.000	1,376,590.97	1,805,276.00
PHILLIPS 66 COM CUSIP: 718546104	2,800.000	215,136.67	240,296.00
PINTEREST INC CL A CL A CUSIP: 72352L106	3,800.000	234,954.53	300,010.00
PIONEER NAT RES CO COM CUSIP: 723787107	820.000	132,333.49	133,266.40
PNC FINANCIAL SERVICES GROUP COM STK CUSIP: 693475105	800.000	129,826.27	152,608.00

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
POOL CORP COM STK CUSIP: 73278L105	80.000	17,044.99	36,692.80
PPG IND INC COM CUSIP: 693506107	980.000	166,820.26	166,374.60
** PROCORE TECHNOLOGIES INC COM CUSIP: 74275K108	240.000	17,945.14	22,788.00
PROCTER & GAMBLE COM NPV CUSIP: 742718109	7,800.000	605,896.45	1,052,454.00
PRUDENTIAL FINL INC COM CUSIP: 744320102	2,800.000	147,689.37	286,916.00
PTC INC COM CUSIP: 69370C100	1,192.000	110,505.89	168,381.92
PULTE GROUP INC CUSIP: 745867101	5,300.000	154,262.63	289,221.00
PURE STORAGE INC CL A CL A CUSIP: 74624M102	1,302.000	25,572.42	25,428.06
QUALTRICS INTL INC CL A CL A CUSIP: 747601201	1,417.000	49,378.05	54,200.25
QUIDEL CORP COM CUSIP: 74838J101	263.000	51,781.72	33,695.56
RELIANCE STL & ALUM CO COM CUSIP: 759509102	1,700.000	173,476.50	256,530.00
RENT A CTR INC NEW COM CUSIP: 76009N100	4,500.000	126,055.74	238,815.00
REPLIGEN CORP COM STK USD0.01 CUSIP: 759916109	1,196.000	210,646.94	238,745.52
REPUBLIC SVCS INC COM CUSIP: 760759100	1,200.000	131,504.69	132,012.00
RESMED INC COM CUSIP: 761152107	755.000	148,525.82	186,122.60
RH COM CUSIP: 74967X103	115.000	45,476.94	78,085.00
RINGCENTRAL INC CL A CL A CUSIP: 76680R206	695.000	189,778.96	201,953.10
ROCKWELL AUTOMATION CUSIP: 773903109	480.000	96,065.95	137,289.60

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
ROKU INC COM CL A COM CL A CUSIP: 77543R102	965.000	240,762.33	443,176.25
ROLLINS INC COM CUSIP: 775711104	947.000	19,186.14	32,387.40
ROSS STORES INC COM CUSIP: 778296103	353.000	27,323.76	43,772.00
ROYALTY PHARMA PLC COM USD0.0001 CLASS A CUSIP: G7709Q104	735.000	20,580.00	30,127.65
RPM INTL INC CUSIP: 749685103	998.000	56,202.59	88,502.64
S.W. AIRL CO COM CUSIP: 844741108	1,300.000	71,494.38	69,017.00
SEAGATE TECHNOLOGY HOLDINGS PLC CUSIP: G7997R103	3,500.000	348,460.00	307,755.00
SEAGEN INC COM CUSIP: 81181C104	1,236.000	176,200.41	195,139.68
SEALED AIR CORP NEW COM STK CUSIP: 81211K100	543.000	21,959.42	32,172.75
SELECT MED HLDGS CORP COM CUSIP: 81619Q105	7,500.000	156,680.89	316,950.00
SELECTQUOTE INC COM CUSIP: 816307300	1,586.000	36,458.21	30,546.36
SENTINELONE INC CL A COM CL A COM CUSIP: 81730H109	566.000	19,810.00	24,055.00
SERVICE CORP INTL COM CUSIP: 817565104	642.000	21,647.68	34,404.78
SERVICE PPTYS TR COM SH BEN INT CUSIP: 81761L102	4,000.000	108,623.48	50,400.00
SHOALS TECHNOLOGIES GROUP INC CL A CL A CUSIP: 82489W107	1,148.000	36,159.80	40,754.00
SHOCKWAVE MED INC COM CUSIP: 82489T104	170.000	33,284.56	32,254.10
SILICON LABORATORIES INC COM CUSIP: 826919102	230.000	32,627.81	35,247.50
SIMMONS 1ST NATL CORP CL A \$0.01 PAR CL A \$0.01 PAR CUSIP: 828730200	8,400.000	133,224.00	246,456.00

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
SKYWORKS SOLUTIONS INC COM CUSIP: 83088M102	741.000	68,118.39	142,086.75
SM ENERGY CO COM SEDOL: 2764188	8,685.000	0.00	213,911.55
SMARTSHEET INC CL A CL A CUSIP: 83200N103	1,500.000	81,345.10	108,480.00
SMITH A O CORP COM CUSIP: 831865209	403.000	23,532.12	29,040.18
SMUCKER J M CO COM NEW CUSIP: 832696405	2,900.000	328,617.79	375,753.00
SNAP INC SNAP INC CUSIP: 83304A106	1,007.000	19,848.52	68,616.98
SPLUNK INC COMSTK COM USD0.001 CUSIP: 848637104	559.000	81,555.37	80,820.22
SPOTIFY TECHNOLOGY S A COM EUR0.025 CUSIP: L8681T102	1,340.000	303,672.31	369,290.60
SPROUTS FMRS MKT INC COM CUSIP: 85208M102	7,000.000	186,281.94	173,950.00
SQUARESPACE INC CL A CL A CUSIP: 85225A107	200.000	11,796.05	11,882.00
SS&C TECHNOLOGIES HLDGS INC COM CUSIP: 78467J100	818.000	38,672.88	58,945.08
STARBUCKS CORP COM CUSIP: 855244109	11,000.000	683,367.91	1,229,910.00
STATE STR CORP COM CUSIP: 857477103	3,600.000	186,525.19	296,208.00
STEEL DYNAMICS INC COM CUSIP: 858119100	500.000	31,315.35	29,800.00
STERIS PLC ORD USD0.001 CUSIP: G8473T100	326.000	37,447.77	67,253.80
STRYKER CORP CUSIP: 863667101	4,800.000	479,019.44	1,246,704.00
SVB FINANCIAL GROUP COMMON STOCK CUSIP: 78486Q101	74.000	9,392.63	41,175.82
SYNOPSIS INC COM CUSIP: 871607107	1,106.000	181,057.11	305,023.74

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
TAKE-TWO INTERACTIVE SOFTWARE INC COM STK USD0.01 CUSIP: 874054109	609.000	79,009.89	107,805.18
TELADOC HEALTH INC CUSIP: 87918A105	388.000	84,691.96	64,520.52
TELEFLEX INC COM CUSIP: 879369106	318.000	71,751.43	127,769.22
TERADYNE INC COM CUSIP: 880770102	1,595.000	126,410.42	213,666.20
TERMINIX GLOBAL HLDGS INC COM USD0.01 CUSIP: 88087E100	650.000	22,260.62	31,011.50
TEXAS INSTRUMENTS INC COM CUSIP: 882508104	7,500.000	889,996.33	1,442,250.00
TEXTRON INC COM CUSIP: 883203101	5,400.000	207,457.60	371,358.00
TG THERAPEUTICS INC COM CUSIP: 88322Q108	571.000	24,838.50	22,149.09
THE TRADE DESK INC COM CL A COM CL A CUSIP: 88339J105	4,300.000	239,691.72	332,648.00
TORO CO COM CUSIP: 891092108	281.000	16,396.95	30,876.28
TRACTOR SUPPLY CO COM CUSIP: 892356106	1,566.000	188,366.17	291,369.96
TRADEWEB MKTS INC CL A CL A CUSIP: 892672106	1,521.000	78,119.12	128,615.76
TRANE TECHNOLOGIES PLC COM USD1 CUSIP: G8994E103	530.000	53,333.15	97,594.20
TRANSDIGM GROUP INC COM CUSIP: 893641100	167.000	54,112.91	108,097.43
TRANSUNION COM CUSIP: 89400J107	1,804.000	95,520.79	198,097.24
TRAVEL + LEISURE CO COM USD0.01 CUSIP: 894164102	2,000.000	58,846.36	118,900.00
TRITON INTL LTD COM USD0.01 CL A CUSIP: G9078F107	3,600.000	146,430.00	188,424.00
TWILIO INC CL A CL A CUSIP: 90138F102	750.000	160,750.87	295,620.00

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
TYLER TECHNOLOGIES INC COM STK CUSIP: 902252105	391.000	103,258.33	176,876.67
TYSON FOODS INC CL A COM (DELAWARE) CUSIP: 902494103	5,919.000	397,276.40	436,585.44
UIPATH INC CL A CL A CUSIP: 90364P105	1,248.000	83,916.66	84,776.64
ULTA BEAUTY INC COM STK USD0.01 CUSIP: 90384S303	561.000	128,146.57	193,976.97
ULTRAGENYX PHARMACEUTICAL INC COM CUSIP: 90400D108	460.000	40,939.56	43,861.00
UNION PAC CORP COM CUSIP: 907818108	5,700.000	405,785.41	1,253,601.00
UNITED AIRLINES HOLDINGS INC COM USD0.01 CUSIP: 910047109	2,700.000	128,087.34	141,183.00
UNITED RENTALS INC COM CUSIP: 911363109	262.000	65,408.60	83,580.62
UNITED THERAPEUTICS CORP DEL COM STK CUSIP: 91307C102	178.000	26,146.23	31,934.98
UNUM GROUP CUSIP: 91529Y106	5,700.000	132,915.62	161,880.00
UPWORK INC COM CUSIP: 91688F104	983.000	45,638.98	57,299.07
US BANCORP CUSIP: 902973304	20,000.000	613,325.01	1,139,400.00
VALERO ENERGY CORP COM STK NEW CUSIP: 91913Y100	3,300.000	138,604.42	257,664.00
VALMONT INDS INC COM CUSIP: 920253101	126.000	14,521.38	29,742.30
VALVOLINE INC COM CUSIP: 92047W101	7,100.000	165,767.97	230,466.00
VEEVA SYS INC CL A COM CL A COM CUSIP: 922475108	1,427.000	278,135.97	443,725.65
VEREIT INC COM CUSIP: 92339V308	2,000.000	78,081.16	91,860.00
VERISIGN INC COM CUSIP: 92343E102	382.000	44,691.67	86,977.58

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
VERISK ANALYTICS INC COM USD0.001 CUSIP: 92345Y106	1,324.000	169,525.43	231,329.28
VERIZON COMMUNICATIONS COM CUSIP: 92343V104	33,400.000	1,596,940.16	1,871,402.00
VIACOMCBS INC NPV CLASS B CUSIP: 92556H206	6,377.000	224,598.22	288,240.40
VIATRIS INC CUSIP: 92556V106	1,340.000	15,126.36	19,148.60
VIMEO INC COM CUSIP: 92719V100	2,599.460	86,466.59	127,373.54
VISA INC COM CL A STK CUSIP: 92826C839	5,400.000	649,131.34	1,262,628.00
VISHAY INTERTECHNOLOGY INC COM STK CUSIP: 928298108	6,900.000	102,235.32	155,595.00
VISTRA CORP COM USD0.01 CUSIP: 92840M102	9,600.000	230,976.61	178,080.00
VOYA FINL INC COM CUSIP: 929089100	3,800.000	158,988.27	233,700.00
VULCAN MATERIALS CO COM CUSIP: 929160109	437.000	62,108.64	76,068.59
WALGREENS BOOTS ALLIANCE INC COM CUSIP: 931427108	4,300.000	304,043.65	226,223.00
WALMART INC COM CUSIP: 931142103	8,000.000	574,146.23	1,128,160.00
WALT DISNEY CO CUSIP: 254687106	6,600.000	408,817.14	1,160,082.00
WASTE CONNECTIONS INC COM CUSIP: 94106B101	1,093.000	101,217.19	130,536.99
WATSCO INC COM CUSIP: 942622200	109.000	19,392.94	31,243.76
** WAYFAIR INC CL A CL A CUSIP: 94419L101	600.000	171,757.19	189,426.00
WELLS FARGO & CO NEW COM STK CUSIP: 949746101	2,200.000	51,627.33	99,638.00
WEST PHARMACEUTICAL SVCS INC COM CUSIP: 955306105	564.000	119,884.75	202,532.40

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
WESTERN UNION CO CUSIP: 959802109	8,300.000	177,995.25	190,651.00
WESTROCK CO COM CUSIP: 96145D105	5,300.000	184,262.00	282,066.00
WEX INC COM CUSIP: 96208T104	271.000	40,902.11	52,546.90
WHIRLPOOL CORP COM CUSIP: 963320106	1,200.000	69,658.81	261,624.00
WILLIAMS SONOMA INC COM CUSIP: 969904101	557.000	59,367.42	88,925.05
WOODWARD INC COM CUSIP: 980745103	307.000	36,366.23	37,724.16
WORKIVA INC COM CL A COM CL A CUSIP: 98139A105	302.000	27,654.44	33,621.66
WYNN RESORTS LTD COM CUSIP: 983134107	651.000	73,643.86	79,617.30
XEROX HLDGS CORP COM NEW COM NEW CUSIP: 98421M106	4,800.000	151,872.00	112,752.00
YUM BRANDS INC COM CUSIP: 988498101	408.000	36,400.48	46,932.24
ZEBRA TECHNOLOGIES CORP CL A CUSIP: 989207105	477.000	120,263.79	252,566.73
ZENDESK INC COM CUSIP: 98936J101	1,039.000	64,745.70	149,969.26
ZIFF DAVIS INC COM USD0.001 CUSIP: 48123V102	2,000.000	140,955.43	275,100.00
ZIONS BANCORPORATION N A CUSIP: 989701107	3,800.000	179,299.62	200,868.00
ZOETIS INC COM USD0.01 CL 'A' CUSIP: 98978V103	6,700.000	323,119.52	1,248,612.00
ZOOMINFO TECHNOLOGIES INC COM USD0.01 CLASS A CUSIP: 98980F104	717.000	26,256.48	37,405.89
ZYNGA INC CUSIP: 98986T108	14,941.000	106,474.58	158,822.83
3M CO COM CUSIP: 88579Y101	5,400.000	542,657.63	1,072,602.00

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Corporate Stock - Common</i>			
United States - USD			
5TH 3RD BANCORP COM CUSIP: 316773100	12,900.000	220,711.46	493,167.00
Total United States - USD		79,690,083.88	131,052,512.80
Total Corporate Stock - Common		99,067,327.33	159,407,216.73
<i>Partnership/Joint Venture Interests</i>			
Global Region - EUR			
TERRA FIRMA CAPITAL PARTNERS III CUSIP: 9921WY991	24,249,395.670	33,373,265.97	179,926.16
Total Global Region - EUR		33,373,265.97	179,926.16
United States - USD			
CAPITAL INTL PRIVATE EQUITY FUND V CUSIP: 9921C0997	13,120,311.000	13,120,311.00	45,426.00
HARVEST PARTNERS V CUSIP: 9921C3991	3,719,900.660	3,719,900.66	50,441.00
INDUSTRIAL GROWTH PARTNERS IV LP CUSIP: 9921C5996	3,694,885.190	3,694,885.19	858,433.00
INTERNATIONAL LIFE SCIENCES FUND III (LP1), LP CUSIP: 9921C7992	19,030,631.150	19,030,631.15	3,428,792.00
KOHLBERG TE INVESTORS VI CUSIP: 9921C9998	2,472,420.000	2,472,420.00	424,127.00
MADISON INTERNATIONAL RE LIQUIDITY FUND IV CUSIP: 9921D1994	453,270.340	453,270.34	1.00
MORGENTHALER PARTNERS VII CUSIP: 9921D3990	10,154,354.380	10,154,354.38	176,954.00
QS INVESTORS DBI GLOBAL EMERGING MARKETSFUND LP CUSIP: 9921D6993	2,186,819.210	2,186,819.21	1.00
SNOW PHIPPS II, LP CUSIP: 9921D7991	12,258,929.400	12,258,929.40	7,830,556.00
SV LIFE SCIENCES FUND IV CUSIP: 9921E0995	13,292,390.000	13,292,390.00	14,542,758.00

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Partnership/Joint Venture Interests</i>			
United States - USD			
THOMAS MCNERNEY PARTNERS (FRMLY LUMINA VENTURES) CUSIP: 9921E2991	16,428,749.200	16,428,749.20	2,521,013.00
THOMAS, MCNERNEY & PARTNERS II CUSIP: 9921E1993	11,240,796.240	11,240,796.24	2,005,299.00
UBS TRUMBULL PROPERTY FUND CUSIP: 99089LWW5	2,203.060	20,182,453.38	21,949,703.64
WELLSPRING CAPITAL PARTNERS V, L.P. CUSIP: 9921E5994	8,343,795.000	8,343,795.00	6,768,079.00
Total Partnership/Joint Venture Interests		169,951,971.12	60,781,509.80

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Value of Interest in Registered Investment Companies</i>			
Asia Region - USD			
MFC MORGAN STANLEY CHINA A SH FD INC COM SEDOL: B1FQ1B7	52,308.000	1,127,349.79	1,196,283.96
MFC TEMPLETON DRAGON FD INC COM SEDOL: 2883061	95,568.000	2,078,109.96	2,267,828.64
MFO DFA INVT DIMENSIONS GROUP INC ASIA PACIFIC RIM SMALL CO PORT CUSIP: 233203850	141,950.680	3,211,060.54	3,723,366.34
Total Asia Region - USD		6,416,520.29	7,187,478.94
China - USD			
MFC CHINA FD INC SEDOL: 2194194	60,369.000	1,071,063.00	1,841,254.50
MFC ISHARES MSCI CHINA ETF SEDOL: B5LX1Z4	8,806.000	724,704.38	725,966.64
MFC KRANESHARES TR CSI CHINA INTERNET ETF SEDOL: BCRYT23	9,059.000	671,620.06	632,137.02
Total China - USD		2,467,387.44	3,199,358.16
Emerging Markets Region - USD			
TEMPLETON EMERGING MARKETS FD SEDOL: 2883287	52,613.000	651,199.76	1,041,211.27
Total Emerging Markets Region - USD		651,199.76	1,041,211.27
Europe Region - USD			
MFC THE CENTRAL AND EASTERN EUROPE FUND SEDOL: 2356604	18,650.000	452,135.31	523,319.00
Total Europe Region - USD		452,135.31	523,319.00
India - USD			
MORGAN STANLEY INDIA INVT FD INC SEDOL: 2603612	47,394.000	902,445.09	1,169,209.98
Total India - USD		902,445.09	1,169,209.98

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Value of Interest in Registered Investment Companies</i>			
Japan - USD			
MFO JAPANESE SMALL CO PORTFOLIO CUSIP: 233203108	258,488.890	5,030,246.59	6,588,881.81
Total Japan - USD		5,030,246.59	6,588,881.81
Korea, Republic of - USD			
MFC ISHARES INC MSCI SOUTH KOREA ETF SEDOL: 2592561	9,224.000	704,860.31	859,492.32
MFC KOREA FUND INC COM STK USD0.01 SEDOL: 2496414	45,738.000	1,492,604.93	2,111,270.65
Total Korea, Republic of - USD		2,197,465.24	2,970,762.97
Mexico - USD			
MFC MEX FD INC COM CLOSED END FD SEDOL: 2587170	33,319.000	474,071.32	507,448.37
Total Mexico - USD		474,071.32	507,448.37
South Africa - USD			
MFC ISHARES INC MSCI S AFRICA ETF SEDOL: 2343338	15,309.000	690,377.05	747,997.74
Total South Africa - USD		690,377.05	747,997.74
Taiwan - USD			
MFC TAIWAN FD INC COM SEDOL: 2869878	63,792.000	874,102.86	2,254,090.32
Total Taiwan - USD		874,102.86	2,254,090.32
United States - USD			
ABERDEEN EMERGING MKTS EQUITY INCOME FD SEDOL: 2193566	169,195.000	1,573,598.27	1,531,214.75
MFC ISHARES INC MSCI MALAYSIA ETF NEW SEDOL: BYWKWB0	9,468.000	258,108.02	241,812.72
** MFC ISHARES TR FLTG RATE NT ETF CUSIP: 46429B655	559,817.000	28,354,731.05	28,449,899.94

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Value of Interest in Registered Investment Companies</i>			
United States - USD			
MFO DFA INVT DIMENSIONS GROUP INC FXD INCOME PORTFOLIO CUSIP: 233203603	4,063,966.240	41,893,026.64	41,858,852.27
MFO VANGUARD SPECIALIZED FUNDS REAL ESTATE INDEX FD INSTL SHS CUSIP: 921908869	3,584,532.740	58,343,338.77	80,006,770.76
MFO VANGUARD ULTRA-SHORT-TERM BOND FUND ADM CUSIP: 922031711	2,441,092.490	48,838,741.84	49,163,602.75
Total United States - USD		179,261,544.59	201,252,153.19
Total Value of Interest in Registered Investment Com		199,417,495.54	227,441,911.75
<i>Other</i>			
Asia Region - GBP			
ABERDEEN NEW DAWN ORD GBP0.05 SEDOL: BBM56V2	287,614.000	736,077.19	1,323,090.28
ABERDEEN STD ASIA ORD GBP0.25 SEDOL: 0010076	86,629.000	1,175,314.37	1,567,724.77
INVESCO ASIA TRUST ORD GBP0.10 SEDOL: 0453530	141,753.000	521,099.68	730,426.15
SCOT ORIENTAL SMLL ORD GBP0.25 SEDOL: 0783613	90,831.000	1,046,558.69	1,399,085.27
VINACAPITAL VIETNA ORD USD0.01 SEDOL: BYXVT88	201,802.000	788,484.04	1,342,322.84
Total Asia Region - GBP		4,267,533.97	6,362,649.31
Brazil - BRL			
SECRETARIA TESOIRO 10% GTD SNR 01/01/25 BRL F' SEDOL: BJ0X0K1	1,252.000	239,848.64	275,386.84
Total Brazil - BRL		239,848.64	275,386.84
Emerging Markets Region - GBP			
ABERDEEN NEW INDIA INVESTMENT TRUST PLC SEDOL: 0604877	86,997.000	507,914.17	685,037.51
TEMPLETON EMERGING MARKETS INV TRST ORD GBP0.25 SEDOL: 0882929	304,679.000	2,848,566.68	4,217,406.52

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Other</i>			
Emerging Markets Region - GBP			
Total Emerging Markets Region - GBP		3,356,480.85	4,902,444.03
Europe Region - GBP			
BARINGS EMEA OPPORTUNITIES PLC SEDOL: 3227334	GBP0.10	47,166.000	397,269.65
Total Europe Region - GBP		397,269.65	499,106.28
Global Region - GBP			
LAZARD WORLD TRUST FUND SEDOL: BJT14X7	ORD USD0.20	781.000	1,589.54
UTILICO EMERGING M ORD GBP0.01 SEDOL: BD45S96		341,965.000	822,084.49
Total Global Region - GBP		823,674.03	1,066,180.83
Global Region - USD			
TERRA CAPITAL PLC ORD USD0.10 SEDOL: BFMXG14		6,350.000	0.00
Total Global Region - USD		0.00	6,350.00
India - GBP			
JPMORGAN INDIAN IN ORD GBP0.25 SEDOL: 0345035		181,849.000	1,120,460.77
Total India - GBP		1,120,460.77	1,876,578.52
Korea, Republic of - GBP			
WEISS KOREA OPPORT ORD NPV SEDOL: B933LL6		287,006.000	514,143.72
Total Korea, Republic of - GBP		514,143.72	1,082,402.65
Korea, Republic of - INR			
EXPORT-IMPORT BK 6.75% 6.75% 09/08/2022 SEDOL: 7AX3RKU		7,800,000.000	109,192.51
Total Korea, Republic of - INR		109,192.51	106,800.55

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Other</i>			
Latin America Region - GBP			
BLACKROCK LATIN AMERICAN INVESTMENT TRUST PLC ORD SHS USD0.10 SEDOL: 0505840	178,464.000	1,061,496.69	1,008,345.01
Total Latin America Region - GBP		1,061,496.69	1,008,345.01
Malaysia - MYR			
ICAPITAL BIZ BHD MYR1.00 SEDOL: B0LX4J4	701,300.000	519,862.65	315,893.29
Total Malaysia - MYR		519,862.65	315,893.29
Mexico - MXN			
MEXICO(UTD MEX ST) 6.75% GTD 09/03/2023 MXN100 SEDOL: BJM0CV5	100,361.000	505,059.96	513,577.34
Total Mexico - MXN		505,059.96	513,577.34
Mexico - USD			
PEMEX PROJ FDG MASTER TR GTD BD 6.625% DUE 06-15-2035 REG SEDOL: B7GPR51	255,000.000	238,476.00	246,266.25
Total Mexico - USD		238,476.00	246,266.25
Multi-National Agencies Region - INR			
INTERNATIONAL FIN CORP 5.85% DUE 11-25-2022 CUSIP: 45950VLJ3	9,050,000.000	125,823.55	123,337.15
Total Multi-National Agencies Region - INR		125,823.55	123,337.15
Pacific Region less Japan - GBP			
ASIA DRAGON TRUST ORD GBP0.20 SEDOL: 0294502	325,857.000	1,525,918.74	2,376,819.49
Total Pacific Region less Japan - GBP		1,525,918.74	2,376,819.49
Qatar - USD			
GULF INVESTMENT FU ORD USD0.01 SEDOL: B1Z4070	365,366.000	213,848.59	604,680.73
Total Qatar - USD		213,848.59	604,680.73

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Other</i>			
Russian Federation - GBP			
JP MORGAN RUSSIAN SECURITIES PLC GBP 0.01 SEDOL: 3216473	140,618.000	905,092.99	1,445,270.29
Total Russian Federation - GBP		905,092.99	1,445,270.29
Thailand - GBP			
ABERDEEN NEW THAI GBP0.25 SEDOL: 0005997	49,268.000	325,514.01	292,663.53
Total Thailand - GBP		325,514.01	292,663.53
United Kingdom - GBP			
ABERDEEN EMG MKTS ORD GBP0.01 SEDOL: B45L2K9	272,354.000	1,643,633.92	2,724,002.78
FIDELITY EMERGING PTG SHS NPV SEDOL: B4L0PD4	243,105.000	2,219,656.04	3,086,346.09
PACIFIC ASSETS TST ORD GBP0.125 SEDOL: 0667438	60,550.000	212,581.02	287,745.02
UNITE GROUP ORD GBP0.25 SEDOL: 0692861	12,551.000	116,885.87	186,216.36
Total United Kingdom - GBP		4,192,756.85	6,284,310.25
United Kingdom - USD			
AFRICA OPPORTUNITY ORD USD0.01 SEDOL: BKPG4X3	168,821.000	138,236.36	101,292.60
Total United Kingdom - USD		138,236.36	101,292.60
United States - USD			
ALEXANDRIA REAL ESTATE EQUITIES INC COM CUSIP: 015271109	350.000	64,341.98	63,679.00
AMERICAN TOWER CORP CUSIP: 03027X100	5,000.000	1,097,987.36	1,350,700.00
ANNALY CAP MGMT INC COM CUSIP: 035710409	24,900.000	223,614.00	221,112.00
CF AQR GRP EL OFFSHORE FUND LTD CL A NR E-2021 05 31 CUSIP: 991806779	130,478.980	148,000,000.00	149,811,199.09

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Other</i>			
United States - USD			
CUBESMART CUSIP: 229663109	2,700.000	127,309.74	125,064.00
DIVERSIFIED HEALTHCARE TR SHS OF BENEFICIAL INTEREST USD0.01 CUSIP: 25525P107	9,800.000	169,428.54	40,964.00
EQTY LIFESTYLE PPTYS INC REIT CUSIP: 29472R108	2,000.000	144,280.28	148,620.00
ESC GCB SANCHEZ ENERGY D02/23/15 06.125%JJ23 ESCROW CUSIP: 799ESCAJ7	325,000.000	289,375.00	6,500.00
HIGHWOODS PPTYS INC COM CUSIP: 431284108	5,000.000	167,956.00	225,850.00
IRON MTN INC NEW COM CUSIP: 46284V101	5,500.000	142,478.86	232,760.00
SABRA HEALTH CARE REIT INC COM CUSIP: 78573L106	10,700.000	147,625.00	194,740.00
SBA COMMUNICATIONS CORP CUSIP: 78410G104	100.000	31,993.19	31,870.00
Total United States - USD		150,606,389.95	152,453,058.09
Vietnam - GBP			
MFO VIETNAM HOLDING LTD (DY) SEDOL: BJQZ9H1	62,258.000	142,210.74	227,916.76
Total Vietnam - GBP		142,210.74	227,916.76
CAD - Canadian dollar	0.000	0.00	0.00
CHF - Swiss franc	0.000	0.00	0.00
DKK - Danish krone	0.000	0.00	0.00
EUR - Euro	0.000	0.00	0.00
GBP - British pound sterling	0.000	0.00	0.00
JPY - Japanese yen	0.000	0.00	0.00

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◆ Schedule of Assets Held for Investment Purposes

Security Description / Asset ID	Shares/Par Value	Historical Cost	Current Value
<i>Other</i>			
SEK - Swedish krona	0.000	0.00	0.00
ZAR - South African rand	0.000	0.00	0.00
Total - all currencies		0.00	0.00
Total Other		171,329,291.22	182,171,329.79

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◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
C991525395	#DO NOT USE#ENERGEAN ISRAEL FINANCE LTD 5.375% SNR NTS 30/03/2028	Acquisitions	20,000.00	-20,075.00	
		Free Delivery	-20,000.00		
C015351109	#REORG/ ALEXION PHARMACEUTICALS STOCK MERGER 07-21-2021	Acquisitions	1,000.00	-113,937.20	
		Dispositions	-685.00		110,644.73
SBLB2LV9	#REORG/ CHEGG INC SR NT CONV MANDATORY EXCHANGE CHEGG 352MAFY 08-23-2021	Acquisitions	45,000.00	-46,480.32	
		Dispositions	-45,000.00		47,641.60
C40416M105	#REORG/ HD SUPPLY HLDGS INC CASH MERGER 12-24-2020	Acquisitions	1,800.00	-64,504.43	
		Dispositions	-4,129.00		208,961.10
C83088V102	#REORG/ SLACK TECHNOLOGIES STOCK MERGER 07-21-2021	Acquisitions	4,100.00	-125,261.94	
		Dispositions	-4,932.00		209,088.86
SBMDWW00	#REORG/BIOMARIN PHARMACEUTICAL MANDATORY EXCHANGE BIOMARIN 0003E2AAMY 05-19-2021	Acquisitions	675,000.00	-688,520.89	
		Free Delivery	-735,000.00		
C090RGT036	#REORG/BIONDVAX DECLARATION OF WORTHLESS SECURITY 09-01-2020	Free Delivery	-350.00		
		Free Receipt	350.00		
C17144C104	#REORG/CHURCHILL STOCK MERGER CHURCHILL 2K1WAS3 10-09-2020	Acquisitions	4,800.00	-52,624.60	
		Free Delivery	-4,800.00		
C265504100	#REORG/DUNKIN CASH MERGER 12-16-2020	Acquisitions	300.00	-24,536.76	
		Dispositions	-1,651.00		155,152.42
C302445101	#REORG/FLIR SYS INC CASH AND STOCK MERGER TELEDYNE TECH 2856228 05-14-2021	Acquisitions	600.00	-21,663.48	
		Dispositions	-907.00		47,374.65
C36197T103	#REORG/GW PHARMACEUTICALS PLAN REORG JAZZ PHARMACEUTICALS 0002F1NA61 05-05-2021	Acquisitions	100.00	-9,775.25	
		Dispositions	-197.00		42,198.07
C44891N109	#REORG/IAC/INTERACTIVE MANDATORY EXCHANGE IAC/INTERACTIVE 0002W1KAM3 05-25-2021	Acquisitions	621.00	-89,413.91	
		Free Delivery	-862.00		
		Free Receipt	241.00	25,717.11	
C45772F107	#REORG/INPHI CORP CASH AND STOCK MERGER MARVELL TECHNOLOGY 2U1DA63 04-21-2021				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	900.00	-102,897.59	
		Dispositions	-1,370.00		224,733.65
SBKT6WP7	#REORG/INTEGRA LIFESCIENCES MANDATORY EXCHANGE INTEGRA LIFES 3N2DAGX 02-08-2021	Acquisitions	140,000.00	-146,268.64	
		Free Delivery	-140,000.00		
C539183103	#REORG/LIVONGO CASH AND STOCK MERGER TELADOC 281XAF 11-02-2020	Acquisitions	665.00	-92,541.98	
		Free Delivery	-665.00		
SBM9G9P0	#REORG/LIVONGO HEALTH MANDATORY EXCHANGE LIVONGO HEALTH 0003L2TAPY 06-04-2021	Acquisitions	75,000.00	-125,822.64	
		Free Delivery	-75,000.00		
CG5876H105	#REORG/MARVELL TECH GROUP STOCK MERGER MARVELL TECHNOLOGY 2U1DA63 04-21-2021	Acquisitions	1,100.00	-43,541.74	
		Dispositions	-2,850.00		121,777.72
		Free Delivery	-761.00		
C62857M105	#REORG/MYOKARDIA CASH MERGER 11-18-2020	Acquisitions	190.00	-18,253.11	
		Dispositions	-190.00		41,889.15
SBMFZXC6	#REORG/PALO ALTO NETWORKS INC MANDATORY EXCHANGE PALO ALTO 0003M23A6Y 06-08-2021	Acquisitions	230,000.00	-296,965.65	
		Free Delivery	-230,000.00		
C69354M108	#REORG/PRA HEALTH CASH N STOCK MERGER ICON PLC 2P1YAY1 07-01-2021	Acquisitions	350.00	-35,227.16	
		Dispositions	-626.00		92,040.05
C743424103	#REORG/PROOFPOINT DECLARATION OF WORTHLESS SECURITY 09-01-2021	Acquisitions	1,122.00	-131,618.08	
		Dispositions	-1,706.00		286,572.74
SBNKTVJ3	#REORG/RADIANT FDG NAME AND CUSIP CHANGE RENT A CTR INC 4N1RA6M 02-17-2021	Acquisitions	40,000.00	-40,000.00	
		Dispositions	-40,000.00		41,600.00
C75606N109	#REORG/REALPAGE INC COM CASH MERGER 04-22-2021	Acquisitions	700.00	-40,619.25	
		Dispositions	-2,112.00		161,197.53
CG7945M107	#REORG/SEAGATE TECHNOLOGY PLAN OR REORG SEAGATE TECHNOLOGY 2W1RAX3 05-19-2021	Acquisitions	3,500.00	-172,462.50	
		Free Delivery	-3,500.00		
C812578102	#REORG/SEATTLE NAME CHANG WITH CUSIP CHANG SEAGEN 2K19AK3 10-09-2020	Acquisitions	870.00	-160,340.21	

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Dispositions	-100.00		17,898.40
		Free Delivery	-1,445.00		
SBLCJ4L0	#REORG/TELADOC HLT INC MANDATORY EXCHANGE TELADOC HLT INC 3G2EABY 05-19-21	Acquisitions	460,000.00	-547,529.92	
		Free Delivery	-460,000.00		
C904784709	#REORG/UNILEVER STOCK MERGER UNILEVER 2879053 11-30-2020	Acquisitions	6,500.00	-390,172.15	
		Free Delivery	-18,000.00		
SB677469	ABCAM ORD GBP0.002	Acquisitions	11,952.00	-268,331.69	
		Dispositions	-3,229.00		67,367.38
C003654100	ABIOMED INC COM	Acquisitions	294.00	-83,971.14	
		Dispositions	-90.00		31,341.35
C00404A109	ACADIA HEALTHCARE CO INC COM	Acquisitions	400.00	-11,915.52	
		Dispositions	-600.00		30,543.86
C004225108	ACADIA PHARMACEUTICALS INC COM	Acquisitions	1,650.00	-79,615.33	
		Dispositions	-850.00		28,772.10
C00434H108	ACCELERON PHARMA INC COM	Acquisitions	820.00	-82,509.48	
		Dispositions	-200.00		26,884.85
C00650F109	ADAPTIVE BIOTECHNOLOGIES CORP COM USD0.0001	Acquisitions	1,383.00	-58,320.11	
		Dispositions	-500.00		22,204.32
SBLN8T44	ADDTECH AB SER'B'NPV	Acquisitions	1,541.00	-20,209.14	
		Dispositions	-5,797.00		83,642.21
		Free Receipt	19,572.00	64,735.67	
C04016X101	ADR ARGENX SE SPONSORED ADS	Acquisitions	207.00	-52,450.35	
		Dispositions	-25.00		7,896.00
C04351P101	ADR ASCENDIS PHARMA A/S SPONSORED ADR	Acquisitions	200.00	-29,712.25	
		Dispositions	-67.00		10,059.48
C09075V102	ADR BIONTECH SE ADS	Acquisitions	2,100.00	-204,076.63	

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Dispositions	-1,260.00		217,903.48
C00090Q103	ADT INC DEL COM	Acquisitions	1,300.00	-10,704.20	
		Dispositions	-3,645.00		28,082.62
SBZ1HM42	ADYEN NV EUR0.01	Acquisitions	82.00	-184,765.23	
		Dispositions	-2.00		4,588.71
C00846U101	AGILENT TECHNOLOGIES INC COM	Acquisitions	650.00	-79,647.18	
		Dispositions	-825.00		90,367.51
C00857U107	AGILON HEALTH INC COM	Acquisitions	1,213.00	-27,899.00	
		Dispositions	-300.00		10,780.44
C00847X104	AGIOS PHARMACEUTICALS INC COM	Acquisitions	400.00	-14,163.00	
		Dispositions	-400.00		20,547.73
C009066101	AIRBNB INC CL A COM USD0.0001 CL A	Acquisitions	169.00	-11,492.00	
		Dispositions	-169.00		25,263.04
SBFZNLB6	AJ BELL PLC ORD GBP0.000125	Acquisitions	6,921.00	-41,981.44	
		Dispositions	-5,733.00		34,313.41
C00971T101	AKAMAI TECHNOLOGIES INC COM STK	Acquisitions	2,565.00	-282,646.14	
		Dispositions	-1,510.00		161,417.76
C011659109	ALASKA AIR GROUP INC COM	Acquisitions	1,100.00	-69,404.57	
		Dispositions	-522.00		17,809.82
C012653101	ALBEMARLE CORP COM	Acquisitions	260.00	-40,400.93	
		Dispositions	-50.00		8,353.70
SBF03BV1	ALD EUR1.5	Acquisitions	24,143.00	-349,156.77	
		Dispositions	-5,896.00		86,654.76
C016255101	ALIGN TECHNOLOGY INC COM	Acquisitions	741.00	-255,489.09	
		Dispositions	-660.00		358,919.36
CG0176J109	ALLEGION PLC COMMON STOCK				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	300.00	-29,921.25	
		Dispositions	-575.00		66,581.85
SBMBQDF6	ALLEGRO.EU SA PLN0.01				
		Acquisitions	23,919.00	-272,610.77	
		Dispositions	-7,185.00		123,722.05
C02043Q107	ALNYLAM PHARMACEUTICALS INC COM				
		Acquisitions	1,125.00	-164,839.13	
		Dispositions	-705.00		107,301.47
C02079K305	ALPHABET INC CAPITAL STOCK USD0.001 CL A				
		Acquisitions	180.00	-266,081.99	
		Dispositions	-90.00		204,607.48
S5608915	ALTEN NPV1.05				
		Acquisitions	226.00	-21,543.49	
		Dispositions	-938.00		104,842.32
C02156K103	ALTICE USA INC CL A CL A				
		Acquisitions	3,800.00	-105,079.96	
		Dispositions	-1,450.00		50,358.55
SB3MSM28	AMADEUS IT GROUP EUR0.01				
		Acquisitions	4,136.00	-307,110.33	
		Dispositions	-2,563.00		183,548.39
C023135106	AMAZON COM INC COM				
		Acquisitions	100.00	-320,740.50	
		Dispositions	-50.00		165,077.25
C023436108	AMEDISYS INC COM				
		Acquisitions	250.00	-59,766.76	
		Dispositions	-210.00		57,357.82
C031100100	AMETEK INC NEW COM				
		Acquisitions	100.00	-10,026.25	
		Dispositions	-350.00		36,758.62
C032095101	AMPHENOL CORP NEW CL A				
		Acquisitions	1,275.00	-127,690.50	
		Dispositions	-1,050.00		98,695.58
		Free Receipt	2,213.00		
C03272L108	ANAPLAN INC COM				
		Acquisitions	1,900.00	-113,107.28	
		Dispositions	-550.00		28,304.82
C03662Q105	ANSYS INC COM				
		Acquisitions	905.00	-289,530.14	

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Dispositions	-595.00		205,852.16
SBLNMSB6	APACHE CORP FIXED 4.25% DUE 01-15-2044	Acquisitions	150,000.00	-147,232.50	
		Dispositions	-150,000.00		138,500.00
C037833100	APPLE INC COM STK	Acquisitions	1,400.00	-163,269.96	
		Dispositions	-250.00		114,417.47
		Free Receipt	7,200.00		
C038222105	APPLIED MATERIALS INC COM	Acquisitions	3,070.00	-183,066.46	
		Dispositions	-1,800.00		155,984.05
CG6095L109	APTIV PLC COM USD	Acquisitions	300.00	-46,391.95	
		Dispositions	-275.00		27,596.58
C04271T100	ARRAY TECHNOLOGIES INC COM	Acquisitions	2,600.00	-93,374.29	
		Dispositions	-2,600.00		44,603.96
S0294502	ASIA DRAGON TRUST ORD GBP0.20	Acquisitions	154,636.00	-835,530.12	
		Dispositions	-25,000.00		179,564.00
SB929F46	ASML HOLDING NV EUR0.09	Acquisitions	293.00	-107,379.83	
		Dispositions	-991.00		521,443.60
C045327103	ASPEN TECHNOLOGY INC COM	Acquisitions	967.00	-122,512.82	
		Dispositions	-375.00		51,469.97
SBYPC1T4	ASSA ABLOY SER'B'NPV (POST SPLIT)	Acquisitions	1,105.00	-25,889.66	
		Dispositions	-7,327.00		194,512.79
SBD97BN2	ATLAS COPCO AB SER'A'NPV	Acquisitions	420.00	-20,083.62	
		Dispositions	-1,578.00		92,539.12
CG06242104	ATLASSIAN CORPORATION PLC COM USD0.1 CL A	Acquisitions	150.00	-27,431.14	
		Dispositions	-929.00		179,470.90
SBVYVFW2	AUTO TRADER GROUP ORD GBP0.01	Acquisitions	8,667.00	-65,766.99	
		Dispositions	-21,082.00		165,426.50

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
C053332102	AUTOZONE INC COM	Acquisitions	85.00	-102,098.77	
		Dispositions	-45.00		63,192.94
C05338G106	AVALARA INC COM	Acquisitions	1,000.00	-130,439.83	
		Dispositions	-565.00		80,722.28
C05352A100	AVANTOR INC COM	Acquisitions	7,700.00	-162,200.48	
		Dispositions	-5,200.00		144,217.66
SBDD85M8	AVAST PLC ORD GBP0.10	Acquisitions	1,592.00	-10,829.01	
		Dispositions	-21,800.00		159,038.36
C053611109	AVERY DENNISON CORP COM	Acquisitions	200.00	-25,669.00	
		Dispositions	-423.00		65,924.22
CG0692U109	AXIS CAPITAL HOLDINGS LTD COM USD0.0125	Acquisitions	200.00	-8,848.50	
		Dispositions	-844.00		40,586.29
C058498106	BALL CORP COM	Acquisitions	1,550.00	-131,213.30	
		Dispositions	-1,700.00		140,191.88
C060505104	BANK OF AMERICA CORP	Acquisitions	6,500.00	-156,617.50	
		Dispositions	-12,000.00		475,108.41
S4152952	BELIMO HOLDING AG CHF1 (REGD)	Acquisitions	4.00	-30,212.74	
		Dispositions	-17.00		136,301.36
		Free Delivery	-38.00		
C08265T208	BENTLEY SYS INC CL B CL B	Acquisitions	979.00	-28,538.00	
		Dispositions	-400.00		19,327.76
SB02L3W3	BERKLEY GP HOLDINGS	Acquisitions	401.00	-21,884.66	
		Dispositions	-1,769.00		107,975.75
C090043100	BILL COM HLDGS INC COM	Acquisitions	1,266.00	-153,378.22	
		Dispositions	-300.00		45,745.97
C09061G101	BIOMARIN PHARMACEUTICAL INC COM ISIN CH0008107010				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	1,400.00	-130,957.18	
		Dispositions	-1,250.00		97,492.95
C09215C105	BLACK KNIGHT INC COM USD0.0001 WI				
		Acquisitions	800.00	-69,379.28	
		Dispositions	-875.00		68,025.25
C09247X101	BLACKROCK INC COM STK				
		Acquisitions	400.00	-225,964.52	
		Dispositions	-300.00		239,871.78
C09609G100	BLUEBIRD BIO INC COM				
		Acquisitions	400.00	-21,987.00	
		Dispositions	-606.00		17,708.07
SBJGV2H0	BOEING CO 3.75% DUE 02-01-2050				
		Acquisitions	2,185,000.00	-2,259,486.65	
		Dispositions	-2,200,000.00		2,168,001.40
C099502106	BOOZ ALLEN HAMILTON HLDG CORP CL A COM STK				
		Acquisitions	800.00	-67,062.00	
		Dispositions	-775.00		65,200.11
C100557107	BOSTON BEER INC CL A CL A				
		Acquisitions	117.00	-115,374.46	
		Dispositions	-10.00		12,062.68
C11133T103	BROADRIDGE FINL SOLUTIONS INC COM STK				
		Acquisitions	1,075.00	-143,750.59	
		Dispositions	-585.00		87,195.80
SBJ5CBM2	BROOKFIELD PPTY 5.75% DUE 05-15-2026				
		Acquisitions	155,000.00	-149,596.70	
		Dispositions	-155,000.00		162,362.50
C115637209	BROWN-FORMAN INC CL B NON-VTG COM				
		Acquisitions	900.00	-67,542.50	
		Dispositions	-180.00		14,463.82
C116794108	BRUKER CORP				
		Acquisitions	300.00	-12,012.24	
		Dispositions	-300.00		18,520.20
C12047B105	BUMBLE INC COM CL A COM CL A				
		Acquisitions	1,320.00	-56,760.00	
		Dispositions	-250.00		14,127.67
C122017106	BURLINGTON STORES INC COM				
		Acquisitions	425.00	-95,902.75	
		Dispositions	-650.00		145,780.76

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
C05605H100	BWV TECHNOLOGIES INC COM	Acquisitions	400.00	-22,877.00	
		Dispositions	-550.00		36,264.06
C12685J105	CABLE ONE INC COM	Acquisitions	179.00	-326,912.35	
		Dispositions	-15.00		27,233.18
C127387108	CADENCE DESIGN SYS INC COM	Acquisitions	2,456.00	-267,314.45	
		Dispositions	-1,160.00		152,309.21
C9921C0997	CAPITAL INTL PRIVATE EQUITY FUND V	Acquisitions	23,797.00	-23,797.00	
		Dispositions	-469,111.00		469,111.00
C143130102	CARMAX INC COM	Acquisitions	600.00	-62,458.56	
		Dispositions	-400.00		45,601.03
SBN29LM4	CARNIVAL CORP 9.875% SNR SEC 01/08/27 USD	Acquisitions	120,000.00	-139,800.00	
		Dispositions	-120,000.00		141,600.00
SBN4CPQ3	CARPENTER TECH 6.375% DUE 07-15-2028	Acquisitions	815,000.00	-815,000.00	
		Dispositions	-355,000.00		387,675.00
CU1468GAC8	CARVANA CO FIXED 5.625% DUE 10-01-2025	Acquisitions	35,000.00	-36,400.00	
		Dispositions	-35,000.00		36,050.00
C147528103	CASEYS GEN STORES INC COM	Acquisitions	100.00	-17,848.25	
		Dispositions	-260.00		52,460.84
C148806102	CATALENT INC COM	Acquisitions	1,400.00	-131,286.39	
		Dispositions	-825.00		88,903.78
C149123101	CATERPILLAR INC COM	Acquisitions	1,000.00	-149,745.80	
		Dispositions	-450.00		81,493.87
C12503M108	CBOE GLOBAL MARKETS INC	Acquisitions	300.00	-26,517.75	
		Dispositions	-1,083.00		97,438.86
C12514G108	CDW CORP COM	Acquisitions	950.00	-116,083.08	

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Dispositions	-710.00		108,510.25
C150870103	CELANESE CORP DEL COM SER A STK	Acquisitions	700.00	-75,218.50	
		Dispositions	-1,103.00		129,028.96
SBFNL6L7	CENOVUS ENERGY INC FIXED 4.25% DUE 04-15-2027	Acquisitions	90,000.00	-97,083.00	
		Dispositions	-90,000.00		100,350.00
SBFNL6J5	CENOVUS ENERGY INC 5.4% 06-15-2047	Acquisitions	175,000.00	-201,250.00	
		Dispositions	-175,000.00		204,425.20
C153527205	CENT GARDEN & PET CO CL A	Acquisitions	1,300.00	-46,988.50	
		Dispositions	-3,600.00		151,692.33
C15135B101	CENTENE CORP DEL COM	Acquisitions	1,100.00	-64,568.24	
		Dispositions	-3,650.00		231,117.67
C15677J108	CERIDIAN HCM HLDG INC COM	Acquisitions	800.00	-64,341.30	
		Dispositions	-725.00		61,304.03
C156782104	CERNER CORP COM	Acquisitions	300.00	-21,771.24	
		Dispositions	-847.00		63,297.89
C125269100	CF INDS HLDGS INC COM	Acquisitions	700.00	-35,455.42	
		Dispositions	-754.00		22,549.83
C16679L109	CHEWY INC CLASS A	Acquisitions	1,000.00	-66,475.53	
		Dispositions	-500.00		44,485.41
C169656105	CHIPOTLE MEXICAN GRILL INC COM STK	Acquisitions	200.00	-244,736.94	
		Dispositions	-61.00		90,380.18
SBNNTB89	CHS / CMNTY HLTH 6% DUE 01-15-2029	Acquisitions	135,000.00	-135,000.00	
		Dispositions	-135,000.00		142,625.00
C171340102	CHURCH & DWIGHT INC COM	Acquisitions	1,800.00	-164,598.69	
		Dispositions	-2,100.00		180,346.70
C172908105	CINTAS CORP COM				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	400.00	-133,697.56	
		Dispositions	-235.00		81,345.15
C177376100	CITRIX SYS INC COM				
		Acquisitions	300.00	-41,331.75	
		Dispositions	-450.00		62,604.33
CG21810109	CLARIVATE PLC				
		Acquisitions	1,224.00	-34,778.19	
		Dispositions	-200.00		6,006.96
C189054109	CLOROX CO COM				
		Acquisitions	675.00	-140,466.02	
		Dispositions	-775.00		138,463.67
C192422103	COGNEX CORP COM				
		Acquisitions	500.00	-32,592.50	
		Dispositions	-250.00		20,530.79
C192479103	COHERENT INC COM				
		Acquisitions	100.00	-11,068.75	
		Dispositions	-296.00		59,148.72
SBJQRDD9	COMMUNITY HEALTH S 8% GTD SNR SEC 15/03/26 USD				
		Acquisitions	460,000.00	-492,255.20	
		Dispositions	-155,000.00		166,140.63
SBN2X3G4	COMSTOCK RES INC 9.75% DUE 08-15-2026/06-23-2020 REG				
		Acquisitions	180,000.00	-194,393.45	
		Dispositions	-180,000.00		198,450.00
C205887102	CONAGRA BRANDS INC COM USD5				
		Acquisitions	4,600.00	-164,270.25	
		Dispositions	-1,279.00		46,449.67
C21036P108	CONSTELLATION BRANDS INC CL A CL A				
		Acquisitions	200.00	-41,444.34	
		Dispositions	-175.00		39,898.91
C216648402	COOPER COS INC COM NEW COM NEW				
		Acquisitions	150.00	-50,773.61	
		Dispositions	-250.00		89,698.04
C217204106	COPART INC COM				
		Acquisitions	1,545.00	-167,514.85	
		Dispositions	-225.00		25,098.81
C219350105	CORNING INC COM				
		Acquisitions	6,300.00	-204,818.55	
		Dispositions	-1,961.00		64,071.42

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
C22160N109	COSTAR GROUP INC COM	Acquisitions	280.00	-239,749.23	
		Dispositions	-90.00		75,253.66
		Free Receipt	4,104.00		
C22266L106	COUPA SOFTWARE INC COM	Acquisitions	708.00	-195,793.19	
		Dispositions	-275.00		67,656.99
CH17182108	CRISPR THERAPEUTICS AG COM CHF0.03	Acquisitions	400.00	-36,133.60	
		Dispositions	-200.00		31,279.67
C22788C105	CROWDSTRIKE HLDGS INC CL A CL A	Acquisitions	1,330.00	-177,058.36	
		Dispositions	-550.00		102,164.77
SBMH63Y9	CSC HOLDINGS LLC 4.625% 12-01-2030	Acquisitions	1,255,000.00	-1,259,500.00	
		Dispositions	-580,000.00		596,700.00
S5881857	CTS EVENTIM AG & C NPV	Acquisitions	3,891.00	-247,695.31	
		Dispositions	-92.00		6,268.91
C229663109	CUBESMART	Acquisitions	2,700.00	-127,309.74	
		Dispositions	-772.00		26,099.05
C231021106	CUMMINS INC	Acquisitions	300.00	-63,349.50	
		Dispositions	-300.00		61,754.20
C237266101	DARLING INGREDIENTS INC COMSTK	Acquisitions	1,417.00	-95,632.94	
		Dispositions	-50.00		3,422.73
C23804L103	DATADOG INC COM USD0.00001 CL A	Acquisitions	2,140.00	-195,272.02	
		Dispositions	-725.00		70,872.97
C23918K108	DAVITA INC COM	Acquisitions	2,800.00	-240,895.83	
		Dispositions	-850.00		93,519.85
C24823R105	DENALI THERAPEUTICS INC COM	Acquisitions	800.00	-35,317.38	
		Dispositions	-367.00		25,743.74
S0265274	DERWENT LONDON ORD GBP0.05				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	159.00	-5,274.31	
		Dispositions	-2,172.00		91,270.96
SB0YZ0Z5	DEUTSCHE WOHNEN SE NPV (BR)	Acquisitions	871.00	-43,628.10	
		Dispositions	-11,935.00		610,901.41
C252131107	DEXCOM INC COM	Acquisitions	350.00	-145,081.12	
		Dispositions	-600.00		229,296.59
SBK0XB38	DIAMOND SPORTS GR/ DIAMON 6.625% DUE 08-15-2027 BEO	Acquisitions	200,000.00	-112,060.00	
		Dispositions	-110,000.00		57,167.00
SBK0X9Z6	DIAMOND SPORTS GROUP LLC/DIAMOND SP 5.375% DUE 08-15-2026 BEO	Acquisitions	225,000.00	-159,817.50	
		Dispositions	-25,000.00		17,805.50
SBYQPW66	DIAMOND 1 FIN CORP 8.35% DUE 07-15-2046	Acquisitions	130,000.00	-194,897.30	
		Dispositions	-130,000.00		193,628.50
SB234WN9	DIASORIN SPA EUR1	Acquisitions	764.00	-148,097.97	
		Dispositions	-498.00		93,421.78
C25470XAW5	DISH DBS CORP 5.875% 11-15-2024	Acquisitions	420,000.00	-429,350.00	
		Dispositions	-731,000.00		763,648.00
C256163106	DOCUSIGN INC COM	Acquisitions	1,440.00	-301,615.94	
		Dispositions	-780.00		182,940.60
C256746108	DOLLAR TREE INC COM STK	Acquisitions	600.00	-55,065.00	
		Dispositions	-1,550.00		160,633.06
C25754A201	DOMINOS PIZZA INC COM	Acquisitions	400.00	-164,455.01	
		Dispositions	-100.00		38,255.28
SBL6NGV2	DR. MARTENS PLC ORD GBP0.01	Acquisitions	60,596.00	-307,609.57	
		Dispositions	-16,260.00		105,590.90
SB1WT5G2	DSV A S DKK1	Acquisitions	774.00	-147,618.76	
		Dispositions	-1,749.00		298,821.23

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
C26484T106	DUN & BRADSTREET HLDGS INC COM	Acquisitions	2,459.00	-57,655.29	
		Dispositions	-2,459.00		54,909.93
C268150109	DYNATRACE INC COM	Acquisitions	550.00	-25,984.88	
		Dispositions	-300.00		14,470.42
SB13X013	EIFPAGE EUR4	Acquisitions	231.00	-18,980.81	
		Dispositions	-3,164.00		309,952.12
C28414H103	ELANCO ANIMAL HEALTH INC COM	Acquisitions	700.00	-19,600.77	
		Dispositions	-1,350.00		41,781.35
C285512109	ELECTR ARTS COM	Acquisitions	219.00	-30,200.41	
		Dispositions	-225.00		30,771.88
S0309644	ELECTROCOMPONENTS ORD GBP0.10	Acquisitions	32,419.00	-421,450.84	
		Dispositions	-7,078.00		92,698.80
SBLH2QQ3	ENERGEAN ISRAEL FI 4.875% SNR SEC 30/03/26 USD	Acquisitions	30,000.00	-30,150.00	
		Free Delivery	-30,000.00		
SBDVJS80	ENLINK MIDSTREAM 5.45% DUE 06-01-2047	Acquisitions	330,000.00	-252,380.70	
		Dispositions	-130,000.00		114,062.50
C29355A107	ENPHASE ENERGY INC COM	Acquisitions	2,370.00	-307,387.51	
		Dispositions	-1,075.00		185,619.54
C29362U104	ENTEGRIS INC COM	Acquisitions	1,720.00	-131,108.77	
		Dispositions	-1,325.00		131,048.91
C29414B104	EPAM SYS INC COM STK	Acquisitions	750.00	-256,987.28	
		Dispositions	-320.00		135,440.64
SBDZV116	EPIROC AB SER'A'NPV	Acquisitions	980.00	-14,223.56	
		Dispositions	-3,451.00		72,697.51
		Free Delivery	-9,968.00		
SBMD58R8	EPIROC AB SER'A'NPV				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Dispositions	-235.00		5,400.07
		Free Receipt	9,968.00	95,306.29	
SBMDMZ01	EQT CORPORATION 5.0% DUE 01-15-2029 BEO				
		Acquisitions	1,705,000.00	-1,705,000.00	
		Dispositions	-1,370,000.00		1,448,210.75
C294429105	EQUIFAX INC COM				
		Acquisitions	750.00	-118,109.81	
		Dispositions	-424.00		85,124.36
C966ESCAA3	ESC CB WHITING PETE CO D04/01/16 01.250%AO20 ESCROW				
		Dispositions	-197,000.00		269.24
		Free Receipt	197,000.00	140,842.73	
C29786A106	ETSY INC COM				
		Acquisitions	2,140.00	-249,544.19	
		Dispositions	-795.00		135,433.73
C298736109	EURONET WORLDWIDE INC COM				
		Acquisitions	400.00	-42,741.52	
		Dispositions	-940.00		94,977.31
C30063P105	EXACT SCIENCES CORP COM				
		Acquisitions	1,070.00	-106,760.09	
		Dispositions	-683.00		84,393.53
C30161Q104	EXELIXIS INC COM STK				
		Acquisitions	1,600.00	-38,934.34	
		Dispositions	-1,700.00		39,521.28
SBLTZ2F1	EXPEDIA GROUP INC 3.25% DUE 02-15-2030				
		Acquisitions	285,000.00	-294,575.00	
		Dispositions	-285,000.00		285,188.75
SBFFJZR8	EXPEDIA INC FIXED 3.8% DUE 02-15-2028				
		Acquisitions	425,000.00	-452,893.75	
		Dispositions	-425,000.00		449,577.75
C302130109	EXPEDITORS INTL WASH INC COM				
		Acquisitions	200.00	-18,260.00	
		Dispositions	-275.00		27,755.17
SB19NLV4	EXPERIAN ORD USD0.10				
		Acquisitions	824.00	-30,902.73	
		Dispositions	-3,098.00		108,755.67
C303075105	FACTSET RESH SYS INC COM STK				
		Acquisitions	50.00	-16,846.88	
		Dispositions	-36.00		11,204.06

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
C311900104	FASTENAL CO COM	Acquisitions	200.00	-9,082.50	
		Dispositions	-300.00		14,917.77
C31189P102	FATE THERAPEUTICS INC COM	Acquisitions	450.00	-38,475.00	
		Dispositions	-100.00		9,062.29
SBD6G507	FERRARI NV COM EUR0.01	Acquisitions	232.00	-42,642.27	
		Dispositions	-1,331.00		278,367.14
C31572Q808	FIBROGEN INC COM	Acquisitions	700.00	-28,859.25	
		Dispositions	-1,506.00		62,238.05
S0332231	FIDELITY ASIAN VAL ORD GBP0.25	Acquisitions	115,975.00	-535,045.25	
		Dispositions	-115,975.00		670,130.35
C33616C100	FIRST REP BK SAN FRANCISCO CALIF NEW COM	Acquisitions	125.00	-13,684.57	
		Dispositions	-403.00		51,089.40
C338307101	FIVE9 INC COM	Acquisitions	803.00	-100,328.91	
		Dispositions	-650.00		107,103.78
C339041105	FLEETCOR TECHNOLOGIES INC COM	Acquisitions	600.00	-148,169.43	
		Dispositions	-285.00		75,562.15
SBFYKZC7	FLEXION THERAPEUTICS INC 3.375% 05-01-2024	Acquisitions	55,000.00	-48,950.00	
		Dispositions	-55,000.00		49,064.46
SB28V440	FLUIDRA SA EUR1	Acquisitions	11,753.00	-300,027.49	
		Dispositions	-3,227.00		87,807.09
SB94Q0Z1	FORD MTR CO DEL NT 4.75 01-15-2043	Acquisitions	445,000.00	-417,618.75	
		Dispositions	-2,140,000.00		2,156,125.00
SBYPL1V3	FORD MTR CO DEL 5.291% DUE 12-08-2046	Acquisitions	145,000.00	-136,100.00	
		Dispositions	-145,000.00		150,887.50
SBMWWS69	FORD MTR CO DEL 8.5% DUE 04-21-2023	Acquisitions	1,755,000.00	-1,972,862.50	

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Dispositions	-1,210,000.00		1,349,520.50
C34959E109	FORTINET INC COM	Acquisitions	1,120.00	-141,903.32	
		Dispositions	-315.00		60,480.74
C34964C106	FORTUNE BRANDS HOME & SEC INC COM	Acquisitions	700.00	-66,684.39	
		Dispositions	-525.00		46,651.42
SBSLNNND1	FUNDSMITH EMERGING ORD GBP0.01	Acquisitions	9,568.00	-138,927.45	
		Dispositions	-15,934.00		291,812.65
C366651107	GARTNER INC COM	Acquisitions	450.00	-57,021.02	
		Dispositions	-275.00		61,338.06
C368736104	GENERAC HLDGS INC COM STK	Acquisitions	325.00	-68,045.01	
		Dispositions	-117.00		34,147.89
SBV54K36	GENERAL MTRS CO 5.2% DUE 04-01-2045	Acquisitions	620,000.00	-754,435.70	
		Dispositions	-755,000.00		917,655.90
C372303206	GENMAB A/S SPONSORED ADR	Acquisitions	4,613.00	-169,414.03	
		Dispositions	-1,250.00		50,298.15
S4595739	GENMAB AS DKK1	Acquisitions	64.00	-23,197.98	
		Dispositions	-390.00		163,195.62
CG3922B107	GENPACT LIMITED COM STK USD0.01	Acquisitions	400.00	-15,651.50	
		Dispositions	-400.00		17,417.90
C380237107	GODADDY INC CL A CL A	Acquisitions	1,050.00	-79,841.38	
		Dispositions	-375.00		30,978.51
C38046W105	GOHEALTH INC CL A CL A	Acquisitions	1,356.00	-24,492.75	
		Dispositions	-1,356.00		17,439.11
C38246G108	GOODRX HLDGS INC COM CL A COM CL A	Acquisitions	108.00	-3,564.00	
		Dispositions	-108.00		4,080.77
SBF08246	GOODYEAR TIRE & FIXED 4.875% DUE 03-15-2027				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	950,000.00	-925,500.00	
		Dispositions	-505,000.00		517,635.10
SBDGNMR4	GOODYEAR TIRE & 5% DUE 05-31-2026				
		Acquisitions	655,000.00	-646,562.50	
		Dispositions	-655,000.00		669,541.00
C384109104	GRACO INC COM				
		Acquisitions	300.00	-18,452.25	
		Dispositions	-800.00		53,128.79
C38526M106	GRAND CANYON ED INC COM STK				
		Acquisitions	200.00	-16,061.00	
		Dispositions	-275.00		25,764.17
SBYP0K57	GRIFOLS SA NON-CUM PRF SHS EUR0.05 (B) POST CONS				
		Acquisitions	811.00	-13,950.08	
		Dispositions	-7,563.00		138,521.62
C40171V100	GUIDEWIRE SOFTWARE INC COM USD0.0001				
		Acquisitions	150.00	-15,492.80	
		Dispositions	-450.00		52,555.07
SBMVB793	GVS SPA COM				
		Acquisitions	1,109.00	-14,979.08	
		Dispositions	-4,170.00		72,450.50
SB1VZ0M2	HARGREAVES LANSDOW ORD GBP0.004				
		Acquisitions	946.00	-19,073.77	
		Dispositions	-3,559.00		80,179.49
C427866108	HERSHEY COMPANY COM STK USD1				
		Acquisitions	1,000.00	-137,284.52	
		Dispositions	-400.00		65,495.15
SBNZFHC1	HEXAGON AB SER'B'NPV				
		Dispositions	-447.00		6,335.80
		Free Receipt	18,928.00	108,841.32	
SB1XFTL2	HEXAGON AB SER'B'NPV				
		Acquisitions	293.00	-22,146.61	
		Dispositions	-1,306.00		118,374.20
		Free Delivery	-2,704.00		
C428291108	HEXCEL CORP NEW COM				
		Acquisitions	200.00	-8,869.94	
		Dispositions	-50.00		2,972.73
C43300A203	HILTON WORLDWIDE HLDGS INC COM NEW COM NEW				
		Acquisitions	1,220.00	-152,931.54	

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Dispositions	-1,516.00		118,166.73
C436440101	HOLOGIC INC COM	Acquisitions	1,300.00	-88,656.38	
		Dispositions	-1,000.00		69,951.49
CG46188101	HORIZON THERAPEUTICS PLC COM USD0.0001	Acquisitions	2,670.00	-195,676.99	
		Dispositions	-1,765.00		161,930.21
C443510607	HUBBELL INC COM	Acquisitions	100.00	-13,829.25	
		Dispositions	-350.00		49,596.37
C443573100	HUBSPOT INC COM	Acquisitions	420.00	-147,983.20	
		Dispositions	-100.00		54,041.29
C445658107	HUNT J B TRANS SVCS INC COM	Acquisitions	200.00	-25,540.50	
		Dispositions	-425.00		68,641.42
C446413106	HUNTINGTON INGALLS INDS INC COM	Acquisitions	110.00	-16,006.55	
		Dispositions	-250.00		45,925.23
C449253103	IAA SPINCO INC	Acquisitions	700.00	-36,659.77	
		Dispositions	-650.00		34,754.37
C44891N208	IAC/INTERACTIVECORP NEW COM NEW COM NEW	Dispositions	-75.00		11,959.80
		Free Receipt	862.00	145,384.92	
C44930G107	ICU MED INC COM	Acquisitions	75.00	-13,754.06	
		Dispositions	-10.00		2,080.53
C45168D104	IDEXX LABS INC COM	Acquisitions	325.00	-131,298.11	
		Dispositions	-255.00		132,113.12
SBK0NK86	IHEARTCOMMUNICATIONS INC 8.375% 05-01-2027	Acquisitions	1,195,000.00	-1,181,193.75	
		Dispositions	-790,000.00		847,856.25
CG47567105	IHS MARKIT LTD COM	Acquisitions	1,800.00	-140,829.83	
		Dispositions	-3,178.00		280,058.47
C452151LF8	IL ST TAXABLE-PENSION 5.1 DUE 06-01-2033BEO TAXABLE SINKING FD 06-01-2024 N/C				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	605,000.00	-595,385.60	
		Dispositions	-605,000.00		678,825.55
SBNCBD46	IMCD NV EUR0.16				
		Acquisitions	1,367.00	-172,569.12	
		Dispositions	-1,146.00		155,977.00
C45337C102	INCYTE CORP COM				
		Acquisitions	1,500.00	-141,059.80	
		Dispositions	-875.00		75,663.51
C9921C5996	INDUSTRIAL GROWTH PARTNERS IV LP				
		Acquisitions	64,123.24	-64,123.24	
		Dispositions	-1,211,330.44		1,211,330.44
S5889505	INFINEON TECHNOLOG ORD NPV (REGD)				
		Acquisitions	393.00	-11,119.93	
		Dispositions	-811.00		32,743.40
SBMJ6DW5	INFORMA PLC (GB) ORD GBP0.001				
		Acquisitions	33,104.00	-191,609.40	
		Dispositions	-33,104.00		260,089.17
SBNKBJQ2	INTEGRA LIFESCIENCES HLDGS CORP SR NT CONV .5% DUE 08-15-2025 REG				
		Dispositions	-140,000.00		158,652.86
		Free Receipt	140,000.00	146,268.64	
C460146103	INTL PAPER CO COM				
		Acquisitions	5,300.00	-227,176.16	
		Dispositions	-468.00		15,533.79
S0453530	INVESCO ASIA TRUST ORD GBP0.10				
		Acquisitions	182,215.00	-686,781.95	
		Dispositions	-90,333.00		481,826.30
C462222100	IONIS PHARMACEUTICALS INC COM				
		Acquisitions	1,200.00	-60,107.78	
		Dispositions	-1,100.00		55,571.54
C44980X109	IPG PHOTONICS CORP COM				
		Acquisitions	100.00	-17,072.75	
		Dispositions	-53.00		11,841.25
C46266C105	IQVIA HLDGS INC COM USD0.01				
		Acquisitions	300.00	-47,284.26	
		Dispositions	-75.00		14,893.38
C450056106	IRHYTHM TECHNOLOGIES INC COM				
		Acquisitions	150.00	-29,111.32	
		Dispositions	-150.00		10,040.68

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
SBLP5857	IRISH CONTL GROUP UTS(1 ORD EUR0.065&UP TO 10	Acquisitions	1,751.00	-6,453.41	
		Dispositions	-23,980.00		137,579.95
SBJV3SR3	ISTAR INC 4.75% DUE 10-01-2024	Acquisitions	40,000.00	-39,600.00	
		Dispositions	-40,000.00		41,288.80
CG50871105	JAZZ PHARMACEUTICALS PLC COM USD0.0001	Acquisitions	1,145.00	-163,374.83	
		Dispositions	-555.00		80,234.10
C478160104	JOHNSON & JOHNSON COM USD1	Acquisitions	2,300.00	-341,547.98	
		Dispositions	-1,600.00		234,405.64
C46625H100	JPMORGAN CHASE & CO COM	Acquisitions	2,000.00	-193,310.40	
		Dispositions	-4,200.00		553,692.18
SBMXWN18	JPMORGAN EMER MKTS JPMORGAN EMER MKTS	Dispositions	-589,873.00		1,062,018.29
		Free Receipt	696,580.00	684,736.78	
S4497749	KBC GROEP NV NPV	Acquisitions	282.00	-14,158.37	
		Dispositions	-3,864.00		294,190.96
C49338L103	KEYSIGHT TECHNOLOGIES INC COM	Acquisitions	525.00	-52,049.55	
		Dispositions	-950.00		108,883.59
SBN3ZYS8	KINEPOLIS GROUP NPV	Acquisitions	165.00	-5,866.09	
		Dispositions	-2,262.00		96,917.11
S4491235	KINGSPAN GROUP ORD EUR0.13	Acquisitions	349.00	-32,137.24	
		Dispositions	-1,346.00		104,695.33
C49741E100	KIRKLAND LAKE GOLD LTD COM KIRKLAND LAKEGOLD LTD	Acquisitions	200.00	-9,811.50	
		Dispositions	-300.00		12,015.30
C482480100	KLA CORPORATION COM USD0.001	Acquisitions	1,074.00	-209,918.56	
		Dispositions	-1,455.00		435,675.53
SB03MVJ8	KOC HLDG TRY1 (B SHARES)	Acquisitions	180,361.00	-443,248.38	

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Dispositions	-180,361.00		458,664.91
SB09M9D2	KONE CORPORATION NPV ORD 'B'	Acquisitions	456.00	-40,160.15	
		Dispositions	-3,321.00		272,571.72
SB0HZL93	KONINKLIJKE DSM NV EUR1.50	Acquisitions	553.00	-94,142.25	
		Dispositions	-3,731.00		665,347.56
C50077LAK2	KRAFT HEINZ FOODS 3.95% DUE 07-15-2025	Acquisitions	115,000.00	-125,781.25	
		Dispositions	-115,000.00		128,225.00
C50077LAD8	KRAFT HEINZ FOODS 3% DUE 06-01-2026	Acquisitions	270,000.00	-286,800.00	
		Dispositions	-20,000.00		21,650.00
C50077LAB2	KRAFT HEINZ FOODS 4.375% DUE 06-01-2046	Acquisitions	630,000.00	-672,726.60	
		Dispositions	-1,070,000.00		1,152,525.00
C485170302	KS CY SOUTHN	Acquisitions	50.00	-9,182.38	
		Dispositions	-481.00		102,120.70
SBDD0TR7	LADDER CAP FINL FIXED 5.25% DUE 10-01-2025	Acquisitions	250,000.00	-250,625.00	
		Dispositions	-125,000.00		125,031.25
C512807108	LAM RESH CORP COM	Acquisitions	400.00	-132,702.00	
		Dispositions	-979.00		408,451.86
C515098101	LANDSTAR SYS INC COM	Acquisitions	100.00	-12,658.75	
		Dispositions	-50.00		8,524.70
SB9G6L89	LEG IMMOBILIEN SE	Acquisitions	301.00	-43,016.56	
		Dispositions	-2,378.00		343,582.97
C525327102	LEIDOS HLDGS INC COM	Acquisitions	450.00	-43,100.57	
		Dispositions	-725.00		68,796.66
C537008104	LITTELFUSE INC COM	Acquisitions	100.00	-17,921.75	
		Dispositions	-224.00		58,442.03
C538034109	LIVE NATION ENTERTAINMENT INC				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	300.00	-16,314.24	
		Dispositions	-1,108.00		73,804.54
SB18ZRK2	LOGITECH INTL CHF0.25 (REGD)				
		Acquisitions	5,309.00	-552,009.81	
		Dispositions	-162.00		19,257.66
SB0SWJX3	LONDON STOCK EXCHANGE GROUP ORD GBP0.06918604				
		Acquisitions	536.00	-61,408.16	
		Dispositions	-4,589.00		535,250.62
S7333378	LONZA GROUP AG CHF1 (REGD)				
		Acquisitions	179.00	-111,147.04	
		Dispositions	-568.00		354,394.13
C550021109	LULULEMON ATHLETICA INC COM				
		Acquisitions	875.00	-288,174.77	
		Dispositions	-395.00		124,752.53
S4061412	LVMH MOET HENNESSY LOUIS VUITTON SE EUR0.30				
		Acquisitions	201.00	-115,973.86	
		Dispositions	-328.00		210,431.51
C502431109	L3HARRIS TECHNOLOGIES INC COM				
		Acquisitions	1,050.00	-217,540.98	
		Dispositions	-700.00		120,087.81
C562750109	MANHATTAN ASSOCS INC COM				
		Acquisitions	1,010.00	-108,457.18	
		Dispositions	-200.00		22,644.49
SBK1X320	MAREL HF 144A				
		Acquisitions	54,229.00	-349,765.68	
		Dispositions	-14,900.00		99,466.63
C57060D108	MARKETAXESS HLDGS INC COM STK				
		Acquisitions	389.00	-191,772.96	
		Dispositions	-50.00		26,311.85
C57667L107	MATCH GROUP INC NEW COM				
		Acquisitions	1,375.00	-150,850.19	
		Dispositions	-0.93		76.69
		Free Receipt	1,248.93	128,367.07	
C579780206	MC CORMICK & CO INC COM NON-VTG				
		Acquisitions	350.00	-57,719.35	
		Dispositions	-735.00		76,922.75
		Free Receipt	643.00		
C58155Q103	MCKESSON CORP				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	5,366.00	-833,207.84	
		Dispositions	-1,200.00		224,755.53
C592688105	METTLER-TOLEDO INTL INC COM				
		Acquisitions	113.00	-110,960.22	
		Dispositions	-50.00		61,415.42
SBMFBJH1	MGIC INVT CORP WIS 5.25% DUE 08-15-2028 REG				
		Acquisitions	800,000.00	-800,000.00	
		Dispositions	-800,000.00		842,556.00
C55303A105	MGM GROWTH PPTYS LLC CL A COM CL A COM				
		Acquisitions	300.00	-8,511.75	
		Dispositions	-1,066.00		32,845.83
C552953101	MGM RESORTS INTERNATIONAL COM				
		Acquisitions	5,200.00	-201,937.36	
		Dispositions	-800.00		23,055.10
C595017104	MICROCHIP TECHNOLOGY INC COM				
		Acquisitions	1,751.00	-206,930.18	
		Dispositions	-1,400.00		179,263.10
SBF3FX63	MILLICOM INTL CELL 5.125% BDS 15/01/28 USD2000				
		Acquisitions	225,000.00	-242,097.75	
		Dispositions	-22,500.00		22,618.52
C55306N104	MKS INSTRS INC COM				
		Acquisitions	560.00	-70,316.17	
		Dispositions	-400.00		68,947.58
C60855R100	MOLINA HEALTHCARE INC COM				
		Acquisitions	262.00	-47,076.98	
		Dispositions	-425.00		90,847.95
SBGLP232	MONCLER SPA NPV				
		Acquisitions	3,761.00	-214,322.75	
		Dispositions	-2,367.00		138,212.68
C60937P106	MONGODB INC CL A CL A				
		Acquisitions	400.00	-96,888.76	
		Dispositions	-135.00		43,744.13
C609839105	MONOLITHIC PWR SYS INC COM				
		Acquisitions	760.00	-207,868.40	
		Dispositions	-525.00		186,139.95
C617446448	MORGAN STANLEY COM STK USD0.01				
		Acquisitions	9,500.00	-459,561.44	
		Dispositions	-3,500.00		253,366.40

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
S5531000	MORPHOSYS NPV	Acquisitions	79.00	-10,043.33	
		Dispositions	-1,953.00		245,191.60
C620076307	MOTOROLA SOLUTIONS INC	Acquisitions	100.00	-15,717.75	
		Dispositions	-730.00		110,551.67
C55354G100	MSCI INC COMMON	Acquisitions	575.00	-209,240.27	
		Dispositions	-535.00		260,943.61
SB09DHL9	MTU AERO ENGINES A NPV (REGD)	Acquisitions	524.00	-123,286.32	
		Dispositions	-468.00		109,590.73
C62548M100	MULTIPLAN CORP CL A CL A	Acquisitions	900.00	-8,251.29	
		Dispositions	-2,000.00		16,133.69
		Free Receipt	4,800.00	47,136.00	
C62944T105	N V R INC COM	Acquisitions	10.00	-41,724.48	
		Dispositions	-2.00		8,892.75
SBP0QDP8	NAMEN-AKT BELIMO HOLDING AG (SPLIT HOLDING AG (SPLIT)	Dispositions	-26.00		10,912.94
		Free Receipt	760.00	200,982.30	
S6622691	NASPERS N ZAR0.02	Acquisitions	3,520.00	-651,069.95	
		Dispositions	-1,600.00		371,210.60
SBK9DL28	NBM US HLDGS INC 6.625% DUE 08-06-2029	Acquisitions	225,000.00	-256,160.25	
		Dispositions	-225,000.00		255,712.50
SB06YV46	NESTE OYJ NPV	Acquisitions	5,676.00	-385,623.59	
		Dispositions	-1,077.00		66,254.80
SBFYDWS1	NETCOMPANY GROUP DKK1	Acquisitions	7,516.00	-694,708.75	
		Dispositions	-1,444.00		136,536.13
C64125C109	NEUROCRINE BIOSCIENCES INC COM	Acquisitions	1,300.00	-138,478.59	
		Dispositions	-925.00		93,949.05
SBG13NK0	NEUROCRINE BIOSCIENCES INC 2.25% 05-15-2024				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	105,000.00	-147,799.79	
		Dispositions	-45,000.00		60,919.78
SBXVMCC1	NEWFIELD EXPL CO 5.375% DUE 01-01-2026	Acquisitions	180,000.00	-191,815.20	
		Dispositions	-180,000.00		195,987.50
C655663102	NORDSON CORP COM	Acquisitions	100.00	-19,407.75	
		Dispositions	-336.00		65,001.86
C668771108	NORTONLIFE LOCK INC	Acquisitions	600.00	-12,588.48	
		Dispositions	-1,512.00		42,484.44
CG6674U108	NOVOCURE LTD COM USD0.00	Acquisitions	1,287.00	-146,457.90	
		Dispositions	-365.00		63,172.61
C670346105	NUCOR CORP COM	Acquisitions	4,500.00	-204,164.55	
		Dispositions	-6,500.00		627,778.94
C67066G104	NVIDIA CORP COM	Acquisitions	200.00	-108,643.00	
		Dispositions	-800.00		452,371.47
C67103H107	O REILLY AUTOMOTIVE INC NEW COM USD0.01	Acquisitions	515.00	-234,616.38	
		Dispositions	-455.00		242,487.16
SBN15XB6	OCCIDENTAL PETE CORP 6.625% DUE 09-01-2030 REG	Acquisitions	495,000.00	-495,000.00	
		Dispositions	-290,000.00		340,448.40
SBJ9NFL8	OCCIDENTAL PETE FIXED 2.9% DUE 08-15-2024	Acquisitions	520,000.00	-499,163.60	
		Dispositions	-80,000.00		80,600.00
SBDBFN27	OCCIDENTAL PETE 3.4% DUE 04-15-2026	Acquisitions	270,000.00	-248,343.30	
		Dispositions	-270,000.00		269,859.60
C674599CY9	OCCIDENTAL PETROLEUM CORP 4.4% DUE 08-15-2049	Acquisitions	355,000.00	-300,787.95	
		Dispositions	-355,000.00		309,281.25
C679295105	OKTA INC CL A CL A	Acquisitions	1,210.00	-266,349.29	
		Dispositions	-430.00		106,355.42

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
C679580100	OLD DOMINION FREIGHT LINE INC COM	Acquisitions	450.00	-79,178.70	
		Dispositions	-210.00		52,613.16
C681116109	OLLIES BARGAIN OUTLET HLDGS INC COM	Acquisitions	2,000.00	-174,781.67	
		Dispositions	-250.00		23,176.55
C682189105	ON SEMICONDUCTOR CORP COM	Acquisitions	2,700.00	-67,959.27	
		Dispositions	-3,500.00		114,046.39
SBYT16L4	ORSTED A/S	Acquisitions	296.00	-40,835.75	
		Dispositions	-4,050.00		794,088.24
CG6829J107	ORTHO CLINICAL DIAGNOSTICS HOLDINGS PLC USD0.00001	Acquisitions	2,341.00	-39,797.00	
		Dispositions	-800.00		15,808.41
C687793109	OSCAR HEALTH INC CL A CL A	Acquisitions	973.00	-31,652.68	
		Dispositions	-973.00		21,876.61
C688239201	OSHKOSH CORPORATION	Acquisitions	1,000.00	-73,505.00	
		Dispositions	-800.00		95,925.99
C671044105	OSI SYS INC COM	Acquisitions	1,700.00	-133,610.04	
		Dispositions	-700.00		67,442.19
C68902V107	OTIS WORLDWIDE CORP COM USD0.01 WI	Acquisitions	300.00	-20,665.65	
		Dispositions	-150.00		10,266.69
SBMX4VQ5	OWL ROCK CAP CORP 4.25% DUE 01-15-2026	Acquisitions	740,000.00	-734,479.60	
		Dispositions	-525,000.00		553,229.25
C693718108	PACCAR INC COM	Acquisitions	300.00	-26,173.90	
		Dispositions	-200.00		16,967.86
S0667438	PACIFIC ASSETS TST ORD GBP0.125	Acquisitions	131,550.00	-461,850.25	
		Dispositions	-71,000.00		325,140.47
C697435105	PALO ALTO NETWORKS INC COM USD0.0001	Acquisitions	665.00	-198,815.53	

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Dispositions	-180.00		60,264.30
C704326107	PAYCHEX INC COM	Acquisitions	200.00	-15,967.50	
		Dispositions	-125.00		12,407.80
C70432V102	PAYCOM SOFTWARE INC COM	Acquisitions	640.00	-196,310.88	
		Dispositions	-265.00		93,884.32
C70438V106	PAYLOCITY HLDG CORP COM	Acquisitions	475.00	-73,055.25	
		Dispositions	-50.00		9,404.69
C70450Y103	PAYPAL HLDGS INC COM	Acquisitions	5,600.00	-1,073,229.91	
		Dispositions	-600.00		148,820.17
C70975L107	PENUMBRA INC COM	Acquisitions	512.00	-103,556.00	
		Dispositions	-335.00		85,168.82
CG97822103	PERRIGO COMPANY LIMITED COM EUR0.001	Acquisitions	644.00	-32,900.75	
		Dispositions	-1,474.00		70,514.69
SBLCC408	PG&E CORP 5.25% DUE 07-01-2030	Acquisitions	130,000.00	-143,364.00	
		Dispositions	-80,000.00		83,600.00
C72352L106	PINTEREST INC CL A CL A	Acquisitions	5,200.00	-321,516.73	
		Dispositions	-1,400.00		98,928.94
SBNTJ9Y5	PM GEN PURCHASER 9.5% DUE 10-01-2028	Acquisitions	85,000.00	-92,225.00	
		Dispositions	-85,000.00		89,675.00
C73278L105	POOL CORP COM STK	Acquisitions	100.00	-33,494.25	
		Dispositions	-275.00		95,428.28
C69355F102	PPD INC COM	Acquisitions	200.00	-7,296.76	
		Dispositions	-921.00		42,264.16
C693506107	PPG IND INC COM	Acquisitions	980.00	-166,820.26	
		Dispositions	-400.00		50,815.18
C69370C100	PTC INC COM				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	1,702.00	-155,660.85	
		Dispositions	-510.00		61,917.98
S5064722	PUMA SE NPV				
		Acquisitions	976.00	-100,788.80	
		Dispositions	-1,113.00		109,270.15
C74624M102	PURE STORAGE INC CL A CL A				
		Acquisitions	1,700.00	-26,617.58	
		Dispositions	-2,600.00		51,591.63
SBMD50V6	PVPTL EQM MIDSTREAM PARTNERS L P 4.75% 01-15-2031				
		Acquisitions	130,000.00	-130,000.00	
		Dispositions	-130,000.00		130,643.75
SBNDN9T8	PVTPL BENTLEY SYS INC .125% DUE 01-15-2026 BEO				
		Acquisitions	35,000.00	-35,000.00	
		Dispositions	-35,000.00		36,536.96
SBL9Y645	PVTPL BOISE CASCADE CO SR NT 144A 4.875%DUE 07-01-2030/07-27-2020 BEO				
		Acquisitions	150,000.00	-150,000.00	
		Dispositions	-150,000.00		159,517.50
C143658BL5	PVTPL CARNIVAL CORP 144A 7.625% DUE 03-01-2026 BEO				
		Acquisitions	135,000.00	-145,280.25	
		Dispositions	-135,000.00		147,993.75
SBKSCP80	PVTPL CARVANA CO 5.5% DUE 04-15-2027 BEO				
		Acquisitions	20,000.00	-20,000.00	
		Dispositions	-20,000.00		20,100.00
SBMD83B6	PVTPL CHESAPEAKE ENERGY CORP 5.5% DUE 02-01-2026/02-05-2021 BEO				
		Acquisitions	35,000.00	-35,000.00	
		Dispositions	-35,000.00		36,980.30
SBMC04Z4	PVTPL EQM MIDSTREAM PARTNERS L P SR NT 4.5% 01-15-2029				
		Acquisitions	75,000.00	-75,000.00	
		Dispositions	-75,000.00		75,050.00
SBMY692	PVTPL EQT CORP SR NT 3.125% 05-15-2026				
		Acquisitions	15,000.00	-15,000.00	
		Dispositions	-15,000.00		15,297.00
SBKP85L4	PVTPL EXPEDIA GROUP INC 0.0% DUE 02-15-2026 BEO				
		Acquisitions	95,000.00	-95,000.00	
		Dispositions	-15,000.00		16,537.50
SBMCRW28	PVTPL FORESTAR GROUP INC 3.85% DUE 05-15-2026 BEO				
		Acquisitions	25,000.00	-25,000.00	
		Dispositions	-25,000.00		25,167.50

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
SBNQ2Z4	PVTPL GUARDANT HEALTH INC 0% DUE 11-15-2027 BEO	Acquisitions	130,000.00	-147,311.58	
		Dispositions	-55,000.00		73,077.94
SBNRKBY4	PVTPL HALOZYME THERAPEUTICS INC .25% DUE03-01-2027 BEO	Acquisitions	90,000.00	-90,000.00	
		Dispositions	-90,000.00		80,176.85
SBMGWDD7	PVTPL HAWAIIAN BRAND INTELLECTUAL PPTY LTD/H 5.75% DUE 01-20-2026 BEO	Acquisitions	200,000.00	-198,898.00	
		Dispositions	-200,000.00		215,044.00
C46115HAT4	PVTPL INTESA SANPAOLO S P A 144A BD 5.017% DUE 06-26-2024 REG	Acquisitions	265,000.00	-289,748.35	
		Dispositions	-265,000.00		286,647.85
SBNW1ZV7	PVTPL INTL GAME TECH 4.125% 04-15-2026	Acquisitions	200,000.00	-200,000.00	
		Dispositions	-200,000.00		204,252.00
SBN0T416	PVTPL LIBERTY MEDIA CORP .5% DUE 12-01-2050 BEO	Acquisitions	210,000.00	-217,172.76	
		Dispositions	-100,000.00		115,094.12
SBNG8NH6	PVTPL LIVEPERSON INC 0% DUE 12-15-2026 BEO	Acquisitions	100,000.00	-104,257.30	
		Dispositions	-100,000.00		100,342.53
SBMG4MP8	PVTPL MARRIOTT VACATIONS WORLDWIDE CORP ZCPN 01-15-2026	Acquisitions	115,000.00	-115,940.06	
		Dispositions	-115,000.00		133,613.89
C780153BG6	PVTPL ROYAL CARIBBEAN CRUISES LTD 5.5% DUE 04-01-2028 BEO	Acquisitions	400,000.00	-400,000.00	
		Dispositions	-30,000.00		31,800.00
SBNNGSN4	PVTPL SHIFT4 PAYMENTS INC 0% DUE 12-15-2025 BEO	Acquisitions	185,000.00	-202,834.00	
		Dispositions	-185,000.00		246,448.28
SBMV3Y32	PVTPL SHIFT4 PMTS LLC/SHIFT4 PMTS FIN SUB IN 4.625% DUE 11-01-2026 BEO	Acquisitions	95,000.00	-99,096.40	
		Dispositions	-95,000.00		99,009.00
SBM97566	PVTPL SM ENERGY CO 10.0% DUE 01-15-2025 BEO	Dispositions	-1,000,000.00		1,058,075.00
		Free Delivery	-68,000.00		
		Free Receipt	111,000.00		
SBKPSSJ3	PVTPL SMILEDIRECTCLUB INC 0% DUE 02-01-2026 BEO				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	70,000.00	-70,000.00	
		Dispositions	-70,000.00		54,960.86
SBLCH737	PVTPL SUNRUN INC 0.0% DUE 02-01-2026 BEO				
		Acquisitions	45,000.00	-45,000.00	
		Dispositions	-45,000.00		35,786.52
SBMDHSY1	PVTPL UNITI GROUP INC 6.5% DUE 02-15-2029 BEO				
		Acquisitions	100,000.00	-100,000.00	
		Dispositions	-100,000.00		99,750.00
C92863UAB2	PVTPL VOLCAN COMPANIA MINERA S A A 4.375% DUE 02-11-2026 BEO				
		Acquisitions	35,000.00	-35,000.00	
		Dispositions	-35,000.00		35,952.00
C98313RAH9	PVTPL WYNN MACAU LTD 5.625% DUE 08-26-2028/08-26-2020 BEO				
		Acquisitions	200,000.00	-206,000.00	
		Dispositions	-200,000.00		209,624.00
SBYXS699	QIAGEN NV EUR0.01				
		Acquisitions	11,109.00	-564,830.62	
		Dispositions	-1,652.00		85,421.29
C74838J101	QUIDEL CORP COM				
		Acquisitions	575.00	-127,214.47	
		Dispositions	-562.00		94,646.91
S5910609	RATIONAL AG NPV				
		Acquisitions	26.00	-20,408.98	
		Dispositions	-56.00		54,592.83
SB2B0DG9	RELX PLC				
		Acquisitions	2,344.00	-51,771.01	
		Dispositions	-4,958.00		125,574.88
S6290689	REMGRO LTD NPV				
		Acquisitions	66,711.00	-392,519.73	
		Dispositions	-37,000.00		267,898.28
S0732358	RENISHAW ORD GBP0.20				
		Acquisitions	224.00	-16,250.01	
		Dispositions	-1,155.00		94,690.42
C759916109	REPLIGEN CORP COM STK USD0.01				
		Acquisitions	1,406.00	-247,174.77	
		Dispositions	-210.00		39,882.20
C76131D103	RESTAURANT BRANDS INTL INC COM NPV				
		Acquisitions	300.00	-19,281.06	
		Dispositions	-200.00		11,089.37

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
C76171L106	REYNOLDS CONSUMER PRODS INC COM	Acquisitions	400.00	-12,376.00	
		Dispositions	-1,845.00		55,649.47
C74967X103	RH COM	Acquisitions	125.00	-49,431.46	
		Dispositions	-10.00		5,965.91
SBGDT3G2	RIGHTMOVE COM STCK	Acquisitions	20,691.00	-176,031.41	
		Dispositions	-22,379.00		181,151.56
C76680R206	RINGCENTRAL INC CL A CL A	Acquisitions	1,065.00	-290,448.75	
		Dispositions	-370.00		113,038.17
S0718875	RIO TINTO ORD GBP0.10	Acquisitions	177.00	-10,635.92	
		Dispositions	-2,422.00		202,998.79
C767744105	RITCHIE BROS AUCTIONEERS INC COM	Acquisitions	100.00	-6,013.75	
		Dispositions	-100.00		6,112.81
C773903109	ROCKWELL AUTOMATION	Acquisitions	250.00	-55,780.13	
		Dispositions	-286.00		72,861.70
C77543R102	ROKU INC COM CL A COM CL A	Acquisitions	1,540.00	-381,778.16	
		Dispositions	-575.00		227,718.77
C775711104	ROLLINS INC COM	Acquisitions	400.00	-21,781.52	
		Dispositions	-1,100.50		44,623.72
		Free Receipt	582.50		
C77664L108	ROOT INC CL A CL A	Acquisitions	46.00	-1,242.00	
		Dispositions	-46.00		1,210.70
C778296103	ROSS STORES INC COM	Acquisitions	500.00	-49,456.63	
		Dispositions	-975.00		105,660.39
SBVFNZH2	ROTORK ORD GBP0.005	Acquisitions	5,827.00	-21,225.76	
		Dispositions	-79,695.00		366,660.98
SBX8ZX20	ROYAL UNIBREW A/S DKK2 (POST SPLIT)				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	2,084.00	-222,185.95	
		Dispositions	-1,561.00		165,986.71
C749685103	RPM INTL INC				
		Acquisitions	400.00	-33,160.52	
		Dispositions	-275.00		25,425.23
SB058TZ6	SAFRAN SA EUR0.20				
		Acquisitions	235.00	-23,352.79	
		Dispositions	-512.00		68,227.31
C78667J108	SAGE THERAPEUTICS INC COM				
		Acquisitions	100.00	-6,084.25	
		Dispositions	-518.00		31,092.65
C803607100	SAREPTA THERAPEUTICS INC COM				
		Acquisitions	300.00	-43,020.24	
		Dispositions	-646.00		62,203.84
C78410G104	SBA COMMUNICATIONS CORP	COM USD0.01 CL A			
		Acquisitions	100.00	-31,993.19	
		Dispositions	-438.00		133,932.89
C81181C104	SEAGEN INC COM				
		Acquisitions	226.00	-38,678.46	
		Dispositions	-435.00		65,861.80
		Free Receipt	1,445.00	199,534.24	
C81211K100	SEALED AIR CORP NEW COM STK				
		Acquisitions	400.00	-15,566.52	
		Dispositions	-1,250.00		53,538.52
C816307300	SELECTQUOTE INC COM				
		Acquisitions	1,000.00	-19,829.84	
		Dispositions	-1,400.00		33,954.81
C817565104	SERVICE CORP INTL COM				
		Acquisitions	300.00	-12,695.01	
		Dispositions	-1,350.00		58,853.03
C82489W107	SHOALS TECHNOLOGIES GROUP INC CL A CL A				
		Acquisitions	1,348.00	-42,459.42	
		Dispositions	-200.00		5,518.97
C82669G104	SIGNATURE BK NY N Y COM				
		Acquisitions	100.00	-8,403.25	
		Dispositions	-420.00		36,533.97
SBF2DSG3	SIKA AG -ORDSHR VOTING BO				
		Acquisitions	235.00	-57,712.95	

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Dispositions	-1,052.00		296,479.51
C83088M102	SKYWORKS SOLUTIONS INC COM	Acquisitions	250.00	-36,449.38	
		Dispositions	-635.00		92,342.65
S2764188	SM ENERGY CO COM	Dispositions	-7,120.00		183,982.18
		Free Receipt	15,805.00		
SBLFBWS6	SM ENERGY COMPANY 10% 01-15-2025	Acquisitions	40,000.00	-44,875.00	
		Dispositions	-40,000.00		45,400.00
C831865209	SMITH A O CORP COM	Acquisitions	200.00	-10,680.00	
		Dispositions	-500.00		29,373.17
C83304A106	SNAP INC SNAP INC	Acquisitions	2,400.00	-63,127.92	
		Dispositions	-4,893.00		270,558.85
C9921D7991	SNOW PHIPPS II, LP	Acquisitions	483,921.39	-483,921.39	
		Dispositions	-354,792.33		354,792.33
C833445109	SNOWFLAKE INC CL A CL A	Acquisitions	71.00	-8,520.00	
		Dispositions	-71.00		16,245.39
S5966516	SOCIETE GENERALE EUR1.25	Acquisitions	670.00	-8,924.16	
		Dispositions	-9,171.00		228,728.87
SBWFGQN1	SPIRAX-SARCO ENGINEERING	ORD GBP0.269230769			
		Acquisitions	228.00	-32,564.05	
		Dispositions	-857.00		135,593.45
C848637104	SPLUNK INC COMSTK COM USD0.001	Acquisitions	1,179.00	-222,121.21	
		Dispositions	-1,603.00		208,141.33
CL8681T102	SPOTIFY TECHNOLOGY S A COM EUR0.025	Acquisitions	1,580.00	-390,199.18	
		Dispositions	-1,030.00		298,464.32
C78467J100	SS&C TECHNOLOGIES HLDGS INC COM	Acquisitions	700.00	-42,580.23	
		Dispositions	-1,400.00		93,965.60
SBMM1PP4	STABILUS S.A. EUR0.01				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Acquisitions	151.00	-8,885.25	
		Dispositions	-567.00		41,263.46
CG8473T100	STERIS PLC ORD USD0.001				
		Acquisitions	100.00	-17,651.25	
		Dispositions	-25.00		4,771.34
S5962332	STMICROELECTRONICS EUR1.04				
		Acquisitions	5,356.00	-168,201.75	
		Dispositions	-11,629.00		448,124.93
CG85158106	STONECO LTD COM CLASS A				
		Acquisitions	1,788.00	-109,650.12	
		Dispositions	-550.00		36,873.43
S7156832	STRAUMANN HLDG CHF0.10 (REGD)				
		Acquisitions	239.00	-270,438.90	
		Dispositions	-141.00		168,485.97
C9921E0995	SV LIFE SCIENCES FUND IV				
		Acquisitions	45,000.00	-45,000.00	
		Dispositions	-1,811,812.00		1,811,812.00
SB1JB4K8	SYMRISE AG NPV (BR)				
		Acquisitions	343.00	-47,489.54	
		Dispositions	-4,698.00		582,529.45
C871607107	SYNOPSIS INC COM				
		Acquisitions	1,116.00	-239,632.31	
		Dispositions	-800.00		210,991.68
C874054109	TAKE-TWO INTERACTIVE SOFTWARE INC COM STK USD0.01				
		Acquisitions	275.00	-45,878.32	
		Dispositions	-139.00		26,150.74
SBLH94P9	TALLGRASS ENERGY 6% DUE 03-01-2027				
		Acquisitions	240,000.00	-248,400.00	
		Dispositions	-155,000.00		158,875.00
SBJ7WGS1	TEAMVIEWER AG NPV				
		Acquisitions	979.00	-49,484.88	
		Dispositions	-10,160.00		518,941.65
S7110902	TECAN GROUP AG CHF0.10 (REGD)				
		Acquisitions	57.00	-28,392.81	
		Dispositions	-216.00		99,837.35
C87918A105	TELADOC HEALTH INC				
		Acquisitions	735.00	-166,019.61	
		Dispositions	-740.68		121,157.97

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Free Receipt	393.68	80,336.33	
C879369106	TELEFLEX INC COM	Acquisitions	250.00	-85,593.28	
		Dispositions	-233.00		90,166.52
S5999330	TELEPERFORMANCE SOCIETE EUROPEENNE	Acquisitions	1,702.00	-568,845.51	
		Dispositions	-468.00		165,108.85
S0882929	TEMPLETON EMERGING MARKETS INV TRST ORD GBP0.25	Acquisitions	141,236.00	-1,506,899.38	
		Dispositions	-116,012.00		1,624,059.28
C880770102	TERADYNE INC COM	Acquisitions	2,700.00	-213,986.29	
		Dispositions	-1,105.00		131,737.17
C88087E100	TERMINIX GLOBAL HLDGS INC COM USD0.01	Acquisitions	200.00	-8,524.06	
		Dispositions	-600.00		28,604.36
		Free Receipt	1,050.00	34,284.83	
SBD3GT31	TEVA 3.15% DUE 10-01-2026	Acquisitions	520,000.00	-500,916.00	
		Dispositions	-80,000.00		76,100.00
C883203101	TEXTRON INC COM	Acquisitions	2,000.00	-72,190.00	
		Dispositions	-100.00		6,873.02
S4162791	THALES SA EUR3	Acquisitions	54.00	-4,077.37	
		Dispositions	-734.00		49,247.26
C88339J105	THE TRADE DESK INC COM CL A COM CL A	Acquisitions	635.00	-353,293.09	
		Dispositions	-475.00		132,533.41
		Free Receipt	4,140.00		
SBMTV739	THG PLC	Acquisitions	52,839.00	-344,569.75	
	GBP0.005	Dispositions	-7,947.00		77,476.30
C891092108	TORO CO COM	Acquisitions	500.00	-42,249.25	
		Dispositions	-825.00		79,132.10
C892356106	TRACTOR SUPPLY CO COM	Acquisitions	1,075.00	-162,444.09	

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
C892672106	TRADEWEB MKTS INC CL A CL A	Dispositions	-280.00		47,636.90
		Acquisitions	1,600.00	-91,895.87	
CG8994E103	TRANE TECHNOLOGIES PLC COM USD1	Dispositions	-1,735.00		121,878.98
		Acquisitions	350.00	-42,859.12	
C893641100	TRANSDIGM GROUP INC COM	Dispositions	-640.00		96,890.43
		Acquisitions	100.00	-52,367.50	
C89400J107	TRANSUNION COM	Dispositions	-129.00		64,683.77
		Acquisitions	1,000.00	-85,397.32	
SBXDZ972	TRYG A/S DKK5	Dispositions	-800.00		73,666.78
		Acquisitions	8,636.00	-279,042.00	
		Dispositions	-2,466.00		67,622.39
SBNKLL66	TRYG A/S DKK5 INT SHS 052021	Free Receipt	8,975.00	206,046.74	
		Acquisitions	8,975.00	-206,046.74	
SBNKLL55	TRYG A/S KK5 (S/R 19/03/2021)	Free Delivery	-8,975.00		
		Dispositions	-1.00		0.00
		Free Delivery	-53,850.00		
C90138F102	TWILIO INC CL A CL A	Free Receipt	53,851.00	55,113.20	
		Acquisitions	1,180.00	-323,857.30	
C902252105	TYLER TECHNOLOGIES INC COM STK	Dispositions	-1,085.00		390,205.14
		Acquisitions	275.00	-96,628.20	
C902494103	TYSON FOODS INC CL A COM (DELAWARE)	Dispositions	-133.00		56,466.82
		Acquisitions	2,600.00	-154,646.50	
C90364P105	UIPATH INC CL A CL A	Dispositions	-300.00		18,973.72
		Acquisitions	1,548.00	-104,088.94	
C90384S303	ULTA BEAUTY INC COM STK USD0.01	Dispositions	-300.00		23,944.37
		Acquisitions	385.00	-98,545.22	

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Dispositions	-235.00		62,633.17
C90400D108	ULTRAGENYX PHARMACEUTICAL INC COM	Acquisitions	300.00	-26,118.13	
		Dispositions	-250.00		33,534.52
SB10RZP7	UNILEVER PLC ORD GBP0.031111	Acquisitions	509.00	-31,378.68	
		Dispositions	-6,978.00		420,579.53
S0692861	UNITE GROUP ORD GBP0.25	Acquisitions	1,680.00	-18,194.36	
		Dispositions	-10,459.00		154,972.74
C911363109	UNITED RENTALS INC COM	Acquisitions	205.00	-57,995.97	
		Dispositions	-283.00		52,565.56
C91307C102	UNITED THERAPEUTICS CORP DEL COM STK	Acquisitions	250.00	-36,722.23	
		Dispositions	-72.00		12,346.46
SBMFV4N2	UTD AIRLS 2020-1A 5.875% DUE 04-15-2029	Acquisitions	1,030,000.00	-1,030,000.00	
		Dispositions	-830,153.50		914,172.03
C920253101	VALMONT INDS INC COM	Acquisitions	100.00	-12,458.75	
		Dispositions	-125.00		25,490.90
C92047W101	VALVOLINE INC COM	Acquisitions	7,100.00	-165,767.97	
		Dispositions	-630.00		12,902.21
C922475108	VEEVA SYS INC CL A COM CL A COM	Acquisitions	1,185.00	-323,808.48	
		Dispositions	-550.00		151,936.44
C92343E102	VERISIGN INC COM	Acquisitions	325.00	-66,703.69	
		Dispositions	-365.00		75,302.83
C92345Y106	VERISK ANALYTICS INC COM USD0.001	Acquisitions	1,085.00	-201,185.96	
		Dispositions	-505.00		88,549.62
CU92222AF2	VIASAT INC FIXED 6.5% DUE 07-15-2028	Acquisitions	180,000.00	-190,350.00	
		Dispositions	-85,000.00		89,675.00
C92556V106	VIATRIS INC				

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
		Dispositions	-3,288.14		58,016.31
		Free Receipt	4,628.14	58,040.10	
SB1XH026	VINCI EUR2.50	Acquisitions	650.00	-62,007.84	
		Dispositions	-1,794.00		188,673.85
C928881101	VONTIER CORP COM USD0.0001 WI	Dispositions	-140.00		4,221.68
		Free Receipt	140.00	2,893.87	
C929160109	VULCAN MATERIALS CO COM	Acquisitions	750.00	-110,769.86	
		Dispositions	-1,174.00		171,992.16
C94106B101	WASTE CONNECTIONS INC COM	Acquisitions	875.00	-100,132.39	
		Dispositions	-700.00		73,762.74
C942622200	WATSCO INC COM	Acquisitions	75.00	-17,520.19	
		Dispositions	-150.00		36,109.15
C94419L101	WAYFAIR INC CL A CL A	Acquisitions	825.00	-236,166.14	
		Dispositions	-225.00		66,163.30
C947890109	WEBSTER FNCL CORP WATERBURY CONN COM	Acquisitions	700.00	-18,542.72	
		Dispositions	-1,223.00		47,132.66
S0946580	WEIR GROUP ORD GBP0.125	Acquisitions	850.00	-13,742.70	
		Dispositions	-11,638.00		298,728.55
C9921E5994	WELLSPRING CAPITAL PARTNERS V, L.P.	Acquisitions	66,980.00	-66,980.00	
		Dispositions	-97,875.00		97,875.00
C955306105	WEST PHARMACEUTICAL SVCS INC COM	Acquisitions	512.00	-140,507.84	
		Dispositions	-150.00		51,246.84
C96208T104	WEX INC COM	Acquisitions	275.00	-45,292.40	
		Dispositions	-472.00		79,682.95
SB58S538	WFRBS COML MTG TR VAR RT 5.54909801483% DUE 03-15-2044	Acquisitions	115,000.00	-53,115.63	
		Dispositions	-7,221.76		7,221.76

◆ Schedule of Acquisitions & Dispositions

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
SBKPM646	WHITING PETE CORP COM NEW	Dispositions	-13,406.91		334,024.36
		Free Receipt	13,406.91	782,036.26	
C969904101	WILLIAMS SONOMA INC COM	Acquisitions	475.00	-62,158.38	
		Dispositions	-225.00		32,776.37
CM98068105	WIX.COM LTD COM ILS0.01	Acquisitions	257.00	-67,162.28	
		Dispositions	-285.00		71,396.95
C98138H101	WORKDAY INC CL A COM USD0.001	Acquisitions	100.00	-21,791.75	
		Dispositions	-445.00		93,647.11
C98139A105	WORKIVA INC COM CL A COM CL A	Acquisitions	402.00	-36,811.54	
		Dispositions	-100.00		9,489.45
SBNFWR44	WORLDLINE EUR0.68	Acquisitions	1,804.00	-161,244.38	
		Dispositions	-1,456.00		124,511.53
C983134107	WYNN RESORTS LTD COM	Acquisitions	520.00	-56,386.94	
		Dispositions	-450.00		38,855.05
C983919101	XILINX INC COM	Acquisitions	1,970.00	-206,283.96	
		Dispositions	-3,271.00		397,751.78
C98419M100	XYLEM INC COM	Acquisitions	100.00	-8,432.75	
		Dispositions	-685.00		57,424.38
C988498101	YUM BRANDS INC COM	Acquisitions	250.00	-26,609.93	
		Dispositions	-150.00		16,162.84
C98850P109	YUM CHINA HLDGS INC COM	Acquisitions	450.00	-26,983.38	
		Dispositions	-800.00		43,038.55
C989207105	ZEBRA TECHNOLOGIES CORP CL A	Acquisitions	325.00	-88,983.70	
		Dispositions	-130.00		55,488.80
C98936J101	ZENDESK INC COM	Acquisitions	400.00	-41,241.52	

◆ **Schedule of Acquisitions & Dispositions**

Asset ID	Security Description	Transaction	Shares/Par	Cost of Acquisitions	Proceeds of Dispositions
C98986T108	ZYNGA INC	Dispositions	-300.00		40,997.42
		Acquisitions	10,000.00	-95,016.42	
C316773100	5TH 3RD BANCORP COM	Dispositions	-1,800.00		19,502.90
		Acquisitions	2,100.00	-44,782.50	
		Dispositions	-717.00		14,881.43

◆ 5% Report - Part A

Single Transaction in Excess of 5%

Security Description / Asset ID	Shares/Par Value	Date	Acquisition Price	Disposition Price	Lease Rental	Expenses Incurred	Cost	Current Value on Transaction Date	Net Gain/Loss
Value of Interest in Common/Collective Trusts									
United States - USD									
CF BLACKROCK ALPHACREDIT INVESTMENT GRAD E FUND A CUSIP: 56G999G27	16,505,712.490	1 Oct 20	12.0680			0.00	199,200,000.00	199,200,000.00	0.00
CF INVESCO BALANCED RISK ALLOCATON TRUST FUND CUSIP: 175996HY6	8,347,862.180	30 Sep 20	24.0900			0.00	201,100,000.00	201,100,000.00	0.00
CF INVESCO BALANCED RISK ALLOCATON TRUST FUND CUSIP: 175996HY6	8,268,914.470	6 Oct 20	24.3200			0.00	201,100,000.00	201,100,000.00	0.00
CF INVESCO BALANCED RISK ALLOCATON TRUST FUND CUSIP: 175996HY6	-5,874,125.870	27 May 21		0.0000		0.00	135,150,980.05	168,000,000.00	32,849,019.95
CF SSGA 3-10 YR US TREAS INDEX SEC LENDING FD (CM1L) CUSIP: 25F999H63	9,956,323.340	1 Oct 20	0.0000			0.00	199,923,086.00	199,923,086.00	0.00
NTGI COLLECTIVE GOVERNMENT SHORT TERM INVESTMENT FUND CUSIP: 1959979V5	363,558,016.000	8 Sep 20	1.0000			0.00	363,558,016.00	363,558,016.00	0.00
NTGI COLLECTIVE GOVERNMENT SHORT TERM INVESTMENT FUND CUSIP: 1959979V5	-693,821,566.950	1 Oct 20		1.0000		0.00	693,821,566.95	693,821,566.95	0.00
NTGI COLLECTIVE GOVERNMENT SHORT TERM INVESTMENT FUND CUSIP: 1959979V5	-273,939,412.270	5 Oct 20		1.0000		0.00	273,939,412.27	273,939,412.27	0.00
NTGI COLLECTIVE GOVERNMENT SHORT TERM INVESTMENT FUND CUSIP: 1959979V5	-201,846,762.330	7 Oct 20		1.0000		0.00	201,846,762.33	201,846,762.33	0.00
Other									
United States - USD									
CF AQR GRP EL OFFSHORE FUND LTD CL A NR E-2021 05 31 CUSIP: 991806779	130,478.980	1 Jun 21	1,134.2820			0.00	148,000,000.00	148,000,000.00	0.00

NOTE: TRANSACTIONS ARE BASED ON THE 2020-06-30 VALUE (INCLUDING ACCRUALS) OF 2,881,557,335.32

◆ 5% Report - Part B

Series of Non-Security Transactions with Same Party in Excess of 5%

Security Description / Asset ID	Shares/Par Value	Date	Acquisition Price	Disposition Price	Lease Rental	Expenses Incurred	Cost	Current Value on Transaction Date	Net Gain/Loss
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THERE ARE NO REPORTABLE TRANSACTIONS

NOTE: TRANSACTIONS ARE BASED ON THE 2020-06-30 VALUE (INCLUDING ACCRUALS) OF 2,881,557,335.32

◆ 5% Report - Part C Summary

Series of Transactions by Issue in Excess of 5%

Security Description / Asset ID	Number of Transactions	Transaction Aggregate		Lease Rental	Expenses Incurred	Cost of Asset	Current Value of Asset on Transaction
		Acquisition Price	Disposition Price				
CF BLACKROCK ALPHACREDIT INVESTMENT GRAD E FUND A CUSIP: 56G999G27	Total acquisitions	1	199,200,000.00		0.00	199,200,000.00	199,200,000.00
	Total dispositions	4			0.00	39,720,216.58	45,167,580.50
CF INVESCO BALANCED RISK ALLOCATON TRUST FUND CUSIP: 175996HY6	Total acquisitions	2	402,200,000.00		0.00	402,200,000.00	402,200,000.00
	Total dispositions	15			0.00	213,183,090.02	259,379,269.06
CF SSGA 1-3 YR US TREAS INDEX SEC LENDING FD (CM1J) CUSIP: 25G999H39	Total acquisitions	25	190,342,725.38		0.00	190,342,725.38	190,342,725.38
	Total dispositions	18			0.00	75,222,138.36	77,609,591.67
CF SSGA 3-10 YR US TREAS INDEX SEC LENDING FD (CM1L) CUSIP: 25F999H63	Total acquisitions	25	254,135,433.96		0.00	254,135,433.96	254,135,433.96
	Total dispositions	18			0.00	72,606,410.73	76,620,922.21
NTGI COLLECTIVE GOVERNMENT SHORT TERM INVESTMENT FUND CUSIP: 1959979V5	Total acquisitions	45	656,299,915.72		0.00	656,299,915.72	656,299,915.72
	Total dispositions	207			0.00	1,726,301,117.70	1,726,301,117.70

NOTE: TRANSACTIONS ARE BASED ON THE 2020-06-30 VALUE (INCLUDING ACCRUALS) OF 2,881,557,335.32

◆ 5% Report - Part D

Series of Transactions with Same Party in Excess of 5%

Security Description / Asset ID	Shares/Par Value	Date	Acquisition Price	Disposition Price	Lease Rental	Expenses Incurred	Cost	Current Value on Transaction Date	Net Gain/Loss
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THERE ARE NO REPORTABLE TRANSACTIONS

NOTE: TRANSACTIONS ARE BASED ON THE 2020-06-30 VALUE (INCLUDING ACCRUALS) OF 2,881,557,335.32



September 25, 2020

Board of Trustees
United Mine Workers of America 1974 Pension Plan
2121 K Street NW, Suite 350
Washington, D.C. 20037

Re: 2020 Actuarial Certification Under the Pension Protection Act

Dear Trustees:

The following information is intended to comply with the annual certification requirements of IRC section 432, with respect to the funded status of the United Mine Workers of America 1974 Pension Plan.

Identifying Information

Plan Name: United Mine Workers of America 1974 Pension Plan
EIN/Plan #: 52-1050282/002
Plan year of Certification: year beginning July 1, 2020
Plan Sponsor: Settlers – United Mine Workers of America 1974 Pension Trust
Sponsor Address: 2121 K Street N.W., Suite 350, Washington, DC 20037-1879
Sponsor Telephone: (202) 521-2200
Enrolled Actuary Name: William J. Ruschau
Enrollment Number: 20-03137
Actuary Address: 7622 Millcrest St., Columbus, OH 43235
Actuary Telephone: (614) 264-4762

Certification of Plan Status

I certify that the above-named Plan is in the following status(es) as of July 1, 2020 (all that apply are checked):

- Safe--Neither Endangered nor Critical Status _____
- Safe--Neither Endangered nor Critical Status
Due to Special Rule _____
- Endangered Status _____
- Seriously Endangered Status _____
- Projected to be in Critical Status within 5 years _____
- Critical Status _____ X
- Critical and Declining Status _____

This certification is based on the following results:

- Projected funded ratio as of July 1, 2020: 52.8%
- Previously emerged from critical status using IRC Section 432(e)(4)(B)(ii)(I) special emergence rule?: No
- First projected deficiency: Existing deficiency, FSA projected to remain a funding deficiency as of June 30, 2021
- At least 8 years of benefit payments in plan assets?: No
- Projected insolvency in the next 20 years?: None projected

Certification of Scheduled Progress

I certify that the above-named Plan has made scheduled progress as of July 1, 2020 as outlined in the February 26, 2015 rehabilitation plan, which was updated on May 25, 2016, August 15, 2016, May 26, 2017, April 24, 2018, April 24, 2019, and April 24, 2020. Projections indicate that the Plan is not projected to emerge from Critical status at the end of the rehabilitation period as specified in the rehabilitation plan. This rehabilitation plan, however, includes the use of the “exhaustion of all reasonable measures” clause of IRC Section 432(e)(3)(A)(ii). Therefore, we interpret scheduled progress for this Plan to mean continuing to use all reasonable measures to forestall insolvency and it is my understanding that such consideration was made in the past year.

Basis for Result

The certification utilizes the assumptions, methods, plan provisions and demographic data as disclosed in the July 1, 2019 actuarial valuation report with the following exceptions:

- The market value of assets on the June 30, 2020 was based on unaudited financial statements provided by the plan administrator. Contributions, benefit payments, and expenses for the 2019-20 plan year were also based on these financial statements.
- For Freeman United, which has withdrawn from the plan, it was assumed that employer withdrawal liability payments of \$1,843,370.04 would be made annually.
- For Peabody Coal, which has withdrawn from the plan, it was assumed that employer withdrawal liability payments of \$30,000,000 in the 2020-21 plan year would be made.
- For Alpha Natural Energy, which has withdrawn from the plan, it was assumed that employer withdrawal liability payments of \$2,000,000 each in the 2020-21 and 2021-22 plan years would be made.
- For Energy West, which has withdrawn from the plan, it was assumed that employer withdrawal liability payments of \$2,967,013.44 would be made annually.

- For Bud Davis Trucking Inc., which has withdrawn from the plan, it was assumed that employer withdrawal liability payments of \$48,885 would be made annually.
- For Barbara Jean Coal Company, Inc., which has withdrawn from the plan, it was assumed that employer withdrawal liability payments of \$2,934.72 would be made annually.
- For Consol Amonate, which has withdrawn from the plan, it was assumed that employer withdrawal liability payments of \$5,956.44 would be made annually.
- The expected future transfers due to the Bipartisan American Miners Act were included. For the credit balance projection, it was assumed these transfers would be treated as actuarial gains and be amortized over 15 years. The expected amounts were provided by the UMWA Funds Office and shown below:

Plan Year	Transfer
2020-21	\$272,245,000
2021-22	\$258,864,000
2022-23	\$259,438,000
2023-24	\$266,260,000
2024-25	\$273,328,000
2025-26	\$280,321,000
2026-27	\$286,122,000
2027-28	\$292,822,000

Plan Year	Transfer
2028-29	\$302,388,000
2029-30	\$312,313,000
2030-31	\$321,840,000
2031-32	\$331,005,000
2032-33	\$334,200,000
2033-34	\$341,600,000
2034-35	\$349,100,000
2035-36	\$356,500,000

- The hours for the 2019-20 plan year were assumed to be 2,459,000 as provided by the UMWA Funds Office. For subsequent plan years, the following hours were assumed:

Plan Year	Hours
2020-21	526,644
2021-22	128,988
2022-23	116,089
2023-24	104,480
2024-25	94,032

Plan Year	Hours
2025-26	84,629
2026-27	76,166
2027-28	68,550
2028-29	61,695
2029-30	55,525

The UMWA Funds Office provided the expected future hours for the 2020-21 and 2021-22 plan years. For plan years after the 2021-22 plan year, total member work hours are assumed to decrease 3% per year, and New Inexperienced Miners (NIMs) are assumed to be 50% of new hires.

No contributions are made for NIMs and no pension benefits are assumed to be earned by them. Unit credit normal cost was assumed to decrease at the same rate as future contributions.

I am a member of the American Academy of Actuaries and meet the Qualification Standards of the American Academy of Actuaries to render the actuarial opinion contained herein. This certification is intended to be in good faith compliance with the necessary disclosures for certification and represents my best estimate of the Plan's funded position. We are available to answer questions regarding this certification.

Sincerely,



William J. Ruschau, FSA, EA, MAAA
Consulting Actuary
Enrollment Number: 20-03137

Date of Signature: September 25, 2020

cc: Secretary of the Treasury
Settlers of the United Mine Workers of America 1974 Pension Plan
Mr. Paul Bullock, Co-Consultant
Mr. John C. Adams, Director of Investments
Ms. Caroline Kettering, Auditor

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September 24, 2021

Board of Trustees
United Mine Workers of America 1974 Pension Plan
2121 K Street NW, Suite 350
Washington, D.C. 20037

Re: 2021 Actuarial Certification Under the Pension Protection Act

Dear Trustees:

The following information is intended to comply with the annual certification requirements of IRC section 432, with respect to the funded status of the United Mine Workers of America 1974 Pension Plan.

Identifying Information

Plan Name: United Mine Workers of America 1974 Pension Plan
EIN/Plan #: 52-1050282/002
Plan year of Certification: year beginning July 1, 2021
Plan Sponsor: Settlers – United Mine Workers of America 1974 Pension Trust
Sponsor Address: 2121 K Street N.W., Suite 350, Washington, DC 20037-1879
Sponsor Telephone: (202) 521-2200
Enrolled Actuary Name: William J. Ruschau
Enrollment Number: 20-03137
Actuary Address: 7622 Millcrest St., Columbus, OH 43235
Actuary Telephone: (614) 264-4762

Certification of Plan Status

I certify that the above-named Plan is in the following status(es) as of July 1, 2021 (all that apply are checked):

Safe--Neither Endangered nor Critical Status	_____
Safe--Neither Endangered nor Critical Status Due to Special Rule	_____
Endangered Status	_____
Seriously Endangered Status	_____
Projected to be in Critical Status within 5 years	_____
Critical Status	_____ X _____
Critical and Declining Status	_____

This certification is based on the following results:

- Projected funded ratio as of July 1, 2021: 48.1%
- Previously emerged from critical status using IRC Section 432(e)(4)(B)(ii)(I) special emergence rule?: No
- First projected deficiency: Existing deficiency, FSA projected to remain a funding deficiency as of June 30, 2022
- At least 8 years of benefit payments in plan assets?: No
- Projected insolvency within 20 years?: None projected

Certification of Scheduled Progress

I certify that the above-named Plan has made scheduled progress as of July 1, 2021 as outlined in the February 26, 2015 rehabilitation plan, which was updated on May 25, 2016, August 15, 2016, May 26, 2017, April 24, 2018, April 24, 2019, April 24, 2020, and April 26, 2021. Projections indicate that the Plan is not projected to emerge from Critical status at the end of the rehabilitation period as specified in the rehabilitation plan. This rehabilitation plan, however, includes the use of the “exhaustion of all reasonable measures” clause of IRC Section 432(e)(3)(A)(ii). Therefore, we interpret scheduled progress for this Plan to mean continuing to use all reasonable measures to forestall insolvency and it is my understanding that such consideration was made in the past year.

Basis for Result

The certifications utilize the assumptions, methods, plan provisions and demographic data as disclosed in the July 1, 2020 actuarial valuation report with the following exceptions:

- The market value of assets on the June 30, 2021 was based on unaudited financial statements provided by the plan administrator. Contributions, benefit payments, and expenses for the 2020-21 plan year were also based on these financial statements.
- Note that for evaluation of the years of benefit payments the current asset value alone is used, with only an adjustment for future income using the 4.5% assumed return. For the funding deficiency projection future investment earnings, employer contributions, withdrawal liability payments, and asset transfers are included.
- For Freeman United, which has withdrawn from the plan, it was assumed that employer withdrawal liability payments of \$1,843,370.04 would be made annually.
- For Peabody Coal, which has withdrawn from the plan, it was assumed that employer withdrawal liability payments of \$15,000,000 in the 2021-22 plan year would be made.

- For Alpha Natural Energy, which has withdrawn from the plan, it was assumed that employer withdrawal liability payment of \$1,155,680 in the 2021-22 plan year would be made.
- For Energy West, which has withdrawn from the plan, it was assumed that employer withdrawal liability payments of \$2,967,013.44 would be made annually.
- For Barbara Jean Coal Company, Inc., which has withdrawn from the plan, it was assumed that employer withdrawal liability payments of \$2,934.72 would be made annually.
- For Consol Amonate, which has withdrawn from the plan, it was assumed that employer withdrawal liability payments of \$5,956.44 would be made annually.
- The expected future transfers due to the Bipartisan American Miners Act were included. For the credit balance projection, it was assumed these transfers would be treated as actuarial gains and be amortized over 15 years. The expected amounts were provided by the UMWA Funds Office and shown below:

Plan Year	Transfer
2021-22	\$373,736,000
2022-23	\$295,884,000
2023-24	\$304,007,000
2024-25	\$313,978,000
2025-26	\$324,113,000
2026-27	\$332,398,000

Plan Year	Transfer
2027-28	\$340,966,000
2028-29	\$352,087,000
2029-30	\$362,814,000
2030-31	\$373,969,000
2031-32	\$385,371,000

- The hours for the 2020-21 plan year were assumed to be 526,652 as provided by the UMWA Funds Office. For subsequent plan years, the following hours were assumed:

Plan Year	Hours
2021-22	95,623
2022-23	86,061
2023-24	77,455
2024-25	69,709
2025-26	62,739

Plan Year	Hours
2026-27	56,465
2027-28	50,818
2028-29	45,736
2029-30	41,163
2030-31	37,046

The UMWA Funds Office provided the expected future hours for the 2021-22 through 2024-25 plan years. For plan years after the 2024-25 plan year, total member work hours are assumed to decrease 3% per year, and New Inexperienced Miners (NIMs) are assumed to be 50% of new hires.

No contributions are made for NIMs and no pension benefits are assumed to be earned by them. Unit credit normal cost was assumed to decrease at the same rate as future contributions.

I am a member of the American Academy of Actuaries and meet the Qualification Standards of the American Academy of Actuaries to render the actuarial opinion contained herein. These

certifications are intended to be in good faith compliance with the necessary disclosures for certification and represent my best estimate of the Plan's funded position. I am available to answer questions regarding these certifications.

Sincerely,



William J. Ruschau, FSA, EA, MAAA
Consulting Actuary
Enrollment Number: 20-03137

Date of Signature: September 24, 2021

cc: Secretary of the Treasury
Settlers of the United Mine Workers of America 1974 Pension Plan
Mr. Paul Bullock, Co-Consultant
Mr. John C. Adams, Director of Investments
Ms. Caroline Kettering, Auditor

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UNITED MINE WORKERS OF AMERICA 1974 PENSION PLAN

EIN 52-1050282

Plan No. 002

Plan Year Ended June 30, 2021

Form 5500, Schedule H, Part III

Financial Statements used to formulate IQPA's opinion

The entire report has been attached to the Accountant's Opinion

UNITED MINE WORKERS OF AMERICA
1974 PENSION PLAN
EIN: 52-1050282/PN: 002
ATTACHMENT TO 2020 SCHEDULE MB: LINE 4B
STATEMENT BY ENROLLED ACTUARY

Schedule MB, line 4b - Illustration Supporting Actuarial Certification of Status

The plan was certified in Critical status as of July 1, 2020. Refer to the attached PPA certification. This result is based on a funded ratio of 52.8% and an existing funding deficiency, which is projected to remain negative at the end of the 2020-21 plan year as shown in the table below:

As of	Credit Balance/ (Funding Deficiency)
6/30/2020	(1,160,223,000)
6/30/2021	(1,530,795,000)

**UNITED MINE WORKERS OF AMERICA
1974 PENSION PLAN
EIN: 52-1050282/PN: 002
ATTACHMENT TO 2020 SCHEDULE MB: LINE 4F
STATEMENT BY ENROLLED ACTUARY**

Schedule MB, line 4f – Assumptions Used to Project Plan Year of Emergence from Critical Status

The plan is no longer projected to become insolvent. The assumptions used to project no insolvency are the same as those used in the attached 2021 PPA certification dated September 24, 2021

UNITED MINE WORKERS OF AMERICA

1974 PENSION PLAN

EIN: 52-1050282/PN: 002

ATTACHMENT TO 2020 SCHEDULE MB: LINE 4F (CONT.)

PYB	7/1/2021	7/1/2022	7/1/2023	7/1/2024	7/1/2025
PYE	6/30/2022	6/30/2023	6/30/2024	6/30/2025	6/30/2026
Market Value at beg. of yr.	3,235,963,214	3,163,065,010	3,006,389,248	2,865,512,553	2,743,863,721
Contributions	21,453,070	5,249,580	5,206,550	5,167,822	5,132,967
Administrative expenses	(22,000,000)	(22,000,000)	(22,000,000)	(22,000,000)	(22,000,000)
Benefit payments	(577,548,957)	(564,014,943)	(549,596,015)	(534,331,547)	(518,717,668)
Investment earnings	131,462,078	128,205,203	121,505,442	115,537,330	110,443,062
BAMA Transfers	373,735,605	295,884,398	304,007,328	313,977,563	324,113,335
Market Value at end of yr.	3,163,065,010	3,006,389,248	2,865,512,553	2,743,863,721	2,642,835,417
PYB	7/1/2026	7/1/2027	7/1/2028	7/1/2029	7/1/2030
PYE	6/30/2027	6/30/2028	6/30/2029	6/30/2030	6/30/2031
Market Value at beg. of yr.	2,642,835,417	2,561,998,148	2,503,001,628	2,469,819,837	2,463,542,216
Contributions	5,101,598	5,073,366	5,047,957	5,025,088	5,004,507
Administrative expenses	(22,000,000)	(22,000,000)	(22,000,000)	(22,000,000)	(22,000,000)
Benefit payments	(502,625,528)	(486,089,554)	(469,128,212)	(451,855,827)	(434,412,214)
Investment earnings	106,288,441	103,053,295	100,811,403	99,738,805	99,881,111
BAMA Transfers	332,398,220	340,966,373	352,087,061	362,814,313	373,968,848
Market Value at end of yr.	2,561,998,148	2,503,001,628	2,469,819,837	2,463,542,216	2,485,984,468
PYB	7/1/2031	7/1/2032	7/1/2033	7/1/2034	7/1/2035
PYE	6/30/2032	6/30/2033	6/30/2034	6/30/2035	6/30/2036
Market Value at beg. of yr.	2,485,984,468	2,539,053,331	2,604,932,599	2,697,877,640	2,819,991,909
Contributions	4,985,984	4,969,313	4,954,309	4,940,806	4,928,653
Administrative expenses	(22,000,000)	(22,000,000)	(22,000,000)	(22,000,000)	(22,000,000)
Benefit payments	(416,612,385)	(398,465,052)	(380,066,437)	(361,337,167)	(342,524,547)
Investment earnings	101,324,533	104,154,658	107,567,407	112,206,205	118,159,675
BAMA Transfers	385,370,731	377,220,349	382,489,762	388,304,425	-
Market Value at end of yr.	2,539,053,331	2,604,932,599	2,697,877,640	2,819,991,909	2,578,555,690
PYB	7/1/2036	7/1/2037	7/1/2038	7/1/2039	7/1/2040
PYE	6/30/2037	6/30/2038	6/30/2039	6/30/2040	6/30/2041
Market Value at beg. of yr.	2,578,555,690	2,345,754,773	2,122,109,871	1,907,982,060	1,703,681,901
Contributions	4,917,715	4,907,871	4,899,011	4,891,037	4,883,861
Administrative expenses	(22,000,000)	(22,000,000)	(22,000,000)	(22,000,000)	(22,000,000)
Benefit payments	(323,477,736)	(304,303,033)	(285,179,041)	(266,170,838)	(247,298,216)
Investment earnings	107,759,104	97,750,260	88,152,219	78,979,642	70,246,019
BAMA Transfers	-	-	-	-	-
Market Value at end of yr.	2,345,754,773	2,122,109,871	1,907,982,060	1,703,681,901	1,509,513,565

UNITED MINE WORKERS OF AMERICA
1974 PENSION PLAN
EIN: 52-1050282/PN: 002
ATTACHMENT TO 2020 SCHEDULE MB: LINE 3
STATEMENT BY ENROLLED ACTUARY

Schedule MB, line 3 – Withdrawal Liability Amounts / Employer Contributions

The employer contributions shown in line 3 of the Schedule MB were contributed or accrued throughout the plan year for work performed during the plan year with the exception of the below amounts which were owed for withdrawal liability.

Date	Withdrawal Liability Total Amounts
7/2020	\$ 15,401,851
8/2020	409,509
9/2020	3,499,792
10/2020	401,606
11/2020	401,851
12/2020	1,557,286
1/2021	401,606
2/2021	413,665
3/2021	401,606
4/2021	402,103
5/2021	401,110
6/2021	385,302

UNITED MINE WORKERS OF AMERICA
1974 PENSION PLAN
EIN: 52-1050282/PN: 002
ATTACHMENT TO 2020 SCHEDULE MB: LINE 4C
STATEMENT BY ENROLLED ACTUARY

Schedule MB, line 4c - Documentation Regarding Progress Under Funding Improvement or Rehabilitation Plan

The Plan has made the scheduled progress as of July 1, 2021 as outlined in the 2015 rehabilitation plan, which was updated on April 26, 2021. This is based on the data, plan provisions, assumptions and methods as described in the attached certification dated September 24, 2021. Projections indicate that the Plan is not projected to emerge from Critical at the end of the rehabilitation plan period. This rehabilitation plan, however, includes the use of the “exhaustion of all reasonable measures” clause of IRC 432(e)(3)(A)(ii). Therefore, we interpret scheduled progress for this Plan to mean continued use of all reasonable measures to forestall insolvency. Due to competitive pressures, the trustees do not believe any further contribution rate increase or benefit changes could be supported at this time without having a net negative impact on the Fund. The trustees continue to monitor this situation annually.

ACTUARIAL ASSUMPTIONS

The following assumptions are used throughout this report except as specifically noted herein.

Valuation date	July 1, 2020
Interest rates	
<i>ERISA rate of return used to value liabilities</i>	4.50% per year net of investment expenses
<i>Unfunded vested benefits and ASC 960 accounting</i>	2.11% for 20 years, then 1.92% thereafter
<i>Current liability</i>	2.68% (in accordance with Section 431(c)(6) of the Internal Revenue Code)
Administrative expenses	
<i>Funding</i>	\$22,000,000 per year excluding investment expenses.
<i>ASC 960</i>	A 3.75% load was applied to the accrued liabilities for 2020 (4.00% for 2019).
Loading for non-reported vested terminated participants (1950 Plan)	Terminated vested liabilities increased by 0.6%
Mortality	
<i>Assumed plan mortality</i>	110% of the RP-2006 Blue Collar Mortality Tables for employees and healthy annuitants projected forward using the MP-2019 projection scale.
<i>Post-disablement mortality</i>	110% of the RP-2006 Generational Blue Collar Mortality Tables for disabled annuitants projected forward using the MP-2019 projection scale.
<i>Current liability</i>	Separate annuitant and non-annuitant rates based on the RP-2000 Mortality Tables Report developed for males and females as prescribed by Section 431(c)(6) of the Internal Revenue Code.

ACTUARIAL ASSUMPTIONS (CONT.)

Withdrawal

125% of the Vaughn Table ultimate rates plus 4%

Withdrawal	
<u>Age</u>	<u>Rate</u>
20	.273
30	.166
40	.121
50	.096
55	.000

Participants terminating before age 55 with at least 20 years of signatory service are assumed to be permanently laid off.

For the 2020-21 plan year a one year select rate of 93.7% is used to reflect the reduction in active population due to the bankruptcies of Murray Energy and Mission Coal and the withdrawal of Drummond.

Disability

1.5% per year for ages 20 through 64

Retirement

According to the following schedule:

<u>Age</u>	<u>Active Participants</u>		<u>Vested Terminations</u>
	<u>Service <30 Years</u>	<u>Service ≥30 Years</u>	
50-53	.00	.13	.00
54	.00	.20	.00
55	.10	.38	.45
56	.07	.34	.19
57	.07	.30	.12
58	.08	.30	.09
59	.09	.30	.06
60	.10	.30	.06
61	.14	.35	.06
62	.40	.70	1.00
63	.30	.45	1.00
64	.60	.30	1.00
65	1.00	1.00	1.00

Resulting in an average expected retirement age of 60.4.

For the 2020-21 plan year a one year select rate of 93.7% is used to reflect the reduction in active population due to the bankruptcies of Murray Energy and Mission Coal and the withdrawal of Drummond.

ACTUARIAL ASSUMPTIONS (CONT.)

Future service	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center; border-bottom: 1px solid black;"><u>Participant Category</u></th> <th style="text-align: center; border-bottom: 1px solid black;"><u>Future Service</u></th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">Active participants who earned a full year of service every calendar year since entry, during the period starting in 1997</td> <td style="text-align: center; padding: 5px;">1.00 year</td> </tr> <tr> <td style="padding: 5px;">All other active participants</td> <td style="text-align: center; padding: 5px;">0.90 year</td> </tr> </tbody> </table> <p style="padding: 5px;">Active Electing Miner and NIMs will earn one Year of Supplemental Pension Contributions for each future calendar year until they enter terminated or retired status.</p>	<u>Participant Category</u>	<u>Future Service</u>	Active participants who earned a full year of service every calendar year since entry, during the period starting in 1997	1.00 year	All other active participants	0.90 year	
<u>Participant Category</u>	<u>Future Service</u>							
Active participants who earned a full year of service every calendar year since entry, during the period starting in 1997	1.00 year							
All other active participants	0.90 year							
Entry Age	<p style="padding: 5px;"><u>Participants with credible past service data</u>: Actual entry age. Category includes participants whose first service credit occurred in 1979 or later at age 45 or younger.</p> <p style="padding: 5px;"><u>Participants without complete past service data</u>: Assumed to enter at age 24 or present age, if younger.</p>							
Past service	<p style="padding: 5px;"><u>Participants with credible past service data</u>: Actual service earned to end of calendar year preceding valuation date plus ½ of the assumed future service for the six-month period ending on the valuation date.</p> <p style="padding: 5px;"><u>Participants without complete past service data</u>: The sum of (a) plus (b) plus (c). (a) ½ of the assumed future service for the six-month period ending on the valuation date. (b) Actual signatory service credits for calendar years 1977 and later. (c) For periods of assumed service prior to 1977, according to the following chart:</p> <table style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="text-align: center; border-bottom: 1px solid black;"><u>Participant Category</u></th> <th style="text-align: center; border-bottom: 1px solid black;"><u>Service</u></th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">Active participants who earned a full year of service every calendar year since entry, during the period starting in 1977</td> <td style="text-align: center; padding: 5px;">1.00 year</td> </tr> <tr> <td style="padding: 5px;">All other active and terminated participants</td> <td style="text-align: center; padding: 5px;">0.85 year</td> </tr> </tbody> </table> <p style="padding: 5px;">Past service is not imputed for New Inexperienced Miners</p>	<u>Participant Category</u>	<u>Service</u>	Active participants who earned a full year of service every calendar year since entry, during the period starting in 1977	1.00 year	All other active and terminated participants	0.85 year	
<u>Participant Category</u>	<u>Service</u>							
Active participants who earned a full year of service every calendar year since entry, during the period starting in 1977	1.00 year							
All other active and terminated participants	0.85 year							

ACTUARIAL ASSUMPTIONS (CONT.)

Rehire	Retired, disabled and terminated participants are assumed to be permanently retired or terminated and not assumed to be rehired.
Future hours worked	526,644 hours for the plan year ending in 2021
Attained age	All participants are assumed to be at least 18 years old. All active participants are assumed to be less than 80 years old. Adjustments were made to the data if participants were reported outside those ranges. (If an active participant is reported younger than 18 years old they are adjusted so that their entry age was 18.)
Age of participants with unrecorded birth dates	Based on average age of the other participants in the same status category
Gender	All participants, other than surviving spouses, are assumed to be male
Marriage	75% assumed married with the male spouse 3 years older than his wife
Optional form assumption	<p>Married active participants, based on the assumption noted above, are assumed to receive a single life form of benefit, with a survivor benefit of 75%, at retirement. Married active participants who terminate and are eligible for a deferred vested pension based on less than 20 years of service are assumed to elect the Joint and 50% form of benefit at retirement. Unmarried active participants are assumed to be eligible for the single life annuity at retirement.</p> <p>For inactive vested participants, 53.2% are assumed to receive a single life form of benefit, with a survivor benefit of 75%, at retirement and 46.8% are assumed to be eligible for the single life form of benefit at retirement.</p>
Inactive vested lives over age 70	Continuing inactive vested participants over age 70 are assumed deceased and are not valued. Continuing inactive vested participants previously over age 65 as of July 1, 2015 will continue to be assumed deceased.

ACTUARIAL ASSUMPTIONS (CONT.)

Section 415 limit assumptions	
<i>Dollar limit</i>	\$230,000 per year
<i>Assumed form of payment for those limited by Section 415</i>	Qualified joint and 50% survivor annuity
Benefits not valued	Pre-retirement death benefits following withdrawal and disability for active participants. These benefits do not have a material impact on the valuation.
Treatment of legislative transfers	Asset transfers under Bipartisan American Miners Act are reflected in the plan if they are received or receivable by the end of the prior plan year. The transfers are treated as actuarial gains for this purpose.

RATIONALE FOR SELECTION OF ACTUARIAL ASSUMPTIONS

The non-prescribed actuarial assumptions were selected to provide a reasonable long term estimate of developing experience. The assumptions are reviewed annually, including a comparison to actual experience. The following describes our rationale for the selection of each non-prescribed assumption that has a significant effect on the valuation results.

Rate of return

Future rates of return for ERISA purposes were modeled based on the Plan’s recent investment policy asset allocation and composite, long-term capital market assumptions taken from Horizon Actuarial’s 2020 survey of investment consultants.

Based on this analysis, we selected a final assumed rate of 4.50%, which we determined is reasonable. This rate may not be appropriate for other purposes such as settlement of liabilities.

For withdrawal liability the interest rates reflect the current PBGC settlement rate, which we have determined are appropriate for this purpose.

Mortality

The RP-2006 Blue Collar Mortality Tables for employees and healthy annuitants projected forward using the MP-2019 projection scale was chosen as the base table for this population.

The blue collar table was chosen based on the industry of plan participants.

Finally, a 110% multiplier was applied in order to more closely match projected deaths to actual post-retirement death experience. The period of actual data studied to develop this multiplier was from July 1, 2013 to June 30, 2018.

Retirement

Actual rates of retirement by age were last studied for this plan by the prior actuary, using experience from July 1, 2006 through June 30, 2010 for actives and from July 1, 2005 through June 30, 2010 for vested terminations. The assumed future rates of retirement were selected based on the results of this study. Recent plan experience has likely been distorted from large employer bankruptcies.

RATIONALE FOR SELECTION OF ACTUARIAL ASSUMPTIONS (CONT.)

Disability	Actual disability rates by age were last studied for this plan by the prior actuary, using experience from July 1, 2004 through June 30, 2010. The assumed future disability rates were selected based on the results of this study. Recent plan experience suggests that these disability rates are reasonable.
Withdrawal	Actual rates of withdrawal by age were last studied for this plan by the prior actuary, using experience from July 1, 2005 through June 30, 2010. The assumed future rates of withdrawal were selected based on the results of this study. Recent plan experience has likely been distorted from large employer bankruptcies. We will perform a new study once we have sufficient termination experience past these bankruptcies.
Future hours worked	Based on review of recent plan experience adjusted for anticipated future changes in workforce.
Assumption Changes This Year	<ul style="list-style-type: none">• The assumed rate of return was decreased from 6.00% to 4.50% based on the Plan's investment policy asset allocation.• The mortality projection scale was updated from MP-2018 to MP-2019. This change was made in order to reflect the latest mortality improvement data available.• A select rate for both retirement and withdrawal for the 2020-21 plan year was added at 93.7% to reflect the reduction in active participants due to employer bankruptcies and withdrawals.• The assumed operational expenses were decreased from \$25,000,000 to \$22,000,000 to reflect our best estimate of future expenses based on recent plan experience.• The spouse age difference changed from the female spouse being 4 years younger to the female spouse being 3 years younger based on recent plan experience.• The expense load on ASC 960 liabilities was changed from 4.00% to 3.75% based on recent plan experience.• The current liability interest rate was changed from 3.07% to 2.68%. The new rate is within established statutory guidelines.

ACTUARIAL METHODS

Funding method <i>ERISA funding</i>	Traditional unit credit cost method, effective July 1, 2009.
Population valued <i>Actives</i>	Eligible employees not in pay status as of the valuation date with a full or partial year of credited service (participants with 250 hours or more) during the preceding calendar year.
<i>Inactive vested</i>	Vested participants not in pay status as of the valuation date with less than 250 hours worked during the preceding calendar year.
<i>Retirees</i>	Participants and beneficiaries in pay status as of the valuation date.
Asset valuation method <i>Actuarial value</i>	Smoothed market value with phase-in effective July 1, 2007. Each year's gain (or loss) is spread over a period of 5 years. The actuarial value is limited to not less than 80% and not more than 120% of the actual market value of assets in any plan year. Legislative transfers are not considered an investment return for this purpose.
<i>Unfunded vested benefits</i>	For the rolling 5 method, market value (less federal transfers and their earnings) is used
Pension Relief Act of 2010	<ul style="list-style-type: none"> • 10-year smoothing was elected with respect to the loss incurred during the plan year ended in 2009. • The 130% cap on actuarial value of assets was elected for the plan year beginning in 2010.
Actuarial Methods Changes This Year	None

UNITED MINE WORKERS OF AMERICA
1974 PENSION PLAN
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ATTACHMENT TO 2020 SCHEDULE MB: LINE 6
STATEMENT BY ENROLLED ACTUARY

Schedule MB, line 6 - Summary of Plan Provisions

The plan provisions underlying this valuation differ from those valued last year in the following respects:

- During the past year the Bipartisan American Miners Act (BAMA) was enacted, which provides for annual asset transfers to the fund. During the year \$1,568,003,163 were transferred into the plan from the federal government. Future transfers are currently projected to be sufficient to enable the plan to meet all its future benefit obligations.

Schedule MB, line 6 - Statement of Actuarial Assumptions/Methods

Attached is a summary of the actuarial assumptions and methods used to perform the most recent valuation.

SUMMARY OF PLAN PROVISIONS 1974 PENSION PLAN

Participation	Completion of at least 1,000 hours of credited service (or 800 hours of credited service for weekend/holiday crew of a signatory Employer) within a 12-month period after the effective date.																								
Class of Employee Covered	All eligible persons retiring on or after December 31, 1975, or becoming totally disabled due to a mine accident on or after December 6, 1974. New Inexperienced Miners first hired on or after January 1, 2012 (NIMs) will not earn any vesting, signatory, or credited service. Also, miners who are active participants may opt out of the plan on or after January 1, 2012 (Electing Miners). After the opt-out date, Electing Miners will earn service credit for vesting and “any early retirement adjustments based on the type of pension benefit,” but not signatory or credited service. NIMs and Electing Miners will be eligible for disability benefits and, if they meet the eligibility requirements, lump sum death benefits.																								
Year of credited service	For non-weekend and holiday employees (non-signatory and signatory service): <table border="0" style="margin-left: 40px; margin-top: 10px;"> <thead> <tr> <th style="text-align: left;">Hours Worked</th> <th style="text-align: left;">Service</th> </tr> </thead> <tbody> <tr> <td>249 or less</td> <td>0.00</td> </tr> <tr> <td>250-499</td> <td>0.25</td> </tr> <tr> <td>500-749</td> <td>0.50</td> </tr> <tr> <td>750-999</td> <td>0.75</td> </tr> <tr> <td>1,000 +</td> <td>1.00</td> </tr> </tbody> </table> <p style="margin-left: 40px; margin-top: 10px;">For weekend and holiday employees (signatory service):</p> <table border="0" style="margin-left: 40px; margin-top: 10px;"> <thead> <tr> <th style="text-align: left;">Hours Worked</th> <th style="text-align: left;">Service</th> </tr> </thead> <tbody> <tr> <td>200 or less</td> <td>0.00</td> </tr> <tr> <td>200-399</td> <td>0.25</td> </tr> <tr> <td>400-599</td> <td>0.50</td> </tr> <tr> <td>600-799</td> <td>0.75</td> </tr> <tr> <td>800 +</td> <td>1.00</td> </tr> </tbody> </table>	Hours Worked	Service	249 or less	0.00	250-499	0.25	500-749	0.50	750-999	0.75	1,000 +	1.00	Hours Worked	Service	200 or less	0.00	200-399	0.25	400-599	0.50	600-799	0.75	800 +	1.00
Hours Worked	Service																								
249 or less	0.00																								
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600-799	0.75																								
800 +	1.00																								

SUMMARY OF PLAN PROVISIONS 1974 PENSION PLAN (CONT.)

Normal retirement benefit	
<i>Eligibility</i>	Earlier of (1) later of age 65 or the 5 th anniversary employed in signatory service, (2) age 62 and 10 years of signatory service, or (3) age 62 and at least 20 years of credited service including the required signatory service
<i>Monthly amount</i>	\$34.00 per year of credited non-signatory service, plus \$54.50 per year for the 1 st 10 years of credited signatory service earned prior to February 1, 1989, plus \$55.00 per year for the 2 nd 10 years of credited signatory service earned prior to February 1, 1989, plus \$55.50 per year for the 3 rd 10 years of credited signatory service earned prior to February 1, 1989, plus \$56.00 per year for any further years of credited signatory service earned prior to February 1, 1989, plus \$62.00 per year of credited signatory service earned from February 1, 1989 through January 31, 1990, plus \$66.50 per year of credited signatory service earned from February 1, 1990 through December 15, 1993, plus \$69.50 per year of credited signatory service earned on or after December 16, 1993. Payable for life if not married. If married, benefits are payable for life, without reduction, with 75% of the benefit continuing to an eligible spouse after the participant's death.
Age 55 retirement benefit	
<i>Eligibility</i>	Age 55 and 10 years of signatory service or 20 years of credited service including the required amount of signatory service
<i>Monthly amount</i>	Normal reduced by 1/4% for each month prior to age 62. Form of payment same as for Normal Retirement.

SUMMARY OF PLAN PROVISIONS 1974 PENSION PLAN (CONT.)

Disability benefit <i>Eligibility</i>	1974 Participants, NIMs and Electing Miners who have at least 10 years of service. Service is credited service plus, for NIMs and Electing Miners, years of Supplemental Pension Contributions.
<i>Monthly amount</i>	Same as normal retirement benefit.
Minimum disability benefit <i>Eligibility</i>	1974 Participants, NIMs and Electing Miners who have less than 10 years of service. Service is credited service plus, for NIMs and Electing Miners, years of Supplemental Pension Contributions.
<i>Monthly amount</i>	\$250 per month.
Deferred vested benefit - normal <i>Eligibility</i>	Termination of employment prior to age 55 plus either 5 years of signatory service (10, for participants who do not have an hour of signatory service on or after July 1, 1999) or 20 years of credited service.
<i>Monthly amount</i>	Normal payable at age 62, or actuarially reduced payable at early retirement between age 55 and 62. With 20 years of credited service, there is a minimum monthly benefit of \$200. If unmarried, the benefit is payable for the participant's lifetime. If married with at least 20 years of credited service, benefits are payable for life, without reduction, with 75% of the benefit continuing to an eligible spouse after the participant's death. If married with less than 20 years of credited service, a 50% joint and survivor benefit actuarially equivalent to a life annuity is payable.

SUMMARY OF PLAN PROVISIONS 1974 PENSION PLAN (CONT.)

<p>Deferred vested benefit – enhanced 1996 <i>Eligibility</i></p>	<p>20 years of signatory service, termination of employment prior to attaining age 55, benefits were not in pay status on or before August 16, 1996, and either had not refused recall to the mine from which he or she was laid off or had been terminated under Article III, Section (j) of the Wage Agreement (or physically unable to perform work) and was not employed in the coal industry thereafter.</p>
<p><i>Monthly amount</i></p>	<p>Amount and form of payment same as Age 55 retirement benefit.</p>
<p>Special permanent layoff benefit <i>Eligibility</i></p>	<p>20 years of signatory service, termination of employment prior to attaining age 55, and participant was permanently laid off.</p>
<p><i>Monthly amount</i></p>	<p>Age 55 retirement benefit payable as if age 55. If unmarried, benefit is payable during participant’s lifetime. If married, benefits are payable during participant’s lifetime (early retirement reduction only) with 75% of the participant’s benefit continuing to an eligible spouse after the participant’s death.</p>
<p>30 and out benefit <i>Eligibility</i></p>	<p>30 years of credited service and termination is on or after January 1, 2003.</p>
<p><i>Monthly amount</i></p>	<p>Amount and form of payment same as Normal retirement benefit.</p>
<p>Pre-retirement surviving spouse benefit <i>Eligibility</i></p>	<p>Death of participant eligible for an immediate pension at time of death, except Deferred Vested participants with less than 20 years of credited service</p>
<p><i>Monthly amount</i></p>	<p>75% of the pension that the participant would have received had he elected a pension on the day preceding his death. Payable for life of eligible spouse.</p>

SUMMARY OF PLAN PROVISIONS 1974 PENSION PLAN (CONT.)

<p>Pre-retirement joint and survivor annuity <i>Eligibility</i></p>	<p>Not eligible for a pre-retirement surviving spouse benefit, but qualifies for a pension under the plan or has 5 years of signatory service</p>
<p><i>Monthly amount</i></p>	<p>75% of the pension that the participant would have received had he separated from service on the day of his actual death, and survived to retire at age 55 (or current age at death, if later) and died on the next day. Payable for life of eligible spouse, starting at the later of the first of the month following the date of death or the first of the month following the date the participant would have attained age 55.</p>
<p>Lump sum death benefit <i>Eligibility</i></p>	<p>Death of a regular or disabled pensioner (excluding anyone receiving a deferred vested pension based on less than 20 years of credited service or anyone who is an eligible beneficiary of the UMWA Combined Benefit Fund), an eligible inactive NIM, or an eligible inactive Electing Miner. Last service must have been with an employer signatory to an agreement.</p>
<p><i>Lump sum amount</i></p>	<p>\$5,000, effective October 28, 2014, while the Plan is in Critical or Critical and Declining status.</p>
<p>Special surviving spouse benefit <i>Eligibility</i></p>	<p>January 1, 1998, surviving spouse who 1) was married to a miner who died as a result of a mine accident during the term of the 1978 or 1981 Wage Agreement (with 10 years of credited service) and who was not in Construction Industry Service at time of death, 2) never remarried, and 3) never received a monthly surviving spouse benefit.</p>
<p><i>Benefit</i></p>	<p>Lump sum of \$10,000, plus monthly benefit of \$100 beginning February 1, 1998, and continuing until remarriage or death.</p>

SUMMARY OF PLAN PROVISIONS FORMER 1950 PENSION PLAN

Participation	Persons who terminated classified work prior to December 31, 1975 or became disabled between May 29, 1946 and December 6, 1974 as a result of a mine accident.
Normal retirement benefit	
<i>Eligibility</i>	Age 55 with 20 years of credited service including the required signatory service
<i>Monthly amount</i>	\$425 payable for life
Disability benefit	
<i>Eligibility</i>	Disabled as the result of a mine accident which occurred after May 29, 1946 while in a classified job and eligible for Social Security disability benefits as a result of such accident.
<i>Monthly amount</i>	\$267.50 payable for life
1950 partial pension	
<i>Eligibility</i>	10 years of signatory service including at least 3 years after December 31, 1970
<i>Monthly amount</i>	\$250 multiplied by ratio of years of credited signatory service (to the nearest ¼ year) to 20 years. Payable for life.
Widow's benefit	
<i>Eligibility</i>	Widow of pensioner receiving benefits under this plan at time of death, who was married to the pensioner throughout nine-month period ending on date of pensioner's death.
<i>Monthly amount</i>	\$175 payable for life, except payment ceases upon remarriage (Note: In limited circumstances, surviving spouses may be entitled to other survivor benefits in lieu of the above. See next section.)

SUMMARY OF PLAN PROVISIONS 1950 PENSION PLAN (CONT.)

<p>Pre-retirement surviving spouse benefit <i>Eligibility</i></p>	<p>One hour of service under the 1950 Pension Plan on or after September 2, 1974 and dies on or after August 15, 2016, but prior to receiving his pension.</p>
<p><i>Monthly amount</i></p>	<p>50% of the pension that the participant would have received had he elected a pension on the day preceding his death. Payable for life of eligible spouse.</p>
<p>Joint and survivor benefit <i>Eligibility</i></p>	<p>One hour of service under the 1950 Pension Plan on or after September 2, 1974 and begins receiving his pension on or after August 15, 2016.</p>
<p><i>Monthly amount</i></p>	<p>In lieu of the Widow's Benefit, an actuarially reduced benefit of which 50% is payable to the eligible spouse.</p>
<p>Lump sum death benefit <i>Eligibility</i></p>	<p>Death of a regular or disabled pensioner on or after February 1, 1991, excluding anyone receiving a deferred vested pension based on less than 20 years of credited service and anyone who is an eligible beneficiary of the UMWA Combined Benefit Fund. Regular pensioners with less than 20 years of credited service who used non-classified service for vesting purposes are not eligible for lump sum death benefits.</p>
<p><i>Lump sum amount</i></p>	<p>\$5,000, effective October 28, 2014, while the Plan is in Critical or Critical and Declining status.</p>

UNITED MINE WORKERS OF AMERICA
1974 PENSION PLAN
EIN: 52-1050282/PN: 002
ATTACHMENT TO 2020 SCHEDULE MB: LINE 8
STATEMENT BY ENROLLED ACTUARY

Schedule MB, line 8b(1) – Schedule of Projection of Expected Benefit Payments

Below is the projected expected benefit payout from the most recent actuarial valuation. The projections exclude any future accruals.

Plan Year Beginning	Expected Annual Benefit Payments
2020	\$ 587,036,213
2021	576,592,223
2022	563,182,943
2023	548,887,567
2024	533,745,191
2025	518,250,081
2026	502,273,329
2027	485,848,418
2028	468,992,693
2029	451,821,618

Schedule MB, line 8b(2) - Schedule of Active Participant Data

Attached is the required Schedule of Active Participant Data from the most recent actuarial valuation. There are three attachments to show regular actives, electing miners, and new inexperienced miners.

*Schedule MB, Line 8b - Schedule of Active Participant Data
 United Mine Workers of America 1974 Pension Plan EIN: 52-1050282/PN: 002
 July 1, 2020*

Attained age	Years of Service									
	Under 1	1 to 4	5 to 9	10 to 14	15 to 19	20 to 24	25 to 29	30 to 34	35 to 39	40 & up
Under 25	5	8	0	0	0	0	0	0	0	0
25 to 29	2	27	29	5	0	0	0	0	0	0
30 to 34	4	31	86	87	0	0	0	0	0	0
35 to 39	2	24	89	128	16	0	0	0	0	0
40 to 44	2	30	66	140	40	1	0	0	0	0
45 to 49	1	13	57	148	41	1	0	0	0	0
50 to 54	1	11	71	119	41	1	0	0	0	0
55 to 59	0	6	38	79	22	9	10	10	3	0
60 to 64	1	1	20	32	18	24	17	13	21	9
65 to 69	0	0	4	1	4	3	2	3	4	11
70 & up	0	0	0	0	0	1	0	0	0	0

UNITED MINE WORKERS OF AMERICA
1974 PENSION PLAN
EIN: 52-1050282/PN: 002
ATTACHMENT TO 2020 SCHEDULE MB: LINE 9
STATEMENT BY ENROLLED ACTUARY

Schedule MB, lines 9c and 9h - Schedule of Funding Standard Account Bases

Attached is a schedule of minimum funding amortization bases maintained pursuant to IRC Section 431.

United Mine Workers of America 1974 Pension Plan

EIN: 52-1050282/PN: 002

Attachment to 2020 Schedule MB: Lines 9c and 9h

Schedule of Funding Standard Account Bases

Date Established	Source of Change in Unfunded Liability	Original Amount	Original Period	Remaining Period		7/1/2020 Outstanding Balance	7/1/2020 Amortization Payment
				Years	Months		
Charges							
7/1/1991	1950 Assumption Ch	18,060,000	30	1	0	1,310,021	1,310,021
7/1/1991	1950 Benefit Incrs	129,588,000	30	1	0	9,405,422	9,405,422
7/1/1991	Benefit Increases	285,295,000	30	1	0	22,276,111	22,276,111
7/1/1992	1950 Assumption Ch	108,079,000	30	2	0	15,150,707	7,742,048
7/1/1993	1950 Asset Transfer	210,000,000	30	3	0	42,791,082	14,895,938
7/1/1993	1950 Assumption Ch	88,237,000	30	3	0	17,978,663	6,258,525
7/1/1994	1950 Benefit Change	79,702,000	30	4	0	21,040,038	5,612,227
7/1/1994	Benefit Increases	319,252,000	30	4	0	89,817,877	23,958,050
7/1/1995	1950 Assumption Ch	60,136,000	30	5	0	19,231,490	4,192,127
7/1/1995	Assumption Changes	192,373,000	30	5	0	65,390,695	14,254,023
7/1/1997	1950 Benefit Change	173,833,000	30	7	0	73,399,714	11,919,655
7/1/1997	Benefit Increases	155,332,000	30	7	0	69,151,008	11,229,691
7/1/1998	1950 Assumption Ch	35,806,000	30	8	0	16,782,705	2,434,852
7/1/1998	Assumption Changes	118,380,000	30	8	0	58,307,191	8,459,266
7/1/1998	Benefit Increases	560,740,000	30	8	0	276,159,306	40,065,470
7/1/1999	Assumption Changes	4,591,000	30	9	0	2,465,729	324,614
7/1/1999	Benefit Increases	46,904,000	30	9	0	25,165,011	3,312,979
7/1/2000	Benefit Increases	43,056,000	30	10	0	24,844,855	3,004,654
7/1/2002	1950 Assumption Ch	13,728,000	30	12	0	8,630,758	905,744
7/1/2002	1950 Benefit Change	22,225,000	30	12	0	13,970,232	1,466,088
7/1/2002	Bnft Incr/Asmp Chg	520,163,000	30	12	0	337,987,399	35,469,655
7/1/2003	1950 Assumption Ch	47,090,000	30	13	0	31,236,544	3,087,048
7/1/2003	Bnft Incr/Asmp Chg	58,888,000	30	13	0	40,183,174	3,971,226
7/1/2004	Benefit Increases	27,854,000	30	14	0	19,850,940	1,858,206
7/1/2005	1950 Assumption Ch	10,645,000	30	15	0	7,787,903	693,934
7/1/2005	1950 Plan Change	596,000	30	15	0	435,015	38,762
7/1/2005	Benefit Increases	64,941,000	30	15	0	48,097,318	4,285,669
7/1/2006	1950 Actuarial Loss	17,638,000	15	1	0	1,821,907	1,821,907
7/1/2006	1950 Plan Change	552,000	30	16	0	422,832	36,018
7/1/2006	Benefit Increases	62,216,000	30	16	0	48,018,948	4,090,358
7/1/2007	1950 Actuarial Loss	2,120,000	15	2	0	425,744	217,556
7/1/2007	1950 Plan Change	70,692,000	30	17	0	55,937,528	4,572,295
7/1/2007	Benefit Increases	502,065,000	30	17	0	397,251,508	32,471,066
7/1/2008	Benefit Increases	40,344,000	15	3	0	11,719,988	4,079,827
7/1/2009	Benefit Increases	37,307,000	15	4	0	13,949,831	3,720,983

United Mine Workers of America 1974 Pension Plan

EIN: 52-1050282/PN: 002

Attachment to 2020 Schedule MB: Lines 9c and 9h

Schedule of Funding Standard Account Bases

Date Established	Source of Change in Unfunded Liability	Original Amount	Original Period	Remaining Period		7/1/2020 Outstanding Balance	7/1/2020 Amortization Payment
				Years	Months		
7/1/2010	Assumption Changes	13,283,000	15	5	0	5,996,351	1,307,099
7/1/2010	Benefit Increases	15,500,000	15	5	0	6,998,373	1,525,522
7/1/2011	Actuarial Loss	247,154,000	15	6	0	129,373,938	24,002,689
7/1/2011	Benefit Increases	13,818,000	15	6	0	7,233,316	1,341,994
7/1/2012	Actuarial Loss	223,191,000	15	7	0	131,765,760	21,397,936
7/1/2013	Actuarial Loss	39,483,000	15	8	0	25,764,901	3,737,998
7/1/2013	Benefit Increases	23,701,000	15	8	0	15,466,540	2,243,901
7/1/2015	Assumption Changes	172,525,502	15	10	0	131,935,627	15,955,856
7/1/2015	Experience Loss	66,743,121	15	10	0	51,040,546	6,172,674
7/1/2016	Assumption Changes	123,086,000	15	11	0	100,362,777	11,260,625
7/1/2016	Experience Loss	209,262,484	15	11	0	170,629,999	19,144,552
7/1/2017	Assumption Changes	553,127,383	15	12	0	477,472,691	50,107,761
7/1/2017	Experience Loss	247,668,816	15	12	0	213,793,603	22,436,296
7/1/2018	Assumption Changes	273,572,630	15	13	0	249,360,552	24,643,827
7/1/2018	Experience Loss	184,487,280	15	13	0	168,159,549	16,618,887
7/1/2019	Experience Loss	49,013,575	15	14	0	46,907,817	4,390,945
7/1/2020	Assumptions	744,896,545	15	15	0	744,896,545	66,373,353
Total Charges:						4,565,554,079	586,103,930

United Mine Workers of America 1974 Pension Plan

EIN: 52-1050282/PN: 002

Attachment to 2020 Schedule MB: Lines 9c and 9h

Schedule of Funding Standard Account Bases

Date Established	Source of Change in Unfunded Liability	Original Amount	Original Period	Remaining Period		7/1/2020 Outstanding Balance	7/1/2020 Amortization Payment
				Years	Months		
Credits							
7/1/1991	Assumption Changes	40,246,000	30	1	0	3,141,940	3,141,940
7/1/1993	1950 Term. Of Covg	86,219,000	30	3	0	17,569,861	6,116,218
7/1/1993	Term. Of Coverage	18,492,000	30	3	0	4,038,910	1,405,979
7/1/1994	1950 Assumption Ch	94,625,000	30	4	0	24,979,500	6,663,040
7/1/1996	1950 Assumption Ch	12,942,000	30	6	0	4,822,210	894,662
7/1/1999	1950 Assumption Ch	31,363,000	30	9	0	16,096,173	2,119,065
7/1/2000	1950 Assumption Ch	22,441,000	30	10	0	12,439,544	1,504,397
7/1/2000	Assumption Changes	67,650,000	30	10	0	39,027,699	4,719,880
7/1/2001	Assumption Changes	4,326,000	30	11	0	2,655,680	297,965
7/1/2004	1950 Assumtion Chg	16,250,000	30	14	0	11,359,063	1,063,299
7/1/2004	Assumption Changes	126,541,000	30	14	0	90,170,285	8,440,656
7/1/2006	1950 Assumption Ch	22,227,000	30	16	0	16,971,871	1,445,701
7/1/2008	Assumption Changes	180,156,000	15	3	0	52,334,387	18,218,044
7/1/2010	Actuarial Gain	239,507,000	15	5	0	108,120,912	23,568,459
7/1/2013	Assumption Changes	74,715,000	15	8	0	48,755,703	7,073,527
7/1/2014	Assumption Changes	72,299,704	15	9	0	51,357,951	6,761,285
7/1/2014	Experience Gain	11,423,168	15	9	0	8,114,425	1,068,266
7/1/2015	Amendment	59,437,160	15	10	0	45,453,449	5,496,989
7/1/2019	Assumptions	13,628,731	15	14	0	13,043,204	1,220,948
7/1/2020	Experience Gain*	1,537,874,033	15	15	0	1,537,874,033	137,030,916
Total Credits:						2,108,326,800	238,251,236
Net Charges:						2,457,227,279	347,852,694
Less Credit Balance:						-1,155,588,058	
Less Reconciliation Balance:						0	
Unfunded Actuarial Liability:						3,612,815,337	

United Mine Workers of America 1974 Pension Plan
UMWA 1974 Pension Trust Board of Trustees
EIN: 52-1050282
PN: 002

**Attachment to 2020 Form 5500
Schedule R, Summary of Rehabilitation Plan**

On September 28, 2014, the UMWA 1974 Pension Plan's enrolled actuary certified that, for the plan year beginning July 1, 2014, the Plan was in Critical Status, as defined by section 432 of the Internal Revenue Code ("Code"). Thereafter, on September 28, 2015, September 28, 2016, September 28, 2017, September 28, 2018 and September 27, 2019, the actuary certified the Plan as Critical and Declining for the plan years beginning July 1, 2015, July 1, 2016, July 1, 2017, July 1, 2018 and July 1, 2019, respectively. On September 25, 2020 and September 24, 2021, the actuary certified the Plan as Critical. As a result of the initial 2014 certification, the Plan Sponsor, which for the purposes of Code section 432 is the BCOA and UMWA Settlers, adopted a Rehabilitation Plan on February 26, 2015. The Rehabilitation Plan was updated on May 25, 2016, August 15, 2016, May 26, 2017, April 24, 2018, April 24, 2019, April 24, 2020 and April 26, 2021.

Pursuant to Code section 432(e)(4), the Rehabilitation Period for the 1974 Plan is the 10-year period beginning July 1, 2017 and ending June 30, 2027. Based on an analysis of economic and financial factors, including the Plan's small and declining contribution base, the high ratio of retirees to active employees, the large number of "orphan" beneficiaries whose last signatory employers are not contributing to the Plan, and the substantial economic and other challenges facing the coal industry and contributing employers, the Plan Sponsor parties have determined that the 1974 Plan is not reasonably expected to emerge from Critical Status by the end of the Rehabilitation Period. Therefore, in accordance with Code section 432(e)(3)(A)(ii), the Plan Sponsor parties adopted a Rehabilitation Plan that consists of reasonable measures designed to forestall the possible insolvency of the Plan.

The Plan Sponsor parties have taken a number of actions to improve the financial condition of the 1974 Plan. Contribution rates steadily increased from 2007 to 2016. Pursuant to the National Bituminous Coal Wage Agreement of 2016 ("2016 NBCWA"), which includes terms consistent with the updated Rehabilitation Plan, the contribution rate to the 1974 Plan beginning August 15, 2016 is \$5.00 per hour worked. Effective January 1, 2012, the Plan was frozen for newly hired employees and those active participants who elect to opt out of future participation in the Plan. Effective January 1, 2012, the Plan discontinued the single sum pension bonuses that were paid from the Plan each November, and effective October 28, 2014, the Plan reduced lump sum death benefits to \$5,000. Additionally, benefit rates remained frozen at the levels in place since the 2007 NBCWA. In order to help stabilize the Plan's funded status, the Plan elected funding relief provided by Congress in 2008 and 2010, and the Plan Sponsor parties agreed to change the actuarial method used to account for plan administrative expenses, which significantly reduced the Plan's liabilities.

On December 20, 2019, the Bipartisan American Miners Act ("Miners Act") was signed into law. The Miners Act is providing critically needed financial assistance to the Plan and is projected to prevent its insolvency. Pursuant to the Miners Act, the Plan will receive annual transfers from the federal government that will continue until the funded percentage of the Plan is at least 100%.

United Mine Workers of America 1974 Pension Plan
UMWA 1974 Pension Trust Board of Trustees
EIN: 52-1050282
PN: 002

During this period, the Plan will remain in Critical status for purposes of ERISA's minimum funding standards and maintaining a Rehabilitation Plan.

In the 2020 Form 5500 Schedule MB the actuary reports that the Plan is making the scheduled progress under the Rehabilitation Plan.

UNITED MINE WORKERS OF AMERICA
1974 PENSION PLAN
EIN: 52-1050282/PN: 002
ATTACHMENT TO 2020 SCHEDULE MB: LINE 11
STATEMENT BY ENROLLED ACTUARY

Schedule MB, line 11 - Justification for Change in Actuarial Assumptions

The assumptions and methods differ from those used the preceding year in the following respects:

- The ERISA rate of return assumption used to value liabilities was changed from 6.00% to 4.50% to provide our best estimate of the future rate of net investment return based on the Plan's current investment policy and asset allocation.
- The mortality projection scale was updated from MP-2018 to MP-2019. This change was made in order to reflect the latest mortality improvement data available.
- The assumed operational expenses were decreased from \$25,000,000 to \$22,000,000 to reflect our best estimate of future expenses based on recent plan experience.
- Due to the bankruptcies of Murray Energy and Mission Coal and the withdrawal of Drummond, active membership in the plan is estimated to be approximately 75 participants as of July 1, 2020. Because of reporting lags in the data, a larger number is shown in this report. A one year select withdrawal and retirement rate of 93.7% was added to decrease the expected number of actives in line with the known decrease during the year.
- The spouse age difference assumption changed from female spouse being 4 years younger to female spouse being 3 years younger. This was changed based on recent plan experience.
- The current liability interest rate was changed from 3.07% to 2.68%. The new rate is within established statutory guidelines.

Actuary's Statement of Reliance

In completing this Schedule MB, the enrolled actuary has relied upon the correctness of the financial information presented in the pension fund audit and upon the accuracy and completeness of participant census data provided by the plan administrator.

UNITED MINE WORKERS OF AMERICA 1974 PENSION PLAN

EIN 52-1050282

Plan No. 002

Plan Year Ended June 30, 2021

**Form 5500, Schedule H, Part IV, Line 4j
Schedule of Reportable Transactions**

See attachment to the Audit Report attached at Accountant's Opinion

Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security
Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).

▶ **Complete all entries in accordance with the instructions to the Form 5500.**

OMB Nos. 1210-0110
1210-0089

2020

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2020 or fiscal plan year beginning 07/01/2020 and ending 06/30/2021

- A** This return/report is for: a multiemployer plan a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)
- a single-employer plan a DFE (specify) _____
- B** This return/report is: the first return/report the final return/report
- an amended return/report a short plan year return/report (less than 12 months)
- C** If the plan is a collectively-bargained plan, check here.
- D** Check box if filing under: Form 5558 automatic extension the DFVC program
- special extension (enter description)

Part II Basic Plan Information—enter all requested information

1a Name of plan United Mine Workers of America 1974 Pension Plan		1b Three-digit plan number (PN) ▶	002
		1c Effective date of plan	12/06/1974
2a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) UMWA 1974 Pension Trust Board of Trustees 2121 K Street N.W. Suite 350 Washington DC 20037-1879		2b Employer Identification Number (EIN)	52-1050282
		2c Plan Sponsor's telephone number (800) 291-1425	
		2d Business code (see instructions)	212110

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

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

SIGN HERE	<i>Michael H. Holland</i>	<u>3/31/22</u>	Michael H. Holland, Trustee
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	<i>Michael O. McKown</i>	<u>4/5/22</u>	Michael O. McKown, Trustee
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Form 5500 (2020)
v. 200204

3a Plan administrator's name and address <input checked="" type="checkbox"/> Same as Plan Sponsor	3b Administrator's EIN	
	3c Administrator's telephone number	
4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report: a Sponsor's name c Plan Name	4b EIN	
	4d PN	
5 Total number of participants at the beginning of the plan year	5	87,190
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines 6a(1), 6a(2), 6b, 6c, and 6d). a(1) Total number of active participants at the beginning of the plan year..... a(2) Total number of active participants at the end of the plan year b Retired or separated participants receiving benefits..... c Other retired or separated participants entitled to future benefits d Subtotal. Add lines 6a(2), 6b, and 6c..... e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. f Total. Add lines 6d and 6e..... g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	6a(1)	1,693
	6a(2)	68
	6b	52,718
	6c	7,178
	6d	59,964
	6e	23,732
	6f	83,696
	6g	
6h		
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item).....	7	19

8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:

1B

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

9a Plan funding arrangement (check all that apply)	9b Plan benefit arrangement (check all that apply)
(1) <input type="checkbox"/> Insurance	(1) <input type="checkbox"/> Insurance
(2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts	(2) <input type="checkbox"/> Code section 412(e)(3) insurance contracts
(3) <input checked="" type="checkbox"/> Trust	(3) <input checked="" type="checkbox"/> Trust
(4) <input type="checkbox"/> General assets of the sponsor	(4) <input type="checkbox"/> General assets of the sponsor

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

a Pension Schedules

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

b General Schedules

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

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

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

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

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

11c Enter the Receipt Confirmation Code for the 2020 Form M-1 annual report. If the plan was not required to file the 2020 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

UNITED MINE WORKERS OF AMERICA 1974 PENSION PLAN

EIN 52-1050282

Plan No. 002

Plan Year Ended June 30, 2021

**Form 5500, Schedule H, Part IV, Line 4i
Schedule of Assets (Held at End of Year)**

See attachment to the Audit Report attached at Accountant's Opinion

UNITED MINE WORKERS OF AMERICA 1974 PENSION PLAN

EIN 52-1050282

Plan No. 002

Plan Year Ended June 30, 2021

Form 5500, Schedule H, Part IV, Line 4i

Schedule of Assets (Acquired and Disposed of Within Year)

See attachment to the Audit Report attached at Accountant's Opinion

UNITED MINE WORKERS OF AMERICA 1974 PENSION PLAN

EIN 52-1050282

Plan No. 002

Plan Year Ended June 30, 2021

Form 5500, Schedule H, Part IV, Line 4I

Additional Information

The Plan reported 7,178 retired or separated participants entitled to future benefits on Line 6c of Form 5500. In 2021, it was discovered that 112 of these participants were required to commence benefits under Internal Revenue Code section 401(a)(9) and Article XII.B(18) of the Plan, but minimum distribution payments to these participants had not yet been issued. Minimum distribution payments to these participants have been made and were paid in accordance with the correction principles of the IRS's Employee Plans Compliance Resolution System (EPCRS), as set forth in Rev. Proc. 2021-30.

SCHEDULE MB (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500 or 5500-SF.	<small>OMB No. 1210-0110</small> 2020 This Form is Open to Public Inspection
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For calendar plan year 2020 or fiscal plan year beginning 07/01/2020 and ending 06/30/2021

► **Round off amounts to nearest dollar.**

► **Caution:** A penalty of \$1,000 will be assessed for late filing of this report unless reasonable cause is established.

A Name of plan UNITED MINeworkERS OF AMERICA 1974 PENSION PLAN	B Three-digit plan number (PN)	<u>002</u>
C Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF BOARD OF TRUSTEES - UMW 1974 PENSION TRUST	D Employer Identification Number (EIN) 52-1050282	

E Type of plan: (1) Multiemployer Defined Benefit (2) Money Purchase (see instructions)

1a Enter the valuation date: Month 7 Day 1 Year 2020

b Assets

(1) Current value of assets.....	1b(1)	3,195,478,795
(2) Actuarial value of assets for funding standard account	1b(2)	3,284,470,188
c (1) Accrued liability for plan using immediate gain methods	1c(1)	6,897,285,525
(2) Information for plans using spread gain methods:		
(a) Unfunded liability for methods with bases	1c(2)(a)	
(b) Accrued liability under entry age normal method	1c(2)(b)	
(c) Normal cost under entry age normal method	1c(2)(c)	
(3) Accrued liability under unit credit cost method	1c(3)	6,897,285,525
d Information on current liabilities of the plan:		
(1) Amount excluded from current liability attributable to pre-participation service (see instructions)	1d(1)	
(2) "RPA '94" information:		
(a) Current liability.....	1d(2)(a)	8,737,857,720
(b) Expected increase in current liability due to benefits accruing during the plan year.....	1d(2)(b)	782,637
(c) Expected release from "RPA '94" current liability for the plan year.....	1d(2)(c)	579,273,941
(3) Expected plan disbursements for the plan year.....	1d(3)	587,036,212

Statement by Enrolled Actuary

To the best of my knowledge, the information supplied in this schedule and accompanying schedules, statements and attachments, if any, is complete and accurate. Each prescribed assumption was applied in accordance with applicable law and regulations. In my opinion, each other assumption is reasonable (taking into account the experience of the plan and reasonable expectations) and such other assumptions, in combination, offer my best estimate of anticipated experience under the plan.

SIGN HERE		<u>03/14/2022</u>
	Signature of actuary	Date
	William J. Ruschau, FSA, EA, MAAA	20-03137
	Type or print name of actuary	Most recent enrollment number
	United Actuarial Services, Inc.	(614) 264-4762
	Firm name	Telephone number (including area code)
	11590 N. Meridian Street, Suite 610 Carmel IN 46032-4529	
	Address of the firm	

If the actuary has not fully reflected any regulation or ruling promulgated under the statute in completing this schedule, check the box and see instructions

2 Operational information as of beginning of this plan year:

a Current value of assets (see instructions)	2a	3,195,478,795
b "RPA '94" current liability/participant count breakdown:	(1) Number of participants	(2) Current liability
(1) For retired participants and beneficiaries receiving payment	79,256	7,889,803,240
(2) For terminated vested participants	6,209	653,965,257
(3) For active participants:		
(a) Non-vested benefits.....		981,452
(b) Vested benefits.....		193,107,771
(c) Total active	2,503	194,089,223
(4) Total	87,968	8,737,857,720
c If the percentage resulting from dividing line 2a by line 2b(4), column (2), is less than 70%, enter such percentage	2c	36.57%

3 Contributions made to the plan for the plan year by employer(s) and employees:

(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees
07/15/2020	15,401,851		01/15/2021	442,606	
08/15/2020	1,272,509		02/15/2021	464,665	
09/15/2020	4,457,606		03/15/2021	439,606	
10/15/2020	839,606		04/15/2021	457,103	
11/15/2020	445,851		05/15/2021	441,110	
12/15/2020	1,595,606		06/15/2021	415,836	
			Totals ▶	3(b)	3(c)
				26,709,434	0

4 Information on plan status:

a Funded percentage for monitoring plan's status (line 1b(2) divided by line 1c(3))	4a	47.6%
b Enter code to indicate plan's status (see instructions for attachment of supporting evidence of plan's status). If entered code is "N," go to line 5	4b	C
c Is the plan making the scheduled progress under any applicable funding improvement or rehabilitation plan?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
d If the plan is in critical status or critical and declining status, were any benefits reduced (see instructions)?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
e If line d is "Yes," enter the reduction in liability resulting from the reduction in benefits (see instructions), measured as of the valuation date	4e	
f If the rehabilitation plan projects emergence from critical status or critical and declining status, enter the plan year in which it is projected to emerge. If the rehabilitation plan is based on forestalling possible insolvency, enter the plan year in which insolvency is expected and check here	4f	9999

5 Actuarial cost method used as the basis for this plan year's funding standard account computations (check all that apply):

- | | | | |
|--|--|--|---|
| a <input type="checkbox"/> Attained age normal | b <input type="checkbox"/> Entry age normal | c <input checked="" type="checkbox"/> Accrued benefit (unit credit) | d <input type="checkbox"/> Aggregate |
| e <input type="checkbox"/> Frozen initial liability | f <input type="checkbox"/> Individual level premium | g <input type="checkbox"/> Individual aggregate | h <input type="checkbox"/> Shortfall |
| i <input type="checkbox"/> Other (specify): | | | |

j If box h is checked, enter period of use of shortfall method	5j	
k Has a change been made in funding method for this plan year?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
l If line k is "Yes," was the change made pursuant to Revenue Procedure 2000-40 or other automatic approval?		<input type="checkbox"/> Yes <input type="checkbox"/> No
m If line k is "Yes," and line l is "No," enter the date (MM-DD-YYYY) of the ruling letter (individual or class) approving the change in funding method	5m	

6 Checklist of certain actuarial assumptions:

a Interest rate for "RPA '94" current liability.....	6a	2.68 %
	Pre-retirement	Post-retirement
b Rates specified in insurance or annuity contracts.....	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A
c Mortality table code for valuation purposes:		
(1) Males	6c(1)	A
(2) Females	6c(2)	A
d Valuation liability interest rate	6d	4.50 %
e Expense loading	6e	97.9 % <input type="checkbox"/> N/A <input checked="" type="checkbox"/> N/A
f Salary scale	6f	% <input type="checkbox"/> N/A <input checked="" type="checkbox"/> N/A
g Estimated investment return on actuarial value of assets for year ending on the valuation date.....	6g	3.1 %
h Estimated investment return on current value of assets for year ending on the valuation date	6h	2.3 %

7 New amortization bases established in the current plan year:

(1) Type of base	(2) Initial balance	(3) Amortization Charge/Credit
1	-1,537,874,033	-137,030,916
4	744,896,545	66,373,353

8 Miscellaneous information:

a If a waiver of a funding deficiency has been approved for this plan year, enter the date (MM-DD-YYYY) of the ruling letter granting the approval.....	8a	
b(1) Is the plan required to provide a projection of expected benefit payments? (See the instructions.) If "Yes," attach a schedule.....		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b(2) Is the plan required to provide a Schedule of Active Participant Data? (See the instructions.) If "Yes," attach a schedule.....		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c Are any of the plan's amortization bases operating under an extension of time under section 412(e) (as in effect prior to 2008) or section 431(d) of the Code?.....		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
d If line c is "Yes," provide the following additional information:		
(1) Was an extension granted automatic approval under section 431(d)(1) of the Code?		<input type="checkbox"/> Yes <input type="checkbox"/> No
(2) If line 8d(1) is "Yes," enter the number of years by which the amortization period was extended	8d(2)	
(3) Was an extension approved by the Internal Revenue Service under section 412(e) (as in effect prior to 2008) or 431(d)(2) of the Code?		<input type="checkbox"/> Yes <input type="checkbox"/> No
(4) If line 8d(3) is "Yes," enter number of years by which the amortization period was extended (not including the number of years in line (2)).....	8d(4)	
(5) If line 8d(3) is "Yes," enter the date of the ruling letter approving the extension	8d(5)	
(6) If line 8d(3) is "Yes," is the amortization base eligible for amortization using interest rates applicable under section 6621(b) of the Code for years beginning after 2007?		<input type="checkbox"/> Yes <input type="checkbox"/> No
e If box 5h is checked or line 8c is "Yes," enter the difference between the minimum required contribution for the year and the minimum that would have been required without using the shortfall method or extending the amortization base(s)	8e	

9 Funding standard account statement for this plan year:

Charges to funding standard account:

a Prior year funding deficiency, if any	9a	1,155,588,058
b Employer's normal cost for plan year as of valuation date.....	9b	21,978,376
c Amortization charges as of valuation date:		
(1) All bases except funding waivers and certain bases for which the amortization period has been extended.....	9c(1)	4,565,554,079
(2) Funding waivers	9c(2)	0
(3) Certain bases for which the amortization period has been extended	9c(3)	0
d Interest as applicable on lines 9a, 9b, and 9c.....	9d	79,365,163
e Total charges. Add lines 9a through 9d.....	9e	1,843,035,527

Credits to funding standard account:

f	Prior year credit balance, if any.....	9f	0
g	Employer contributions. Total from column (b) of line 3.....	9g	26,709,434
		Outstanding balance	
h	Amortization credits as of valuation date.....	9h	2,108,326,800
i	Interest as applicable to end of plan year on lines 9f, 9g, and 9h.....	9i	11,702,901
j	Full funding limitation (FFL) and credits:		
(1)	ERISA FFL (accrued liability FFL).....	9j(1)	3,594,493,863
(2)	"RPA '94" override (90% current liability FFL).....	9j(2)	4,434,246,515
(3)	FFL credit.....	9j(3)	0
k	(1) Waived funding deficiency.....	9k(1)	0
	(2) Other credits.....	9k(2)	0
l	Total credits. Add lines 9f through 9i, 9j(3), 9k(1), and 9k(2).....	9l	276,663,571
m	Credit balance: If line 9l is greater than line 9e, enter the difference.....	9m	
n	Funding deficiency: If line 9e is greater than line 9l, enter the difference.....	9n	1,566,371,956
9o	Current year's accumulated reconciliation account:		
(1)	Due to waived funding deficiency accumulated prior to the 2020 plan year.....	9o(1)	0
(2)	Due to amortization bases extended and amortized using the interest rate under section 6621(b) of the Code:		
(a)	Reconciliation outstanding balance as of valuation date.....	9o(2)(a)	0
(b)	Reconciliation amount (line 9c(3) balance minus line 9o(2)(a)).....	9o(2)(b)	0
(3)	Total as of valuation date.....	9o(3)	0
10	Contribution necessary to avoid an accumulated funding deficiency. (See instructions.).....	10	
11	Has a change been made in the actuarial assumptions for the current plan year? If "Yes," see instructions.....		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

