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STATE UNIVERSITIES RETIREMENT SYSTEM

**STANDARD INVESTMENT REPORTS**

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As of September 30, 2019

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## STATE UNIVERSITIES RETIREMENT SYSTEM

## RECONCILIATION OF MARKET VALUES

July 1, 2019 to September 30, 2019

(\$ in thousands)

<u>Investment</u>	<u>7/1/2019 Market Value</u>	<u>Net Contributions</u>	<u>Income</u>	<u>Net Appreciation</u>	<u>9/30/2019 Market Value</u>
Adams Street 2018 Global Fund	11,495	(92)	92	1,159	12,654
Adams Street 2017 Global Fund	37,975	(109)	109	1,110	39,085
Adams Street 2016 Global Fund	82,449	(210)	210	4,321	86,770
Adams Street 2015 Global Fund	94,495	(175)	175	7,045	101,540
Adams Street 2014 Global Fund	97,153	(146)	146	5,414	102,567
Adams Street 2013 Global Fund	101,084	(169)	173	4,528	105,616
Adams Street 2012 Global Fund	78,693	(162)	196	3,562	82,290
Adams Street 2009 Global Offering	99,889	(120)	244	3,656	103,668
Adams Street 2008 Global Offering	90,882	(116)	265	3,404	94,435
Adams Street 2007 Global Opportunities	39,324	-	65	1,887	41,276
Adams Street Secondary Fund 5	14,290	(34)	52	168	14,476
Adams Street Global Opportunities Second	5,238	(6)	21	247	5,500
Adams Street 2004 Non-U.S. Fund	6,739	907	10	(45)	7,612
Adams Street Partnerships	28,473	(1,140)	148	(980)	26,501
Alinda Capital Partners	23,619	(34)	236	(231)	23,589
AQR Capital Management - BuyWrite Strategy	174,940	(133)	133	560	175,500
Ativo Capital Management	294,553	-	2,106	(9,536)	287,123
Basis Investment Group Fund I	12,701	625	368	(49)	13,645
Blackstone Property Partners	200,000	-	1,074	(892)	200,181
Blackstone Property Partners Europe VI	-	(42)	42	-	-
Blue Vista Real Estate Partners IV	32,598	(1,158)	117	1,224	32,782
Brookfield Strategic Real Estate Partners II	30,103	879	336	(5)	31,312
Brookfield Strategic Real Estate Partners III	6,950	1,127	104	243	8,424
BTC Emerging Markets Fund	372,375	-	5	(15,825)	356,555
BTC International Equity Fund	1,126,442	-	22	(19,440)	1,107,025
BTC International Alpha Tilts Fund	541,335	-	4	(11,607)	529,732
BTC Global REIT Fund	424,581	(70,000)	21	18,332	372,935
Cash	229,561	23,393	870	242	254,066
Carlyle Property Investors	101,892	(232)	1,331	974	103,964
CastleArk Management	119,449	-	164	(7,631)	111,982
Channing Capital Management (SMID Value)	93,284	-	379	(1,851)	91,811
Colchester Local Markets Debt Fund	148,863	(187)	2,498	(4,566)	146,608
Crow Holdings Realty Partners VII	23,712	(1,392)	253	258	22,831
Crow Holdings Realty Partners VIII	9,183	2,181	307	191	11,862
Denali Advisors	49,194	-	336	(323)	49,207
Dune Real Estate Fund II	24,867	(48)	76	361	25,255
Dune Real Estate Fund III	135,551	(241)	408	1,217	136,936
Dune Real Estate Fund IV	-	4,308	68	-	4,376
EARNEST Partners	175,210	-	548	1,669	177,427
Fairview Lincoln Fund I	64,194	2,198	315	2,422	69,129
Fidelity Institutional Asset Management	583,983	-	2,564	(4,461)	582,085
Franklin Templeton EMREFF	31,194	(25)	178	(327)	31,020
Franklin Templeton FTPREF	16,645	(26)	86	63	16,767
Franklin Templeton MDP RE 2015	44,756	(1,029)	501	(535)	43,693
Garcia Hamilton & Associates	334,164	115,488	3,370	4,215	457,237
Gladius - GVP	48,617	-	120	198	48,935
Gladius - Prime Broker GVP	45,426	0	275	(35)	45,666
Gladius - Prime Broker US Equity	91,573	1	430	3,364	95,367
Gladius - US Equity	366,570	-	1,683	3,321	371,574
GlobeFlex Capital	310,985	-	2,316	(10,985)	302,316
Heitman HART Fund	221,389	(408)	2,502	1,458	224,941
Invesco Balanced Risk Commodity Trust	239,376	(357)	-	(4,806)	234,213
JPMCB Strategic Property Fund	225,396	(492)	2,130	(1,121)	225,913
KKR Prisma Codlin Fund	27,598	(12,532)	30	(17)	15,079
LM Capital Group	174,570	199,857	2,438	1,476	378,341
Long Wharf RE Partners VI	-	4,866	-	(275)	4,591

## STATE UNIVERSITIES RETIREMENT SYSTEM

## RECONCILIATION OF MARKET VALUES

July 1, 2019 to September 30, 2019

(\$ in thousands)

<u>Investment</u>	<u>7/1/2019</u> <u>Market Value</u>	<u>Net</u> <u>Contributions</u>	<u>Income</u>	<u>Net</u> <u>Appreciation</u>	<u>9/30/2019</u> <u>Market Value</u>
Macquarie Infrastructure Partners II	21,127	(75)	75	754	21,881
Macquarie Infrastructure Partners III	55,651	(132)	211	1,111	56,841
Macquarie Infrastructure Partners IV	19,025	10,037	139	258	29,460
Matarin Capital Management	93,120	-	410	(1,177)	92,353
Mesirow Financial Investment Management	0	-	-	-	0
Mesirow Private Equity Fund VII-B (Co-Investment)	25,159	2,300	100	796	28,355
Mesirow Private Equity Special Fund B (FOO)	21,993	5,508	93	(234)	27,359
Mondrian Investment Partners	587,355	83	3,982	263	591,683
Muller & Monroe MPEFF	6,973	(38)	49	71	7,054
Muller & Monroe SURS Emerging Priv Eqty	57,203	390	250	3,652	61,495
Neuberger Berman	375,406	578,303	7,335	(3,800)	957,244
Neuberger Berman - PutWrite Strategy	359,149	(248)	248	6,541	365,690
Northern Trust Asset Management	1,273,725	-	6,171	8,312	1,288,208
Oaktree Real Estate Debt Fund II	11,672	(353)	53	183	11,555
PAAMCO Newport Monarch Fund	125,584	(63,678)	179	(821)	61,264
Pantheon Access (U.S.) 2018	7,740	2,030	310	(18)	10,062
Pantheon Access (U.S.) 2017	12,141	2,180	71	(249)	14,143
Pantheon Europe Fund III	9,920	-	29	396	10,345
Pantheon Europe Fund VI	26,187	(54)	123	73	26,329
Pantheon Europe Fund VII	33,571	(65)	107	351	33,964
Pantheon Global Secondary II	2,820	-	14	(6)	2,828
Pantheon Multi-Strategy Program 2014	70,169	(1,515)	186	4,687	73,527
Pantheon USA Fund VIII	95,092	(156)	376	2,831	98,142
Pantheon USA Fund IX	96,300	(159)	294	4,200	100,635
Pantheon Ventures Inc.	74,617	(9,500)	103	1,754	66,974
Parametric Clifton Cash Overlay	126,061	(60,000)	637	11,350	78,048
Piedmont Investment Advisors	694,706	-	3,888	2,260	700,854
PIMCO Commodity Alpha Fund	113,085	(435)	435	(1,312)	111,773
PIMCO Total Return	426,267	(432,634)	418	6,778	829
PIMCO Unconstrained Bond	512,524	432,634	9,054	(11,989)	942,223
Progress Emerging - Emerging Market Debt	140,072	-	1,877	(190)	141,758
Progress Emerging - Fixed Income	158,034	202,378	2,823	1,819	365,054
Progress Emerging - Non-U.S. Equity	228,102	139	1,307	(4,908)	224,641
Prudential Emerging Mkts Debt Blend	336,943	(322)	5,273	(4,836)	337,057
Pugh Capital Management	175,063	200,331	1,911	3,036	380,342
RhumbLine Advisers	1,089,317	-	5,362	8,561	1,103,241
RhumbLine Advisers TIPS	728,417	-	1,360	8,300	738,077
Smith Graham & Company	112,774	(114,671)	(194)	2,723	632
State Street Global Advisors	579,686	(593,107)	(144)	13,651	86
StepStone Real Estate	40,240	(72)	980	(824)	40,323
Strategic Global Advisors	330,226	-	2,187	(5,904)	326,509
T. Rowe Price	460,463	-	2,105	5,366	467,933
T. Rowe Price - Global Focused Growth	638,556	(70,000)	1,269	(5,635)	564,191
TCW MetWest	589,978	(592,281)	230	9,853	7,780
UBS Trumbull Property Fund	115,183	(12,156)	1,027	(305)	103,749
Wellington Management	618,364	-	3,119	(1,525)	619,958
Transition Account	625	3,135	49	2,938	6,748
Terminated Managers	693	-	(20)	(3)	670
<b>Totals</b>	<b>19,642,654</b>	<b>(247,188)</b>	<b>98,512</b>	<b>51,874</b>	<b>19,545,852</b>

STATE UNIVERSITIES RETIREMENT SYSTEM

**INVESTMENT INCOME**

July 1, 2019 through September 30, 2019

<u>INVESTMENT</u>	<u>DIVIDENDS</u>	<u>INTEREST</u>	<u>TOTAL</u>
Adams Street 2018 Global Fund	-	92,219	92,219
Adams Street 2017 Global Fund	-	109,260	109,260
Adams Street 2016 Global Fund	-	210,000	210,000
Adams Street 2015 Global Fund	-	175,000	175,000
Adams Street 2014 Global Fund	-	145,916	145,916
Adams Street 2013 Global Fund	-	173,074	173,074
Adams Street 2012 Global Fund	-	196,386	196,386
Adams Street 2009 Global Offering	-	243,551	243,551
Adams Street 2008 Global Offering	-	265,141	265,141
Adams Street 2007 Global Oppor Portfolio	-	64,908	64,908
Adams Street Global Secondary Fund 5	-	51,799	51,799
Adams Street Global Opportunities Secondary	-	20,954	20,954
Adams Street Non-U.S. Fund	-	10,433	10,433
Adams Street Partnerships	148,237	74	148,311
Alinda Capital Partners	-	235,690	235,690
AQR Capital Management - BuyWrite Strategy	-	133,239	133,239
Ativo Capital Management	2,080,098	26,196	2,106,294
Basis Investment Group Fund I	256,034	112,234	368,268
Blackstone Property Partners LP	-	1,115,925	1,115,925
Blue Vista Real Estate Partners IV	-	117,371	117,371
Brookfield Strategic Real Estate Partners II	-	335,678	335,678
Brookfield Strategic Real Estate Partners III	-	104,000	104,000
BTC Emerging Markets	-	5,335	5,335
BTC International Equity	-	21,965	21,965
BTC International Alpha Tilts	-	3,886	3,886
Carlyle Property Investors	-	1,330,548	1,330,548
Cash	-	870,326	870,326
CastleArk Management	154,111	9,908	164,019
Channing Capital Management (SMID Value)	364,393	14,183	378,576
Colchester Local Markets Debt Fund	-	2,497,650	2,497,650
Crow Holdings Realty Partners VII	-	252,873	252,873
Crow Holdings RP VIII	231,660	75,011	306,671
Denali Advisors	332,671	3,785	336,455
Dune Real Estate Fund II	-	75,758	75,758
Dune Real Estate Fund III	-	408,389	408,389
Dune Real Estate Fund IV	-	68,279	68,279
EARNEST Partners	523,509	24,838	548,347
Fairview Lincoln Fund I	190,881	124,287	315,168
Fidelity Institutional Asset Management	2,522,838	41,037	2,563,875
Franklin Templeton EMREFF	-	178,368	178,368
Franklin Templeton FTPREF	-	85,535	85,535
Franklin Templeton MDP RE 2015	-	500,544	500,544
Garcia Hamilton & Associates	-	3,370,372	3,370,372
Gladius - GVP	104,582	15,206	119,788
Gladius - Prime Broker GVP	(16,877)	292,272	275,395
Gladius - Prime Broker US Equity	413,765	15,884	429,649
Gladius - US Equity	1,672,890	10,222	1,683,113
GlobeFlex Capital	2,276,013	39,775	2,315,789
Heitman America Real Estate Trust	-	2,501,614	2,501,614

STATE UNIVERSITIES RETIREMENT SYSTEM

**INVESTMENT INCOME**

July 1, 2019 through September 30, 2019

<b>INVESTMENT</b>	<b>DIVIDENDS</b>	<b>INTEREST</b>	<b>TOTAL</b>
Invesco Balanced Risk Commodity Trust	-	-	-
JPMCB Strategic Property Fund	-	2,129,986	2,129,986
KKR Prisma Codlin Fund	-	29,639	29,639
LM Capital Group	-	2,437,965	2,437,965
Macquarie Infrastructure Partners II	-	75,199	75,199
Macquarie Infrastructure Partners III	-	210,682	210,682
Macquarie Infrastructure Partners IV	-	138,989	138,989
Matarin Capital Management	407,020	2,709	409,729
Mesirow Financial Investment Management	-	-	-
Mesirow Private Equity Fund VII-B	-	100,000	100,000
Mesirow Private Equity Special Fund B	-	92,500	92,500
Mondrian Investment Partners	3,941,863	40,118	3,981,981
Muller & Monroe MPEFF	-	48,577	48,577
Muller & Monroe SURS Emerging Private Equity	-	250,000	250,000
Neuberger Berman	-	7,335,054	7,335,054
Neuberger Berman - PutWrite Strategy	-	247,648	247,648
Northern Trust Asset Management	6,073,549	97,848	6,171,397
Oaktree Real Estate Debt Fund II	-	53,443	53,443
PAAMCO Newport Monarch Fund	-	178,663	178,663
Pantheon Access (U.S.) 2017	-	71,055	71,055
Pantheon Access (U.S.) 2018	-	309,501	309,501
Pantheon Europe Fund III	(847)	29,939	29,092
Pantheon Europe Fund VI	(2,301)	125,516	123,215
Pantheon Europe Fund VII	(1,375)	108,326	106,951
Pantheon Global Secondary II	-	14,256	14,256
Pantheon Multi-Strategy Program 2014	45,949	140,475	186,424
Pantheon USA VIII	37,725	338,215	375,940
Pantheon USA IX	11,973	281,687	293,660
Pantheon Ventures Inc.	97,191	6,011	103,202
Parametric Clifton Cash Overlay	-	637,328	637,328
Piedmont Investment Advisors	3,869,941	17,638	3,887,579
PIMCO Commodity Alpha Fund	-	434,715	434,715
PIMCO Total Return	-	418,391	418,391
PIMCO Unconstrained Bond	-	9,054,097	9,054,097
Progress Emerging - EMD	-	1,876,935	1,876,935
Progress Emerging - Fixed Income	-	2,822,845	2,822,845
Progress Emerging - Non-U.S. Equity	1,280,604	26,194	1,306,799
Prudential Emerging Mkts Debt Blend	-	5,272,517	5,272,517
Pugh Capital Management	-	1,911,464	1,911,464
RhumbLine Advisers U.S. Equity	5,356,676	5,448	5,362,124
RhumbLine Advisers - TIPS	-	1,360,421	1,360,421
Smith Graham & Company	-	(194,087)	(194,087)
State Street Global Advisors	-	(144,305)	(144,305)
StepStone Real Estate Global Partnership Fund II	-	980,336	980,336
Strategic Global Advisors	2,172,938	13,863	2,186,801
T. Rowe Price	2,095,124	9,700	2,104,824
T. Rowe Price Global Focused Growth	1,238,298	30,766	1,269,064
TCW MetWest	-	230,052	230,052
Terminated Managers	(165)	1,928	1,763

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STATE UNIVERSITIES RETIREMENT SYSTEM

**INVESTMENT INCOME**

July 1, 2019 through September 30, 2019

<b>INVESTMENT</b>	<b>DIVIDENDS</b>	<b>INTEREST</b>	<b>TOTAL</b>
Transition Account	(919)	50,342	49,423
UBS Trumbull Property Fund	-	1,027,444	1,027,444
Wellington Management	3,090,677	28,193	3,118,869
Sub-Totals	40,968,726	57,543,126	98,511,852
Securities Lending	-	1,321,899	1,321,899
<b>Totals</b>	<b>40,968,726</b>	<b>58,865,026</b>	<b>99,833,751</b>

STATE UNIVERSITIES RETIREMENT SYSTEM

STATEMENT OF INVESTMENT EXPENSES

Fiscal Year 2020 to Date

July 1, 2019 through September 30, 2019

	<u>1st QTR</u>	<u>TOTALS</u>	<u>BUDGET</u>	<u>BALANCE</u>
<u>Investment Managers:</u>				
Adams Street Partners	\$ 1,391,162	\$ 1,391,162	\$ 5,598,000	\$ 4,206,838
Alinda Capital Partners	34,171	34,171	700,000	665,829
AQR Capital Management	133,239	133,239	747,000	613,761
Ativo Capital Management	198,212	198,212	831,000	632,788
Basis Investment	112,192	112,192	450,000	337,808
BlackRock Institutional Trust Company	390,314	390,314	2,084,000	1,693,686
Blackstone Property Partners LP	42,424	42,424	1,644,000	1,601,576
Blue Vista Real Estate Partners	117,154	117,154	525,000	407,846
Brookfield Strategic Real Estate Partners	229,000	229,000	1,050,000	821,000
Carlyle Property Partners	232,386	232,386	1,059,000	826,614
CastleArk Management	193,668	193,668	811,000	617,332
Channing Capital Management	124,011	124,011	518,000	393,989
Colchester Global Investors	186,709	186,709	747,000	560,291
Crow Holdings Realty Partners	140,905	140,905	825,000	684,095
Denali Advisors	60,815	60,815	258,000	197,185
Dune Real Estate	357,243	357,243	2,090,000	1,732,757
EARNEST Partners	306,163	306,163	397,000	90,837
Fairview Capital Partners	93,750	93,750	370,000	276,250
Fidelity Institutional Asset Management	216,203	216,203	858,000	641,797
Franklin Templeton	110,321	110,321	1,035,000	924,679
Garcia Hamilton & Associates	119,772	119,772	458,000	338,228
Gladius	553,440	553,440	2,370,000	1,816,560
GlobeFlex Capital	225,871	225,871	984,000	758,129
Heitman HART	407,574	407,574	1,732,000	1,324,426
Invesco Balanced Risk Commodity Trust	356,719	356,719	1,528,000	1,171,281
JP Morgan Strategic Property Fund	492,063	492,063	2,096,000	1,603,937
KKR Prisma	28,822	28,822	41,000	12,178
LM Capital Group	80,543	80,543	301,000	220,457
Macquarie Infrastructure Partners	346,669	346,669	2,027,000	1,680,331
Matarin Capital Management	160,138	160,138	679,000	518,862
Mesirow Financial Investment Management	192,500	192,500	866,000	673,500
Mondrian Investment Partners	362,653	362,653	1,954,000	1,591,347
Muller and Monroe	287,500	287,500	1,000,000	712,500
Neuberger Berman	540,080	540,080	1,987,000	1,446,920
Northern Trust Asset Management	29,970	29,970	122,000	92,030

STATE UNIVERSITIES RETIREMENT SYSTEM

STATEMENT OF INVESTMENT EXPENSES

Fiscal Year 2020 to Date

July 1, 2019 through September 30, 2019

	<u>1st QTR</u>	<u>TOTALS</u>	<u>BUDGET</u>	<u>BALANCE</u>
<u>Investment Managers:</u>				
Oaktree Real Estate	53,423	53,423	300,000	246,577
PAAMCO	174,518	174,518	171,000	(3,518)
Pantheon Ventures	1,065,261	1,065,261	3,106,000	2,040,739
Parametric Clifton	101,552	101,552	334,000	232,448
Piedmont Investment Advisors	275,320	275,320	1,085,000	809,680
PIMCO	1,219,699	1,219,699	4,935,000	3,715,301
Progress Investment Management	602,567	602,567	2,549,000	1,946,433
Prudential Fixed Income	322,037	322,037	1,352,000	1,029,963
Pugh Capital Management	77,709	77,709	261,000	183,291
RhumbLine Advisers	40,775	40,775	162,000	121,225
Smith Graham & Company	26,314	26,314	185,000	158,686
State Street Global Advisors	10,391	10,391	78,000	67,609
StepStone Real Estate	72,345	72,345	330,000	257,655
Strategic Global Advisors	276,130	276,130	1,176,000	899,870
T. Rowe Price	839,783	839,783	3,520,000	2,680,217
TCW MetWest	135,719	135,719	992,000	856,282
TorreyCove	57,292	57,292	1,000,000	942,708
UBS	231,700	231,700	421,000	189,300
Wellington Management Company	758,589	758,589	1,707,000	948,411
Terminated Managers	-	-	-	-
Short Term Invested Funds (STIF)	125,876	125,876	371,000	245,124
Performance Fees	-	-	4,480,500	4,480,500
<u>Securities Lending Expense</u>	<u>119,383</u>	<u>119,383</u>	<u>438,200</u>	<u>318,817</u>
Total Investment Management Fees	<u>\$ 15,440,738</u>	<u>\$ 15,440,738</u>	<u>\$ 69,695,700</u>	<u>\$ 54,254,962</u>
<u>Investment Administrative Expenditures:</u>				
Investment Consultant (includes Legal Counsel)	\$ 212,599	\$ 212,599	\$ 1,421,583	\$ 1,208,984
Custody, Performance & Databases	316,445	316,445	1,261,450	945,006
<u>Resources, Travel</u>	<u>20,281</u>	<u>20,281</u>	<u>170,329</u>	<u>150,048</u>
Total Investment Administrative Expenditures	<u>\$ 549,324</u>	<u>\$ 549,324</u>	<u>\$ 2,853,362</u>	<u>\$ 2,304,038</u>
<u>Total Investment Expenditures</u>	<u>\$ 15,990,062</u>	<u>\$ 15,990,062</u>	<u>\$ 72,549,062</u>	<u>\$ 56,559,000</u>



STATE UNIVERSITIES RETIREMENT SYSTEM

ALLOCATION OF FUNDS FROM SURS CASH FLOW ACCOUNT

July 1 through September 30, 2019

**BEGINNING BALANCE** \$ 231,187,996

**CASH INTO ACCOUNT**

ADAMS STREET 2004 NON-U.S. FUND	(917,035)	Partnership Distributions
ADAMS STREET	1,202,325	Partnership Distributions
BASIS INVESTMENT GROUP	244,108	Partnership Distributions
BTC GLOBAL REIT	70,000,000	Benefit Payments
BLUE VISTA REAL ESTATE PARTNERS	3,735,509	Partnership Distributions
CROW HOLDINGS REALTY PARTNERS VII	1,325,832	Partnership Distributions
CROW HOLDINGS REALTY PARTNERS VIII	87,049	Partnership Distributions
FRANKLIN TEMPLETON MDP RE 2015	970,242	Partnership Distributions
MACQUARIE INFRASTRUCTURE PARTNERS IV	15,160	Partnership Distributions
OAKTREE DEBT FUND II	300,061	Partnership Distributions
PAAMCO NEWPORT MONARCH FUND	63,503,964	Partial Redemption
PANTHEON VENTURES	9,595,983	Partnership Distributions
PANTHEON 2014	1,375,001	Partnership Distributions
PANTHEON MULTI STRATEGY 2017	140	Partnership Distributions
PARAMETRIC CLIFTON CASH OVERLAY	60,000,000	Benefit Payments
T. ROWE PRICE GLOBAL EQUITY	70,000,000	Fund Transfers
CONTRIBUTIONS	24,854,713	Funds from Closed Accounts
INCOME	2,159,666	Net Income, Interest on Cash Balance
<b>TOTAL TRANSFERS</b>	<u>\$ 308,452,717</u>	

**CASH OUT OF ACCOUNT**

ADAMS STREET	(617)	To Fund Partnerships (Capital Calls)
BASIS INVESTMENT GROUP FUND I	(981,150)	To Fund Partnerships (Capital Calls)
BLUE VISTA REAL ESTATE PARTNERS IV	(2,695,000)	To Fund Partnerships (Capital Calls)
BROOKFIELD STRATEGIC RE PARTNERS II	(1,004,306)	To Fund Partnerships (Capital Calls)
BROOKFIELD STRATEGIC RE PARTNERS III	(1,230,787)	To Fund Partnerships (Capital Calls)
CROW HOLDINGS REALTY PARTNERS VIII	(2,343,113)	To Fund Partnerships (Capital Calls)
DUNE REAL ESTATE FUND IV	(4,376,096)	To Fund Partnerships (Capital Calls)
FAIRVIEW LINCOLN FUND I	(2,291,552)	To Fund Partnerships (Capital Calls)
LONG WHARF RE VI	(4,866,124)	To Fund Partnerships (Capital Calls)
MACQUARIE INFRASTRUCTURE PARTNERS IV	(10,191,643)	To Fund Partnerships (Capital Calls)
MESIROW PRIVATE EQUITY SPECIAL FUND B	(5,600,000)	To Fund Partnerships (Capital Calls)
MESIROW PRIVATE EQUITY FUND VII-B	(2,400,000)	To Fund Partnerships (Capital Calls)
MULLER & MONROE PRIV EQ FUND OF FUNDS	(640,263)	To Fund Partnerships (Capital Calls)
PANTHEON MULTI STRATEGY 2017	(2,250,696)	To Fund Partnerships (Capital Calls)
PANTHEON ACCESS (U.S.) 2018	(2,340,000)	To Fund Partnerships (Capital Calls)
PANTHEON VENTURES	(95,814)	To Fund Partnerships (Capital Calls)
NET CONTRIBUTIONS	(242,458,070)	Contributions less Benefit Payments
<b>TOTAL ALLOCATION</b>	<u>\$ (285,765,230)</u>	

**ENDING BALANCE** \$ 253,875,482

## **HISTORY OF ALLOCATIONS (FY 2016-FY 2020)**

### **October 30, 2014**

Retained Mondrian Investment Partners, Wellington Management, Calamos Advisors and T. Rowe Price as global equity managers. Retained as international equity managers Ativo Capital Management with an additional \$25 million funding, GlobeFlex Capital, Herndon Capital Management, and Strategic Global Advisors with an additional \$60 million funding. Retained BlackRock and Pyramis as structured international equity managers. Terminated Martin Currie as an international equity manager. Authorized a commitment of \$125 million, contingent on successful contract negotiations, to the Pantheon Global Select 2014, L.P., including the default allocation to secondaries and co-investments.

### **December 12, 2014**

Retained Northern Trust Asset Management and RhumbLine Advisers as U.S. equity index fund managers. Retained BlackRock Institutional Trust Company as an index fund manager in the following mandates: BTC International Equity, BTC Emerging Markets Equity, BTC Global REITs and BTC U.S. REITs. Retained State Street Global Advisors as a U.S. fixed income index fund manager. Retained CBRE Clarion Securities as a U.S. REIT and a global REIT manager. Retained UBS Trumbull Property Fund, JP Morgan Strategic Property Fund and Heitman America Real Estate Trust Fund as direct real estate managers. Authorized a search be conducted to identify qualified hedge fund-of-funds investment managers. Received the annual Report to the Governor and General Assembly Regarding Use of Emerging Investment Managers for the period ending June 30, 2014, to be filed with the Illinois Governor and members of the General Assembly as required by statute and any corresponding regulations and policies.

### **February 5, 2015**

Authorized commitment of \$125 million, contingent on successful contract negotiations, to the Adams Street 2015 Global Fund LP. Retained Chicago Equity Partners, Garcia Hamilton & Associates, Pugh Capital Management, and Smith Graham & Company as core fixed income managers. Retained LM Capital Group; Neuberger Berman; PIMCO; Taplin, Canida & Habacht; and TCW MetWest as core plus fixed income managers. Retained PIMCO as an unconstrained fixed income manager. Retained Longfellow Investment Management, New Century Advisors and PIMCO as TIPS managers. Retained BlueBay Asset Management and Prudential Fixed Income emerging market debt investment managers to manage blend mandates of approximately \$175 million each, contingent on successful contract negotiations. Retained Colchester Global Investors emerging market debt investment manager to manage a local mandate of approximately \$105 million, contingent on successful contract negotiations. Authorized Progress Investment Management receive additional funding of approximately \$65 million for an emerging market debt allocation and that the Investment Guidelines for Progress Investment Management be amended as such. Authorized utilization of the following sources to fund the emerging market debt allocation:

Funding Sources	Account Type	Estimated Withdrawal*
From Non-U.S. Equity		
BlackRock ACWI ex U.S. Fund	passive	\$50 million
From U.S. Equity		
Jacobs Levy	structured active	\$90 million
PIMCO StocksPLUS	structured active	\$80 million
RhumbLine	passive	\$100 million
Northern Trust	passive	\$200 million
Total Estimated Withdrawal		<b>\$520 million</b>

The allocations and withdrawals are subject to change based on the actual asset allocation at the time of funding.

### **March 13, 2015**

Authorized commitment of \$90 million, contingent on successful contract negotiations, to Franklin Real Asset Advisors. Acknowledged the draft Diversity and Inclusion Strategic Plan and accepted it for inclusion in policy.

### **April 23, 2015**

Authorized, contingent on successful contract negotiations, a commitment of \$35 million to Crow Holdings Capital, a commitment of \$35 million to Blue Vista Capital Management, LLC and a commitment of \$35 million to Brookfield Asset Management Inc. Retained Fidelity Investments and TIAA-CREF as investment service providers for the SURS Self-Managed Plan.

### **June 12, 2015**

Approved, pending successful negotiations and legal review, consent to the MFIRE Global Partnership Fund II, LP – Consent Solicitation Letter. Authorized staff issue a request for proposal for managers of managers of a fund seeking investments qualified as MFDC under applicable Illinois statutes. Adopted the Iran Scrutinized Companies list updated as of June 1, 2015, as presented.

Authorized a search be conducted to identify qualified commodities investment managers. Approved the Investment Department Administrative Expense Budget for Fiscal Year 2016, excluding personnel costs and investment management fees, as presented.

**September 11, 2015**

Retained Fidelity Investments and TIAA-CREF as recordkeeping service providers for the SURS Self-Managed Plan, subject to successful pricing negotiations. Retained Fidelity Investments as the lead administrator for the SURS Self-Managed Plan, subject to successful contract negotiations and legal review. Approved the proposed investment options available through Fidelity Investments and through TIAA-CREF, with mapping of assets from terminated options to approved options as presented. Approved the revised Investment Policy document for the defined benefit plan and the revised Investment Policy document for the Self-Managed Plan (SMP), as presented. Accepted the SURS Fiscal Year 2016 Investment Plan. Authorized a search be conducted to identify qualified providers of hedged strategies consistent with the criteria expressed in the 2016 Investment Plan. Authorized a search be conducted to identify qualified providers for portfolio overlay strategies and portfolio rebalancing consistent with the provisions of the 2016 Investment Plan.

**October 22, 2015**

Allocated in the aggregate 3% of the portfolio to KKR Prisma Hedge Fund Solutions and PAAMCO with the exception of an equal allocation to each vendor subject to staff having discretion as to the allocated amount based on fee considerations. Terminated Herndon Capital Management as a non-U.S. equity manager, with the assets reallocated in approximately equal amounts to Manager Diversity Program non-U.S. equity managers Ativo Capital Management and Strategic Global Advisors. Terminated Calamos Advisors LLC as a global equity manager, with the assets retained in the SURS cash account (with Policy overlay in place).

**December 11, 2015**

Approved consolidation of the following investments and funds into the accounts maintained with real estate investment trusts: transfer BTC REIT Fund, a U.S. oriented fund, into and combine as a single account with BTC Global REIT Fund, a global passively managed fund; and transfer CBRE Clarion Real Estate Securities, a U.S. oriented fund, into and combined as a single account with CBRE Clarion Global REIT, a global actively managed fund. Authorized investment of up to two percent of the total investment portfolio (approximately \$350 million as of the date of these resolutions) of the System in the following funds: InvesCo Balanced Risk Commodity Trust, 75% of the two percent allocation, and PIMCO Commodity Alpha Fund, 25% of the two percent allocation. Such investments shall be contingent upon the negotiation of contracts with each of such funds to the satisfaction of the SURS staff and counsel. The SURS staff may vary the allocation between such funds with the approval of the Board of Trustees of the System. Received and filed the annual Report to the Governor and General Assembly Regarding Use of Emerging Investment Managers for the period ending June 30, 2015.

**February 4, 2016**

Terminated Taplin, Canida & Habacht as a core plus fixed income manager, with the assets reallocated to fixed income managers Garcia Hamilton & Associates (\$50 million) and TCW MetWest (remainder of assets, approximately \$78 million). Terminated structured active U.S. equity accounts managed by PIMCO StocksPLUS and Jacobs Levy Equity Management.

**March 11, 2016**

Consented (i) to the termination of the temporary suspension of the Commitment Period for Lincoln Fund I, LP, resulting from the recent Key Person Event, and (ii) to approve an amendment to the limited partnership agreement for Lincoln Fund I, LP, adding Alan Mattamana as a Key Person, pending successful negotiations and legal review. Authorized a commitment of \$100 million, contingent on successful contract negotiations, to Muller & Monroe and conditioned on further approval by the Board of Trustees. Consented to (i) the assignment of the Investment Management Agreement between SURS and Fiduciary Management Associates (FMA) and (ii) the appointment of Mesirow Financial Investment Management, Inc. be approved, pending successful negotiations and legal review.

**April 21, 2016**

Approved the revised fee schedule as proposed for Muller & Monroe. Authorized a commitment of up to 2 percent of the portfolio be allocated to equity index option strategies, to be managed by Gladius contingent upon successful negotiations and within the risk metrics consistent with Board directives. Authorized a commitment of \$150 million, contingent on successful contract negotiations, to the Adams Street 2016 Global Fund LP. Approved a search be conducted to identify a qualified global private equity fund of fund(s) provider(s). Authorized the Progress U.S. Equity Mandate be eliminated, with assets restructured to the following managers engaged directly by SURS, as listed below (amounts are approximate):

Non-U.S. Equity

- Ativo Capital Management - \$35 Million.
- GlobeFlex Capital - \$35 million.
- Strategic Global Advisors - \$35 million.

U.S. Equity

- Channing Capital - \$35 million.

- Piedmont Investment Advisors - \$35 million.
  - Mesirow- \$35 million.
  - CastleArk Management - \$35 million.
- Cash
- The remaining balance of approximately \$100 million will be kept in cash, which can be used to help fund the commodities mandate or future benefit payments.

**June 10, 2016**

Consented to the proposed amendment to maintain the Commitment Period for MDP RE 2015, subject to legal review and completion of due diligence by Trustees and not to tender that decision until on or about August 1, 2016. Approved as presented the Investment Department Administrative Expense Budget for Fiscal Year 2017, excluding personnel costs. Accepted as presented the projected Investment Department Investment Management Fees for Fiscal Year 2017.

**September 15, 2016**

Accepted the SURS Fiscal Year 2017 Investment Plan as presented. Rescinded the motion from the September 2015 Investment Committee and Board meeting that directed “a search be conducted to identify qualified providers of hedged strategies consistent with the criteria expressed in the 2016 Investment Plan.”

**October 20, 2016**

Consented that the 2 percent commitment to Gladius Capital Management be implemented on a fully funded basis with funding sourced from the Northern Trust U.S. Equity Index Account. Accepted that assets be reallocated from the BTC International Alpha Tilts account to the BTC Emerging Markets Index Fund in an amount sufficient to increase the emerging markets position to a market weighting in the total non-U.S. equity portfolio . As of September 30, 2016, this amount was estimated to be approximately \$20 million but may vary based on market fluctuations.

**December 8, 2016**

Accepted that assets be reallocated to the three existing global equity managers (Mondrian Investment Partners, T. Rowe Price Global Focused Growth and Wellington Management) in amounts sufficient to bring the global equity allocation to the 8 percent strategic policy target level, while approximately equal weighting each of the three existing managers (post-allocation). Approved the revised Investment Policy document for the defined benefit plan be approved, as amended. Approved the revised Investment Policy document for the Self-Managed Plan (SMP), as presented. Terminated CBRE Clarion as an active global REIT manager and agreed that its assets be reallocated to the passive BlackRock BTC Global REIT Fund. Authorized a commitment of \$20 million contingent on successful contract negotiations, to the Crow Holdings Realty Partners Fund VIII LP. Consented that the annual Report to the Governor and General Assembly Regarding Use of Emerging Investment Managers for the period ending June 30, 2016 be received as presented.

**February 2, 2017**

Terminated Chicago Equity Partners as a core fixed income manager. Authorized that the assets that were managed by Chicago Equity Partners be reallocated to two existing fixed income managers (Garcia Hamilton & Associates and State Street Global Advisors) in the following amounts, \$150 million to Garcia Hamilton and the remainder of assets to State Street, at such time and in such manner as deemed prudent by investment staff. Approved issuance of an RFP on or before March 1, 2017, to search for one or more passive managers for SURS for all asset classes. Approved that SURS execute the consent appointing Anthony Fragapane and Marc Rivitz as successor representatives to John Morgan and Michael Humphrey in relation to SURS’ investment with Courtland Partners.

**March 10, 2017**

Terminated Lombardia Capital Partners as a U.S. small cap value manager and approved that assets be liquidated. Consented to the continued management of the KKR Prisma Codlin Fund LLC by Prisma Capital Partners LP, subject to the satisfactory completion of legal review. Agreed to the continued management of the Newport Monarch Fund LLC by PAAMCO, subject to satisfactory completion of legal review. Rescinded the motion from the April 2016 investment committee meeting for a search to be conducted to identify a qualified global private equity fund of funds provider(s). Consented to continue utilizing Northern Trust as a Master Trustee, subject to completion of satisfactory negotiations and approval by the board and if deemed necessary by the staff.

**April 20, 2017**

Terminated Holland Capital Management as a U.S. Equity Manager. Agreed that assets be transferred from the U.S. equity portfolio to the existing Hedge Fund-of-Fund portfolios, Newport Monarch LLC (managed by PAAMCO) and KKR Prisma Codlin Fund LLC, in amounts sufficient to reach the 5 percent strategic policy target for Hedged Strategies portfolio (approximately \$400 million). Authorized that allocations to the existing Hedge Fund-of-Funds portfolios, Newport Monarch LLC (managed by PAAMCO) and the KKR Prisma Codlin Fund LLC will be in amounts to result in portfolios of approximately similar size, post-allocation (estimated to be about \$435-\$440 million each). Approved that the source of funding for the allocation to hedged strategies will be proceeds from the liquidation of the Holland Capital Management U.S. equity account with the balance from the U.S. equity index accounts managed by Northern Trust and RhumbLine on a pro rata basis. Approved that a search be conducted to identify qualified non-core private commercial real estate debt managers. Agreed that RhumbLine Advisers be retained to provide passive TIPS investment management

services. Approved that the assets from the current active TIPS managers; PIMCO TIPS, Longfellow and New Century; be reallocated to the new passive TIPS manager, RhumbLine Advisers. The total amount to be reallocated was approximately \$675 million, but may vary based on market fluctuations.

**June 8, 2017**

Approved that SURS retain the Northern Trust Company, RhumbLine, State Street Bank and Trust Company, and BlackRock as managers of the passively managed equity and fixed income securities. Authorized that the Northern Trust Company, RhumbLine, State Street Bank and Trust Company, BlackRock, and Piedmont Investment Advisers be approved as providers of additional passively managed liquid equity and fixed income, in such sub-classes and amounts as may be approved by the Board from time to time. Agreed that the Investment Policy of the Board be amended as provided in the form of amended and restated Investment Policy, dated June 9, 2017, and as presented to the Board. The Policy will reflect the following active manager premiums:

Large Cap Structured Active:	.75%
Mid Cap Core:	1%
Mid Cap Growth:	1%
Mid Cap Value:	1%
Small Cap Core:	2%
Small Cap Growth:	2%
Small Cap Value:	2%
All Cap Non-US Equity:	2%
Global Equity:	2%
Large Cap Non-US Developed Equity:	2%
Emerging Markets:	2%
Structured Active Non-US Equity:	1.5%
Emerging Markets:	.5%

Based on the recommendation of staff and SURS investment consultant, approved the Five-Year Private Equity Funding Plan, as follows:

		2017	\$300 million
	2018	\$300 million	
2019	\$350 million		
2020	\$350 million		
2021	\$400 million		

Authorized multi-year commitments to existing providers Adams Street Partners and Pantheon Ventures and new provider Mesirow Financial Private Equity in approximately equal amounts in accordance with the Five-Year Private Equity Funding Plan, subject to successful completion of contract negotiations. Approved that a commitment of \$50 million be authorized, contingent on successful contract negotiations, to Macquarie Infrastructure Partners IV LP. Authorized a search to be conducted to identify qualified minority-, female-, and persons with a disability-owned (MFDB) managers in the U.S. Equity space. Consented that the CREF Money Market Account be terminated as an investment option for the SURS Self-Managed Plan; that the Vanguard Federal Money Market Fund be approved as an investment option for the SURS Self-Managed Plan; and that funds currently in the CREF Money Market Account be transferred to the Vanguard Federal Money Market Fund, except for assets restricted by TIAA-CREF contract terms. Agreed that the DFA Retirement Income Funds be added to the SMP investment lineup as the default option for new enrollees at TIAA. Approved that a search be conducted to identify a qualified investment consultant.

**September 14, 2017**

Authorized a commitment of \$20 million, contingent on successful contract negotiations, to Dune Real Estate Partners Fund IV LP. Agreed to, contingent to successful contract negotiations, the commitments made as follows:

- a.) Axonic Income Fund (“Axonic”): \$20 million, so long as Axonic consummates the investment of \$250 million in the fund no later than May 1, 2018;
- b.) BIG Real Estate Fund I, GP (“Basis”): the lesser of \$30 million or 10 percent of the assets under management of Basis as of May 1, 2018; and
- c.) Oaktree Real Estate Debt Fund II, L.P.: \$30 million.

Rescinded the motion to conduct a search to identify a qualified investment consultant made during the June 2017 Investment Committee meeting.

**October 19, 2017**

Approved that, contingent on successful contract and fee negotiations, SURS transfers \$100 million from Channing Midcap Value account to Channing SMID Value strategy, \$50 million to the Denali Large Value strategy from the T. Rowe Price Large Core (Structured Research) portfolio, and \$100 million to the Matarin Small Core strategy from the CastleArk Small Growth portfolio.

Authorized that a search be conducted to identify qualified firms to manage an option-based strategy of up to 2 percent of plan assets. Authorized that a search be conducted to identify a qualified defined benefit investment consultant and qualified defined contribution investment consultant.

**December 7, 2017**

Authorized a full redemption from the UBS Trumbull Property Fund and use of proceeds to invest \$300 million in core-plus, open-ended real estate fund(s). Approved a search for a core-plus, open-ended real estate fund(s). Authorized a commitment of \$35 million to Brookfield Strategic Real Estate Fund III L.P., contingent on successful contract negotiations. Consented to appoint Michael P. Murphy as successor representative to Anthony Fragapane at Courtland Partners. Approved redemptions to fund options strategies as needed, from hedge fund of fund managers Prisma and PAAMCO in approximately the following amounts: \$245 million to be withdrawn from PAAMCO and \$115 million to be withdrawn from Prisma. Approved as presented the revised Appendix 10 to the Investment Policy document.

**February 1, 2018**

Approved, subject to completion of successful contract negotiations, that AQR Capital Management, Gladius Capital Management, and Neuberger Berman be retained to manage an options-writing strategy for SURS and each will be funded with an initial allocation of approximately .5 percent, .5 percent, and 1 percent of the total fund, respectively. Agreed that Blue Bay Asset Management be terminated as an Emerging Markets Debt Manager and that the assets be reallocated to three existing EMD managers in the following amounts:

- Colchester Global Investors \$30 million
- Progress Investment Management \$50 million
- Prudential Fixed Income Remainder of assets

Authorized, based on the recommendation of staff and the SURS Investment Committee, that Pension Consulting Alliance be hired as the general investment consultant for a five-year term, subject to successful completion of contract negotiations.

**March 8, 2018**

Approved, contingent on successful contract negotiation and based on the recommendation of staff and the SURS investment consultant, a commitment of \$200 million be authorized to Blackstone Property Partners LP, and a commitment of \$100 million be authorized to Carlyle Property Investors LP. Agreed that, based on the recommendation of staff, Cammack Retirement be hired as the defined contribution investment consultant for a five-year term, contingent on successful contract negotiations. Agreed that, based on the recommendation of SURS staff, the procurement policy for the defined benefit plan be approved as amended. Agreed that, based on the recommendation of SURS staff, the revised Investment Policy for the defined benefit plan be approved as presented.

**April 19, 2018**

Based on the recommendation of SURS staff and the investment consultant, terminated the Channing Mid Value account and authorized the assets be transferred to the RhumbLine passive U.S. strategy. Approved a search to identify a qualified specialty real estate investment consultant, based on the recommendation of SURS staff.

**June 7, 2018**

Authorized, based on the recommendation of SURS staff, a search to identify potential transition managers.

**September 13, 2018**

Based on the recommendation from SURS staff, approved the Investment Beliefs as presented. Approved as presented and based on the recommendation from SURS staff and SURS investment consultant, the strategic policy allocation targets set forth below, giving staff the discretion to gradually implement those policy targets in coordination with the actual transition of assets:

<b>Asset Class</b>	<b>Weight</b>
<b>Non-Traditional Growth</b>	<b>15%</b>
<b>Traditional Growth</b>	<b>25%</b>
<b>Stabilized Growth</b>	<b>26%</b>
Options Strategies	6%
Credit Fixed Income	14%
Real Assets	6%
<b>Inflation Protection</b>	<b>6%</b>
TIPS	6%
<b>Principal Protection</b>	<b>8%</b>
<b>Crisis Risk Offset</b>	<b>20%</b>

Long Duration	5%
Trend Following	10%
Alternative Risk Premia	5%

Hired Callan as real assets consultant for a five-year term, contingent on successful contract negotiations that allow such contract to be terminated with a 30-day notice. Failed to authorize termination of Mesirow small cap and move assets into passive U.S. Equity. Approved, based on the recommendation from SURS staff and SURS investment consultant, that SURS coordinate full redemptions from the KKR Prisma Codlin Fund and from the Newport Monarch Fund. At either the October or December 2018 Investment Committee meeting, staff will recommend where the proceeds will be invested.

**October 18, 2018**

Based on the recommendation from staff and PCA, approved the selection of transition managers for the transition manager bench and/or interim management services: BlackRock, Citigroup, Loop Capital, Northern Trust, Penserra, Russell.

**December 6, 2018**

Approved, based on the recommendation from staff and PCA that proceeds from the hedge fund of funds redemption be allocated to AQR (25%), Gladius (25%), and Neuberger Berman (50%), and used to fund benefit payments if needed. Authorized a search be conducted to identify a qualified private equity investment consultant. Agreed that a search be conducted to identify qualified providers for the Self-Managed Plan and the Optional Supplemental DC Plan.

**March 7, 2019**

Based on the recommendation of staff, approved revised Investment Procurement Policy. Approved, contingent on successful contract negotiations and based on the recommendation of staff and SURS real assets consultant, that a commitment of €75 million be authorized to Blackstone Real Estate Partners Europe Fund VI. Approved a search to identify a qualified firm to manage trend-following strategy and alternative risk premia strategy. Based on the recommendation of staff and PCA, a commitment of no more than 1.75 percent of SURS total portfolio (35 percent of the initial 5 percent target of CRO) to long duration strategy be authorized, contingent on successful bidding among the approved slate of passively managed liquid fixed income providers. Based on recommendation from SURS staff and PCA, SURS terminated Mesirow Small Cap account and authorized liquidating assets to transfer to the cash account for benefit payments.

**April 18, 2019**

Approved, contingent on successful contract negotiations and based on recommendation of SURS staff and Callan, that a commitment of \$75 million be authorized to Westbrook Real Estate Fund XI. Based on the recommendation of SURS staff and Callan, a commitment of the lesser of \$40 million or 10% of total fund commitments be authorized to Long Ward Real Estate Partners Fund VI. Approved the graduation of Ramirez Asset Management from the Progress Portfolio to a direct SURS relationship, based on the recommendation of SURS staff, Progress Investment Management, and Meketa. As presented, approved the revised Investment Policy for the defined benefit plan, based on the recommendations of SURS staff and Meketa

**June 6, 2019**

Based on the recommendation of SURS staff and Meketa, approved Torrey Cove as the discretionary private equity advisor for a five-year term. Authorized, based on the recommendation of SURS staff and Meketa, to restructure the fixed income portfolio to implement the agreed upon goals for the principal protection and credit portfolios. Approved, an add-on a commitment of \$30 million to Dune Real Estate Fund IV, based on the recommendation of SURS staff and Callan.

**September 12, 2019**

Based on the recommendation of SURS staff and Meketa, the Investment Committee approved retaining Aspect Capital, Campbell and Company, and LongTail Alpha, subject to successful contract negotiations. Agreed that, based on the recommendation of SURS staff, the revised Investment Policy for the defined benefit plan and Investment Procurement Policy be approved as presented. Based on the recommendation from SURS staff and Cammack, the Investment Committee approved the retention of Voya Financial as the sole recordkeeper for the existing Self-Managed Plan and the new supplemental plan, subject to successful contract negotiations. Approved, subject to completion of successful contract negotiations and based on recommendation from SURS staff and Cammack, the retention of Voya Financial as the sole recordkeeper and AllianceBernstein as the income solution provider for the existing Self-Managed Plan and the new supplemental plan.

Portfolio Rebalancing/Restructuring (FY15-FY19)

DATE	TO	FROM	AMOUNT
10/30/14	Cash Flow	T. Rowe Price	75 million
11/18/14	Cash Flow	Martin Currie	25.6 million
12/2/14	Heitman America Real Estate Tr	Cash Flow	67.4 million
12/8/14	Parametric Clifton	Cash Flow	30 million
1/30/15	Cash Flow	PIMCO StocksPLUS	60 million
2/4/15	Cash Flow	BTC Global REIT	50 million
3/18/15	Cash Flow	BTC International Equity	125 million
3/20/15	Cash Flow	Jacobs Levy Equity Management	90 million
3/26/15	Cash Flow	RhumbLine Advisers	100 million
3/27/15	BlueBay Asset Management	Cash Flow	175 million
4/1/15	Progress Emerging Mgr Program	Cash Flow	65 million
4/30/15	Colchester Global Investors EMD	Cash Flow	105 million
4/30/15	Cash Flow	Northern Trust Asset Management	25 million
4/30/15	Cash Flow	PIMCO StocksPlus	80 million
5/22/15	Parametric Clifton	Cash Flow	45 million
6/22/15	Prudential Fixed Income EMD	Cash Flow	175 million
6/22/15	Cash Flow	Northern Trust Asset Management	175 million
6/30/15	Cash Flow	BTC International Equity	60 million
7/31/15	Cash Flow	RhumbLine Advisers	100 million
9/17/15	Franklin Templeton MDP RE 2015	Cash Flow	1.1 million
9/30/15	Cash Flow	Northern Trust Asset Management	150 million
11/2/15	Parametric Clifton Transition	Cash Flow	50 million
11/20/15	Cash Flow	Calamos Investments	50 million
12/18/15	Parametric Clifton	Cash Flow	40 million
1/14/16	Crow Holdings Realty Ptnrs VII	Cash Flow	8.9 million
1/28/16	Cash Flow	PIMCO Total Return	75 million
2/18/16	Brookfield Strategic RE Ptnrs II	Cash Flow	2.1 million
2/23/16	Cash Flow	Jacobs Levy Equity Management	286.2 million
2/24/16	KKR Prisma Codlin Fund	Cash Flow	275 million
3/1/16	Cash Flow	PIMCO StocksPlus	60 million
3/31/16	Cash Flow	RhumbLine Advisers	100 million
3/31/16	PAAMCO Newport Monarch Fund	Cash Flow	195 million
4/1/16	Cash Flow	PIMCO StocksPlus	180 million
4/12/16	Brookfield Strategic RE Partners II	Cash Flow	1.4 million
4/13/16	Cash Flow	PIMCO StocksPlus	7.6 million
4/26/16	Blue Vista Real Estate Partners IV	Cash Flow	3.5 million
5/3/16	Cash Flow	Progress Emerging Managers Program	5.2 million
5/24/16	Cash Flow	Transition Account	92.3 million
5/27/16	Blue Vista Real Estate Partners IV	Cash Flow	5 million
6/1/16	PIMCO Commodity Alpha Fund	Cash Flow	82.5 million
6/6/16	Cash Flow	Parametric Clifton Cash Overlay	100 million
6/6/16	Cash Flow	Parametric Clifton Transition	30 million
6/6/16	Brookfield Strategic RE Partners II	Cash Flow	7.5 million
6/7/16	Invesco Balanced Risk Commodity	Cash Flow	250 million
6/10/16	Cash Flow	BTC Global REIT	40 million
6/29/16	Crow Holdings Realty Partners VII	Cash Flow	3.4 million
6/30/16	Cash Flow	TCW MetWest	50 million
7/29/16	Cash Flow	Parametric Clifton Transition	30 million
8/1/16	Cash Flow	Parametric Clifton Transition	190 million
8/9/16	Cash Flow	Calamos Investments	8.6 million
12/18/16	T. Rowe Price	Cash Flow	40 million
12/19/16	Wellington Management	Cash Flow	65 million
1/7/17	Mondrian Investment Partners	Cash Flow	64 million



Portfolio Rebalancing/Restructuring (FY15-FY19)

DATE	TO	FROM	AMOUNT
5/11/17	Cash Flow	Holland Capital Management	117 million
5/25/17	Cash Flow	RhumbLine Advisers	100 million
5/25/17	Cash Flow	Northern Trust	180 million
5/26/17	KKR Prisma Codlin Fund	Cash Flow	165 million
5/26/17	PAAMCO Newport Monarch Fund	Cash Flow	240 million
7/28/17	Cash Flow	BTC International Equity	100million
9/28/17	Cash Flow	BTC International Equity	100 million
12/07/17	Cash Flow	Brookfield Strategic RE Fund III L.P	35 million
11/29/17	Cash Flow	BTC International Equity	75 million
12/20/17	Cash Flow	T. Rowe Price	50 million
12/20/17	Denali	Cash Flow	50 million
01/3/18	Basis	Cash Flow	6.9 million
2/14/18	Colchester Global Investors EMD	Cash Flow	30 million
2/21/18	Prudential Fixed Income EMD	Cash Flow	60 million
2/26/18	Progress EMD: GIA Partners	Cash Flow	40 million
2/26/18	Progress EMD: LM Capital Mgmt	Cash Flow	10 million
2/28/18	Prudential Fixed Income EMD	Cash Flow	55.5 million
3/21/18	Cash Flow	KKR Prisma Codlin Fund	23 million
3/23/18	Basis	Cash Flow	0.9 million
4/12/18	Cash Flow	PAAMCO Newport Monarch Fund	0.3 million
4/15/18	Cash Flow	PAAMCO Newport Monarch Fund	200 million
4/18/18	Cash Flow	KKR Prisma Codlin Fund	68 million
4/20/18	Cash Flow	PAAMCO Newport Monarch Fund	15 million
4/25/18	Cash Flow	KKR Prisma Codlin Fund	24 million
4/26/18	Neuberger Berman	Cash Flow	190 million
5/30/18	Gladius Capital Management	Cash Flow	95 million
6/15/18	AQR Capital Management	Cash Flow	95 million
7/30/18	Northern Trust	Cash Flow	60 million
8/24/18	Northern Trust	Cash Flow	150 million
9/4/18	Northern Trust	Cash Flow	200 million
10/1/18	Cash Flow	Carlyle Property Investors	5 million
11/29/18	Northern Trust	Cash Flow	70 million
1/15/2019	UBS	Cash Flow	36 million
2/11/2019	Cash Flow	Neuberger Berman	150 million
2/26/2018	Northern Trust	Cash Flow	27 million
3/26/2019	Northern Trust	Cash Flow	56 million
3/28/2019	Cash Flow	AQR	75 million
4/5/2019	Northern Trust	Cash Flow	3 million
4/26/2019	PAAMCO	Cash Flow	43 million
6/20/2019	KKR	Cash Flow	30 million
6/26/2019	Mesirow	Cash Flow	4 million
7/26/2019	T. Rowe	Cash Flow	70 million

## STATE UNIVERSITIES RETIREMENT SYSTEM

## ALTERNATIVE INVESTMENTS

As of September 30, 2019

<u>Partnership Investments</u>	<u>Closed</u>	<u>Committed</u>	<u>Funded</u>	<u>Amount Not Called</u>	<u>Remaining</u>	<u>Valuation as of 6/30/2019</u>				
<u>Private Equity</u>										
Adams Street Partnership Trust										
Adams Street Partners Partnership Trust	\$	906,523,208	\$	880,631,592	\$	11,624,068	\$	14,267,548	\$	27,195,082.00
Adams Street Partners Venture Partnership Acquisition Fund II	\$	10,000,000	\$	10,000,000	\$	-	\$	-	\$	-
Adams Street Non U.S. Partnership Fund Trust	\$	79,405,010	\$	71,135,940	\$	8,269,070	\$	8,269,070	\$	7,661,574.00
Adams Street Global Opportunities Secondary Fund, LP	\$	25,000,000	\$	22,125,000	\$	2,875,000	\$	2,875,000	\$	2,870,560.00
Adams Street Global Secondary Fund 5	\$	20,000,000	\$	15,649,950	\$	4,350,050	\$	4,350,050	\$	11,028,344.00
Adams Street 2007 Global Opportunities Portfolio	\$	100,000,000	\$	91,300,000	\$	8,700,000	\$	8,700,000	\$	30,053,611.00
Adams Street 2008 Global Offering	\$	100,000,000	\$	92,816,000	\$	7,184,000	\$	7,184,000	\$	68,826,001.00
Adams Street 2009 Global Offering	\$	100,000,000	\$	91,457,000	\$	8,543,000	\$	8,543,000	\$	82,383,014.00
Adams Street 2012 Global Fund	\$	80,000,000	\$	56,232,000	\$	23,768,000	\$	23,768,000	\$	76,282,256.00
Adams Street 2013 Global Fund	\$	100,000,000	\$	72,149,999	\$	27,850,001	\$	27,850,001	\$	105,612,338.00
Adams Street 2014 Global Fund	\$	100,000,000	\$	68,300,000	\$	31,700,000	\$	31,700,000	\$	102,566,532.00
Adams Street 2015 Global Fund	\$	125,000,000	\$	70,500,000	\$	54,500,000	\$	54,500,000	\$	101,540,002.00
Adams Street 2016 Global Fund	\$	150,000,000	\$	52,875,000	\$	97,125,000	\$	97,125,000	\$	87,562,641.00
Adams Street 2017 Global Fund	\$	90,000,000	\$	11,295,000	\$	78,705,000	\$	78,705,000	\$	39,494,378.00
Adams Street 2018 Global Fund	\$	90,000,000	\$	10,080,000	\$	79,920,000	\$	79,920,000	\$	12,652,953.00
Pantheon Ventures Inc.										
Pantheon Global Secondary Fund II LP	\$	25,000,000	\$	21,278,298	\$	3,721,702	\$	3,721,702	\$	363,673.00
Pantheon Multi-Strategy Program 2014 (US), L.P.	\$	125,000,000	\$	70,512,973	\$	54,487,027	\$	54,487,027	\$	74,855,952.00
Pantheon USA Fund VIII, L.P.	\$	103,307,076	\$	95,043,716	\$	8,263,360	\$	8,263,360	\$	65,374,469.00
Pantheon USA Fund IX, L.P.	\$	85,444,334	\$	72,184,334	\$	13,260,000	\$	13,260,000	\$	80,426,578.00

Schedule F

STATE UNIVERSITIES RETIREMENT SYSTEM

ALTERNATIVE INVESTMENTS

As of September 30, 2019

<u>Partnership Investments</u>	<u>Closed</u>	<u>Committed</u>	<u>Funded</u>	<u>Amount Not Called</u>	<u>Remaining</u>	<u>Valuation as of 6/30/2019</u>				
Pantheon Access (US), L.P.	\$	90,000,000	\$	14,605,107	\$	75,394,893	\$	11,962,254.00		
Fairview Lincoln Fund I	\$	75,000,000	\$	56,730,164	\$	18,269,836	\$	61,689,887.00		
Mesirow Financial Private Equity Fund VII - B L.P.	\$	40,000,000	\$	29,840,000	\$	10,160,000	\$	26,055,344.00		
Muller & Monroe - Illinois Private Equity Fund-of-Funds, LP (ILPEFF)	\$	25,000,000	\$	21,484,111	\$	3,515,889	\$	-		
Muller & Monroe Private Equity Fund-of-Funds, LP (MPEFF)	\$	25,000,000	\$	24,248,524	\$	751,476	\$	5,139,236.00		
Muller & Monroe SURS Emerging Private Equity Fund-of-Funds	\$	100,000,000	\$	37,321,853	\$	62,678,147	\$	61,063,882.00		
<b>Progress Investment Management Investments</b>										
<b>Total Private Equity Investments (US Dollars)</b>	<b>\$</b>	<b>3,382,993,756</b>	<b>\$</b>	<b>2,078,265,377</b>	<b>\$</b>	<b>11,624,068</b>	<b>\$</b>	<b>698,259,000</b>	<b>\$</b>	<b>1,433,789,784</b>
Pantheon Ventures Partnership Trust	€	19,729,220	€	12,025,206	€	7,704,014	€		€	
Pantheon Europe Fund III	€	68,105,700	€	55,472,840	€	12,632,860	€	6,356,357.00	€	
Pantheon Europe Fund VI	€	30,722,000	€	28,479,294	€	2,242,706	€	15,387,828.00	€	
Pantheon Europe Fund VII	€	30,715,907	€	25,500,407	€	5,215,500	€	28,323,313.00	€	
<b>Total Private Equity Investments (Euros)</b>	<b>€</b>	<b>149,272,827</b>	<b>€</b>	<b>121,477,747</b>	<b>€</b>	<b>27,795,080</b>	<b>€</b>	<b>50,067,498.00</b>	<b>€</b>	

Other Alternative Investments

Real Estate

Basis BIG Real Estate Fund I, LP	\$	30,000,000	\$	22,166,097	\$	7,833,903	\$	13,075,734.00
Blue Vista Real Estate Partners IV	\$	35,000,000	\$	34,370,000	\$	630,000	\$	33,821,803.00
Brookfield Strategic Real Estate Partners II	\$	35,000,000	\$	30,842,837	\$	4,157,163	\$	30,474.00
Carlyle	\$	100,000,000	\$	100,000,000	\$	-	\$	102,865,613.00

STATE UNIVERSITIES RETIREMENT SYSTEM

ALTERNATIVE INVESTMENTS

As of September 30, 2019

<u>Partnership Investments</u>	<u>Closed</u>	<u>Committed</u>	<u>Funded</u>	<u>Amount Not Called</u>	<u>Remaining</u>	<u>Valuation as of 6/30/2019</u>
Crow Holdings Realty Partners VII	\$ 35,000,000	\$ 31,426,991		\$ 3,573,009	\$ 24,263,439.00	
Crow Holdings Realty Partners VIII	\$ 20,000,000	\$ 13,180,513		\$ 6,819,487	\$ 9,750,639	
Dune Real Estate Parallel Fund II	\$ 40,000,000	\$ 39,738,957		\$ 261,043	\$ 21,480,655.00	
Dune Real Estate Parallel Fund III	\$ 100,000,000	\$ 91,359,322		\$ 8,640,678	\$ 108,035,304.00	
Franklin Templeton EMREFF	\$ 74,974,768	\$ 66,452,155		\$ 8,522,613	\$ 8,092,288.00	
Franklin Templeton FTPREF	\$ 50,000,000	\$ 43,186,634		\$ 6,813,366	\$ 9,106,912.00	
Franklin Templeton MDP RE 2015	\$ 90,000,000	\$ 22,410,999		\$ 67,589,001	\$ 46,917,384.00	
Heitman America Real Estate Trust	\$ 150,000,000	\$ 150,000,000		\$ -	\$ 221,389,130.00	
JPMCB Strategic Property Fund	\$ 150,000,000	\$ 150,000,000		\$ -	\$ 225,395,159.00	
Courtland/Pru Real Estate Global Partnership Fund II (fka MFIRE II)	\$ 60,000,000	\$ 39,300,000		\$ 20,700,000	\$ 26,092,486.00	
Oaktree Real Estate Debt Fund II (Parallel), L.P.	\$ 30,000,000	\$ 12,930,000		\$ 17,070,000	\$ 11,554,801.00	
<b>Total Real Estate Investments</b>	<u>\$ 1,219,974,768</u>	<u>\$ 1,091,253,993</u>		<u>\$ 128,720,775</u>	<u>\$ 737,700,768</u>	
<b>Infrastructure</b>						
Alinda Capital Partners	\$ 40,000,000	\$ 36,519,977		\$ 3,480,023	\$ 17,710,096.00	
Macquarie Infrastructure Partners II	\$ 40,000,000	\$ 37,974,017		\$ 2,025,983	\$ 21,880,700.00	
Macquarie Infrastructure Partners III	\$ 50,000,000	\$ 43,654,780		\$ 6,345,220	\$ 43,629,334.00	
Macquarie Infrastructure Partners IV	\$ 50,000,000	\$ 42,903,410		\$ 7,096,590	\$ 19,515,741.00	
<b>Total Infrastructure Investments</b>	<u>\$ 180,000,000</u>	<u>\$ 161,052,184</u>		<u>\$ 18,947,816</u>	<u>\$ 102,735,871</u>	

STATE UNIVERSITIES RETIREMENT SYSTEM

ALTERNATIVE INVESTMENTS

As of September 30, 2019

<u>Partnership Investments</u>	<u>Closed</u>	<u>Committed</u>	<u>Funded</u>	<u>Amount Not Called</u>	<u>Remaining</u>	<u>Valuation as of 6/30/2019</u>		
<b>Public-Private Investment Program (PPIP)</b>								
Angelo Gordon GECC	\$	60,000,000	\$	54,000,000	\$	6,000,000	\$	32,309
Oaktree Capital Management	\$	50,000,000	\$	22,584,949	\$	27,415,051	\$	6,590
RLJ Western Asset	\$	50,000,000	\$	50,000,000	\$	0	\$	-
<b>Total Public-Private Investment Program (PPIP)</b>	<b>\$</b>	<b>160,000,000</b>	<b>\$</b>	<b>126,584,949</b>	<b>\$</b>	<b>33,415,051</b>	<b>\$</b>	<b>38,899</b>
<b>Hedged Strategies</b>								
KKR Prisma Codlin Fund	\$	275,000,000	\$	275,000,000	\$	-	\$	27,604,251.00
PAAMCO Newport Monarch Fund	\$	195,000,000	\$	195,000,000	\$	-	\$	125,418,837.49
AQR Global Risk	\$	95,000,000	\$	95,000,000	\$	-	\$	175,120,092.00
<b>Total Hedged Strategy Investments</b>	<b>\$</b>	<b>565,000,000</b>	<b>\$</b>	<b>565,000,000</b>	<b>\$</b>	<b>-</b>	<b>\$</b>	<b>153,023,088</b>
<b>Commodities</b>								
Invesco Balanced Risk Commodity Trust	\$	250,000,000	\$	250,000,000	\$	-	\$	239,375,556.00
PIMCO Commodity Alpha Fund	\$	82,500,000	\$	82,500,000	\$	-	\$	113,084,727.44
<b>Total Commodity Investments</b>	<b>\$</b>	<b>332,500,000</b>	<b>\$</b>	<b>332,500,000</b>	<b>\$</b>	<b>-</b>	<b>\$</b>	<b>352,460,283</b>

STATE UNIVERSITIES RETIREMENT SYSTEM  
**BROKERAGE COST REVIEW - DOMESTIC EQUITIES**  
 Trades from October 1, 2018 through September 30, 2019

	Shares Traded	Commissions	Cents Per Share	Ownership (minority/female/disabled)
Abel/Noser	1,416	\$ 35	\$ 0.03	
<b>Academy Securities</b>	4,582	115	0.03	Disabled Veteran
Alex Brown	17,700	177	0.01	
Allen & Company	32,587	815	0.03	
<b><u>Andes Capital Group (ECN)</u></b>	9,100	273	0.03	Asian American
B Riley & Company	95,224	2,857	0.03	
BMO Capital Markets	138,466	3,914	0.03	
<b><u>BMO Capital Markets (ECN)</u></b>	75,183	564	0.01	
BNY Mellon	1,195,692	35,871	0.03	
BTIG (Bass Trading International Group)	181,085	1,971	0.01	
<b><u>BTIG (Bass Trading International Group) (ECN)</u></b>	32,200	322	0.01	
<b>Bancroft Capital</b>	17,730	443	0.03	Disabled Veteran
Bank of America	40,954	1,200	0.03	
<b><u>Bank of America (ECN)</u></b>	41,297	388	0.01	
Bank of America Securities	67,685	1,980	0.03	
<b><u>Bank of America Securities (ECN)</u></b>	91,305	913	0.01	
Barclays	1,611,020	18,427	0.01	
<b><u>Barclays (ECN)</u></b>	2,873,156	32,144	0.01	
Barrington Research Associates	30,245	907	0.03	
Benchmark Company	82,955	2,489	0.03	
Berenberg Bank	15,640	469	0.03	
<b><u>BlockCross Holdings (ECN)</u></b>	5,314	40	0.01	
<b>CAPIS (Capital Institutional Services)</b>	37,208	1,131	0.03	Female
<b>CL King &amp; Associates</b>	287,168	8,101	0.03	Female
<b><u>CL King &amp; Associates (ECN)</u></b>	129,818	2,385	0.02	Female
CLSA	6,567	230	0.04	
<b><u>CLSA (ECN)</u></b>	20,568	206	0.01	
<b>Cabrera Capital Markets</b>	159,466	4,715	0.03	Latino
<b><u>Cabrera Capital Markets (ECN)</u></b>	311,605	6,240	0.02	Latino
Canaccord Adams	116,792	3,504	0.03	
Canaccord Genuity Canada	1,694	42	0.03	
Cantor Fitzgerald	30,543	707	0.02	
<b>Capital Investment Services, Inc</b>	29,811	556	0.02	Female
<b>CastleOak Securities</b>	704,681	9,188	0.01	African American
<b><u>CastleOak Securities (ECN)</u></b>	858,418	7,742	0.01	African American
<b>Cheevers &amp; Company</b>	787,135	19,678	0.03	Female
Citigroup Global Markets	68,642	2,191	0.03	
<b><u>Citigroup Global Markets (ECN)</u></b>	86,406	857	0.01	
<b><u>Cornerstone Macro (ECN)</u></b>	187,329	4,652	0.02	
Cowen & Company	287,860	8,814	0.03	
<b><u>Cowen &amp; Company (ECN)</u></b>	321,191	3,157	0.01	
Craig-Hallum	583,555	17,507	0.03	
Credit Suisse	125,177	4,299	0.03	
<b><u>Credit Suisse (ECN)</u></b>	184,026	5,169	0.03	
DA Davidson & Company	77,110	2,313	0.03	
<b><u>DA Davidson &amp; Company (ECN)</u></b>	98,751	2,248	0.02	
Dash Financial	734,203	7,342	0.01	
Deutsche Bank	49,251	1,627	0.03	
<b><u>Deutsche Bank (ECN)</u></b>	8,812	88	0.01	
Dougherty & Company	70,340	2,110	0.03	
Dowling & Partners	700	18	0.03	
<b>Drexel Hamilton</b>	500	13	0.03	Disabled Veteran
Evercore Partners	67,907	2,285	0.03	
<b><u>Evercore Partners (ECN)</u></b>	149,331	1,472	0.01	
FIS	172,900	865	0.01	
<b><u>FIS (ECN)</u></b>	21,300	107	0.01	
<b><u>Fig Group LLC (ECN)</u></b>	7,391	222	0.03	Female
Goldman Sachs	317,495	7,610	0.02	
<b><u>Goldman Sachs (ECN)</u></b>	1,109,256	26,981	0.02	
Gordon Haskett Capital	312	8	0.03	
Green Street Advisors	744	19	0.03	
<b>Guzman &amp; Company</b>	5,082	127	0.03	Latino
<b>IFS Securities</b>	1,900	48	0.03	African American
INTL FCStone	562	14	0.03	
ISI Group	86,285	3,020	0.04	
ITG (Investment Technology Group)	124,265	1,243	0.01	

STATE UNIVERSITIES RETIREMENT SYSTEM  
**BROKERAGE COST REVIEW - DOMESTIC EQUITIES**  
 Trades from October 1, 2018 through September 30, 2019

	Shares Traded	Commissions	Cents Per Share	Ownership (minority/female/disabled)
<u>ITG (Investment Technology Group) (ECN)</u>	770,919	22,456	0.03	
<u>Instinet (ECN)</u>	64,854	935	0.01	
<b>Ivy Securities</b>	145,500	1,455	0.01	Asian American
<b><u>Ivy Securities (ECN)</u></b>	13,200	132	0.01	Asian American
JMP Securities	56,480	1,694	0.03	
<u>JMP Securities (ECN)</u>	82,940	1,578	0.02	
JP Morgan Chase & Company	300,486	10,050	0.03	
<u>JP Morgan Chase &amp; Company (ECN)</u>	687,318	19,895	0.03	
Janney Montgomery Scott	3,363	84	0.03	
Jefferies & Company	176,303	5,809	0.03	
<u>Jefferies &amp; Company (ECN)</u>	227,692	4,046	0.02	
<u>Johnson Rice &amp; Company (ECN)</u>	21,512	432	0.02	
Jones & Associates	55,203	1,880	0.03	
JonesTrading Institutional Services	544,280	16,045	0.03	
<u>JonesTrading Institutional Services (ECN)</u>	18,285	210	0.01	
Keefe, Bruyette & Woods	82,537	2,839	0.03	
<u>Keefe, Bruyette &amp; Woods (ECN)</u>	74,259	1,741	0.02	
KeyBanc Capital Markets	322,767	10,088	0.03	
<u>KeyBanc Capital Markets (ECN)</u>	101,228	2,535	0.03	
Lake Street Capital Markets	84,520	2,458	0.03	
Leerink Swann & Company	139,459	3,995	0.03	
Liquidnet	21,345	747	0.04	
<u>Liquidnet (ECN)</u>	165,154	3,202	0.02	
Longbow Securities	2,010	50	0.03	
<b>Loop Capital Markets</b>	5,015,593	106,124	0.02	African American
<b><u>Loop Capital Markets (ECN)</u></b>	3,420,199	35,262	0.01	African American
<u>Luminex Trading &amp; Analytics (ECN)</u>	115,968	1,130	0.01	
MKM Partners	4,148	104	0.03	
<u>MKM Partners (ECN)</u>	10,299	309	0.03	
Macquarie Securities	9,760	317	0.03	
<u>Merrill Lynch (ECN)</u>	107,617	1,076	0.01	
<b><u>Mischler Financial Group (ECN)</u></b>	3,980	80	0.02	Disabled Veteran
Mizuho Securities	8,500	213	0.03	
Morgan Stanley	121,680	4,126	0.03	
<u>Morgan Stanley (ECN)</u>	50,416	504	0.01	
Needham & Company	156,505	4,695	0.03	
<u>Nomura (ECN)</u>	52,527	394	0.01	
<b>North South Capital</b>	84,500	3,293	0.04	Female
<b><u>North South Capital (ECN)</u></b>	59,300	2,965	0.05	Female
Northland Securities	172,220	4,805	0.03	
O'Neil Securities, Inc.	209,866	6,296	0.03	
Oppenheimer & Company	154,071	4,472	0.03	
<u>Oppenheimer &amp; Company (ECN)</u>	1,388,309	13,883	0.01	
<b>Penserra Securities</b>	1,668,301	24,502	0.01	Latino
<b><u>Penserra Securities (ECN)</u></b>	1,258,960	9,818	0.01	Latino
Piper Jaffray & Company	298,795	8,705	0.03	
<u>Piper Jaffray &amp; Company (ECN)</u>	32,225	967	0.03	
Precision Securities	57,900	492	0.01	
<u>Precision Securities (ECN)</u>	26,900	229	0.01	
RBC Capital Markets	78,375	2,520	0.03	
<u>RBC Capital Markets (ECN)</u>	253,403	2,493	0.01	
ROTH Capital Partners	126,690	3,801	0.03	
<b>Ramirez &amp; Company</b>	18,191	455	0.03	Latino
Raymond James & Associates	170,799	4,767	0.03	
<u>Raymond James &amp; Associates (ECN)</u>	145,970	3,487	0.02	
Robert W. Baird & Company	1,252,853	42,598	0.03	
<u>Robert W. Baird &amp; Company (ECN)</u>	226,992	5,550	0.02	
Sanford C. Bernstein	43,671	1,529	0.04	
<u>Sanford C. Bernstein (ECN)</u>	188,497	2,368	0.01	
Seaport Group	212,029	6,361	0.03	
<u>Seaport Group (ECN)</u>	75,763	1,919	0.03	
Sidoti & Company	4,200	105	0.03	
<b>Siebert Brandford Shank &amp; Company</b>	790,581	9,156	0.01	African American
<b><u>Siebert Brandford Shank &amp; Company (ECN)</u></b>	1,122,524	4,998	0.00	African American
Stephens	537,295	16,434	0.03	
<u>Stephens (ECN)</u>	66,909	1,923	0.03	

STATE UNIVERSITIES RETIREMENT SYSTEM  
**BROKERAGE COST REVIEW - DOMESTIC EQUITIES**  
 Trades from October 1, 2018 through September 30, 2019

	<u>Shares Traded</u>	<u>Commissions</u>	<u>Cents Per Share</u>	<u>Ownership (minority/female/disabled)</u>
Stifel, Nicolaus & Company	797,735	26,386	0.03	
<i>Stifel, Nicolaus &amp; Company (ECN)</i>	244,544	5,329	0.02	
Stuart Frankel & Co.	398	10	0.03	
<b>Sturdivant and Company</b>	9,527	238	0.03	African American
<b><i>Sturdivant and Company (ECN)</i></b>	44,842	1,345	0.03	African American
SunTrust Robinson Humphrey	178,123	5,261	0.03	
<i>SunTrust Robinson Humphrey (ECN)</i>	26,885	807	0.03	
Susquehanna Financial Group	20,963	524	0.03	
TD Securities	17,256	431	0.03	
<b>Telsey Advisory Group</b>	169,005	4,872	0.03	Female
<b><i>Telsey Advisory Group (ECN)</i></b>	12,457	374	0.03	Female
Themis Trading	1,240	25	0.02	
<b>Tigress Financial Partners</b>	1,275	32	0.03	Female
UBS	78,822	2,701	0.03	
<i>UBS (ECN)</i>	92,908	917	0.01	
Virtu Financial Capital Markets	7,835	230	0.03	
<i>Virtu Financial Capital Markets (ECN)</i>	76,027	570	0.01	
Wedbush Morgan Securities	979	32	0.03	
Weeden & Company	21,091	527	0.03	
<i>Weeden &amp; Company (ECN)</i>	225,013	1,974	0.01	
Wells Fargo Advisors	160,123	4,788	0.03	
<i>Wells Fargo Advisors (ECN)</i>	97,729	2,932	0.03	
William Blair & Company	597,659	18,057	0.03	
<i>William Blair &amp; Company (ECN)</i>	28,430	578	0.02	
<b>Williams Capital Group</b>	1,937,913	22,158	0.01	African American
<b><i>Williams Capital Group (ECN)</i></b>	1,553,184	21,388	0.01	African American
Wolfe Trahan Securities	15,405	385	0.03	
Grand Totals	<u>45,472,856</u>	<u>\$ 859,616</u>	<u>\$ 0.02</u>	



STATE UNIVERSITIES RETIREMENT SYSTEM  
**BROKERAGE COST REVIEW - DOMESTIC EQUITIES**  
 Trades from October 1, 2018 through September 30, 2019

	Shares Traded	Commissions	Cents Per Share	Ownership (minority/female/disabled)
<b>Active Domestic Equity</b>				
<b>Expected Usage of Minority-, Female- and Persons with a Disability-Owned (MFDB) Brokerage Firms: 30%</b>				
<b>Totals by Investment Manager</b>				<b>Per Cent of MFDB Usage</b>
CastleArk Management	10,224,433	\$ 304,230	\$ 0.03	30.67%
Channing Capital Management - SMID	2,667,659	66,236	0.02	100.00%
Denali Advisors	1,484,850	21,862	0.01	64.71%
EARNEST Partners	831,579	23,120	0.03	62.16%
Matarin Capital Management	2,863,058	25,768	0.01	100.00%
Mesirow Financial Investment Mgmt (formerly FMA)	5,182,065	156,575	0.03	36.67%
<b>Grand Totals, Active Domestic Equity</b>	<b>23,253,644</b>	<b>\$ 597,791</b>	<b>\$ 0.03</b>	
<b>Enhanced Active Domestic Equity</b>				
<b>Expected Usage of Minority-, Female- and Persons with a Disability-Owned (MFDB) Brokerage Firms: 20%</b>				
<b>Totals by Investment Manager</b>				<b>Per Cent of MFDB Usage</b>
Piedmont Investment Advisors	15,394,074	\$ 152,499	\$ 0.01	51.45%
T. Rowe Price	3,838,919	72,256	0.02	22.02%
<b>Grand Totals, Enhanced Active Domestic Equity</b>	<b>19,232,993</b>	<b>\$ 224,755</b>	<b>\$ 0.01</b>	
<b>Passive Domestic Equity</b>				
<b>Expected Usage of Minority-, Female- and Persons with a Disability-Owned (MFDB) Brokerage Firms: 35%</b>				
<b>Totals by Investment Manager</b>				<b>Per Cent of MFDB Usage</b>
Northern Trust Asset Management	384,375	\$ 3,605	\$ 0.01	99.45%
RhumbLine Advisers	2,601,844	33,465	0.01	100.00%
<b>Grand Totals, Passive Domestic Equity</b>	<b>2,986,219</b>	<b>\$ 37,070</b>	<b>\$ 0.01</b>	
<i>Total Electronic Communication Networks (ECN's)</i>	19,857,895	\$ 278,902	\$ 0.01	
Per Cent of Total	43.67%	32.44%		
<b>Total MFDB Firms</b>	<b>20,680,627</b>	<b>\$ 309,622</b>	<b>\$ 0.01</b>	
Per Cent of Total less ECN's	60.08%	45.94%		
<b>Breakdown of Reported Firms (in Dollars)</b>				
African American	15,459,362	\$ 217,647	\$ 0.01	<b>6 Firms</b>
Latino	3,421,605	45,856	0.01	<b>4 Firms</b>
Asian	167,800	1,860	0.01	<b>2 Firms</b>
Female	1,605,068	43,609	0.03	<b>9 Firms</b>
Disabled Veteran	26,792	650	0.02	<b>4 Firms</b>
Native American	-	-	-	<b>0 Firms</b>
<b>Total MFDB Firms</b>	<b>20,680,627</b>	<b>\$ 309,622</b>	<b>\$ 0.01</b>	<b>25 Firms</b>
<b>Breakdown of Reported Firms (in Per Cent)</b>				
African American	44.91%	32.29%		
Latino	9.94%	6.80%		
Asian	0.49%	0.28%		
Female	4.66%	6.47%		
Disabled Veteran	0.08%	0.10%		
Native American	0.00%	0.00%		
<b>Total MFDB Firms</b>	<b>60.08%</b>	<b>45.94%</b>		

STATE UNIVERSITIES RETIREMENT SYSTEM  
BROKERAGE COST REVIEW - INTERNATIONAL EQUITIES

Trades from October 1, 2018 through September 30, 2019

	Shares Traded	Amount Traded	Commissions	Per Cent Cost of Trade	Cents Per Share	Ownership (minority/female/disabled)
<b>Andes Capital Group</b>	4,500	\$ 562,126	\$ 90.00	0.02%	\$ 0.02	Asian American
Auerbach Grayson & Company	311,159	3,539,985	3,351	0.09%	0.01	
Autonomous Research	7,690	1,054,702	633	0.06%	0.08	
BBVA Bolsa S.V. S.A.	2,619	57,610	35	0.06%	0.01	
BMO Capital Markets	35,100	1,577,959	655	0.04%	0.02	
<u>BMO Capital Markets (ECN)</u>	109,800	1,756,828	625	0.04%	0.01	
BTIG (Bass Trading International Group)	1,179,156	17,135,866	14,322	0.08%	0.01	
Bank of America	905,662	10,967,583	16,617	0.15%	0.02	
<u>Bank of America (ECN)</u>	993,429	21,546,791	14,504	0.07%	0.01	
Barclays	588,238	8,172,043	8,099	0.10%	0.01	
<u>Barclays (ECN)</u>	271,274	4,146,467	3,122	0.08%	0.01	
Baypoint Trading	49,540	1,536,452	991	0.06%	0.02	
Berenberg Bank	75,543	3,335,426	3,602	0.11%	0.05	
Bloomberg Tradebook	10,700	417,198	207	0.05%	0.02	
<b>CAPIS (Capital Institutional Services)</b>	377,600	3,192,140	1,595	0.05%	0.00	Female
CIBC (Canadian Imperial Bank of Commerce)	50,300	262,151	953	0.36%	0.02	
<u>CIBC (Canadian Imperial Bank of Commerce) (ECN)</u>	23,300	1,356,649	131	0.01%	0.01	
CLSA	1,592,619	11,099,450	15,644	0.14%	0.01	
<u>CLSA (EM)</u>	9,610,136	4,801,790	7,711	0.16%	0.00	
<b>Cabrera Capital Markets</b>	3,179,544	60,247,450	37,176	0.06%	0.01	Latino
<b>Cabrera Capital Markets (EM)</b>	2,875,091	11,796,308	12,400	0.11%	0.00	Latino
Cantor Fitzgerald	331,793	5,488,066	10,311	0.19%	0.03	
<b>Capital Investment Services, Inc (EM)</b>	11,060	98,131	118	0.12%	0.01	Female
Carnegie	5,717	152,600	92	0.06%	0.02	
<b>CastleOak Securities</b>	85,100	748,278	1,196	0.16%	0.01	African American
China International Capital	98,000	628,442	452	0.07%	0.00	
Citigroup Global Markets	3,848,668	60,347,439	39,502	0.07%	0.01	
<u>Citigroup Global Markets (ECN)</u>	1,061,374	15,717,149	11,782	0.07%	0.01	
Cowen & Company	905,786	20,682,318	15,685	0.08%	0.02	
<u>Cowen &amp; Company (EM)</u>	8,500	2,018,817	2,420	0.12%	0.28	
Credit Suisse	7,462,751	85,196,863	74,124	0.09%	0.01	
<u>Credit Suisse (ECN)</u>	1,385,981	20,926,480	13,678	0.07%	0.01	
<u>Credit Suisse (EM)</u>	567,567	2,454,267	3,680	0.15%	0.01	
Daiwa Securities Group	201,287	4,490,937	5,150	0.11%	0.03	
Desjardins Securities	100	9,394	2	0.02%	0.02	
Deutsche Bank	668,519	7,645,479	10,764	0.14%	0.02	
<u>Deutsche Bank (ECN)</u>	671,700	11,100,222	8,319	0.07%	0.01	
DnB NOR Markets	41,600	412,796	248	0.06%	0.01	
Exane	12,634	544,589	720	0.13%	0.06	
<u>Exane (ECN)</u>	1,206,639	12,146,353	9,515	0.08%	0.01	
FIG Partners	12,800	348,216	557	0.16%	0.04	
FIS	43,000	548,459	161	0.03%	0.00	
FIS Brokerage & Securities Services LLC	36,100	860,533	137	0.02%	0.00	
<b>Fig Group LLC</b>	45,804,319	95,787,630	150,467	0.16%	0.00	Female
<b>Fig Group LLC (EM)</b>	3,508,455	4,770,706	7,168	0.15%	0.00	Female
Goldman Sachs	5,948,225	59,956,756	44,987	0.08%	0.01	
<u>Goldman Sachs (ECN)</u>	1,265,179	29,600,031	18,606	0.06%	0.01	
<u>Goldman Sachs (EM)</u>	1,092,749	757,296	1,213	0.16%	0.00	
Goodbody	105,308	373,745	746	0.20%	0.01	
HSBC	639,405	6,030,470	3,879	0.06%	0.01	
<u>HSBC (EM)</u>	328,281	226,000	339	0.15%	0.00	
Handelsbanken	104,216	2,645,080	2,908	0.11%	0.03	
ITG (Investment Technology Group)	9,485,125	94,970,172	81,085	0.09%	0.01	
<u>ITG (Investment Technology Group) (ECN)</u>	2,166,001	22,799,097	20,177	0.09%	0.01	
<u>ITG (Investment Technology Group) (EM)</u>	9,389,910	9,774,090	9,208	0.09%	0.00	
Instinet	7,426,291	53,459,721	78,434	0.15%	0.01	
<u>Instinet (ECN)</u>	207,030	3,111,829	2,364	0.08%	0.01	
<u>Instinet (EM)</u>	16,892,084	13,561,133	21,245	0.16%	0.00	
Investec Securities	43,600	765,830	381	0.05%	0.01	
JP Morgan Chase & Company	658,434	13,337,378	17,940	0.13%	0.03	
<u>JP Morgan Chase &amp; Company (ECN)</u>	994,617	16,690,001	13,011	0.08%	0.01	
Jefferies & Company	3,413,668	62,173,299	36,867	0.06%	0.01	
<u>Jefferies &amp; Company (ECN)</u>	118,037	1,302,492	2,650	0.20%	0.02	
Joh. Berenberg, Gossler & Company	8,966	1,256,274	754	0.06%	0.08	
JonesTrading Institutional Services	272,500	2,472,846	989	0.04%	0.00	
Liquidnet	1,020,809	23,328,722	13,131	0.06%	0.01	
<u>Liquidnet (ECN)</u>	612,138	8,794,694	9,939	0.11%	0.02	
<u>Liquidnet (EM)</u>	2,103,696	2,148,909	1,408	0.07%	0.00	
<b>Loop Capital Markets</b>	23,217,922	293,726,806	185,291	0.06%	0.01	African American
<b>Loop Capital Markets (EM)</b>	861,160	3,142,916	3,408	0.11%	0.00	African American
Macquarie Securities	872,717	6,904,715	10,307	0.15%	0.01	
<u>Macquarie Securities (ECN)</u>	1,375,671	22,256,137	14,299	0.06%	0.01	
MainFirst	28,194	1,049,485	630	0.06%	0.02	
Maybank	606,000	1,126,023	2,935	0.26%	0.00	
Mediobanca	600	5,278	3	0.06%	0.01	
Merrill Lynch	2,852,199	39,256,728	19,187	0.05%	0.01	
Mirabaud Securities	1,500	926,997	1,850	0.20%	1.23	
<b>Mischler Financial Group</b>	2,071,266	26,164,130	14,299	0.05%	0.01	Disabled Veteran
<b>Mischler Financial Group (EM)</b>	322,530	2,897,163	3,472	0.12%	0.01	Disabled Veteran
Mizuho Securities	31,300	816,356	531	0.06%	0.02	
Morgan Stanley	3,411,255	27,170,097	24,032	0.09%	0.01	
<u>Morgan Stanley (ECN)</u>	1,064,401	13,697,595	10,318	0.08%	0.01	
Nordea Bank	46,912	1,264,691	759	0.06%	0.02	
<b>North South Capital</b>	11,137,215	115,018,637	162,592	0.14%	0.01	Female
<b>North South Capital (EM)</b>	12,692,760	8,251,429	8,241	0.10%	0.00	Female
Northern Trust Securities	8,240,473	90,783,384	40,132	0.04%	0.00	
Numis	214,973	2,160,070	1,903	0.09%	0.01	
<b>Penserra Securities</b>	12,484,974	98,939,637	61,092	0.06%	0.00	Latino

STATE UNIVERSITIES RETIREMENT SYSTEM  
**BROKERAGE COST REVIEW - INTERNATIONAL EQUITIES**

Trades from October 1, 2018 through September 30, 2019

	Shares Traded	Amount Traded	Commissions	Per Cent Cost of Trade	Cents Per Share	Ownership (minority/female/disabled)
<b><u>Penserra Securities (EM)</u></b>	2,265,114	6,821,328	7,144	0.10%	0.00	Latino
Royal Bank of Canada	176,230	4,030,286	4,185	0.10%	0.02	
<b><u>Royal Bank of Canada (ECN)</u></b>	199,500	3,280,349	2,231	0.07%	0.01	
SG Americas Securities	91,318	1,249,548	375	0.03%	0.00	
SMBC Nikko Securities	103,600	2,355,040	1,177	0.05%	0.01	
Sanford C. Bernstein	129,513	807,712	567	0.07%	0.00	
Scotia Capital	555,900	1,285,724	4,398	0.34%	0.01	
<b><u>Scotia Capital (ECN)</u></b>	27,900	1,567,195	157	0.01%	0.01	
Skandinaviska Enskilda Banken	37,000	322,730	194	0.06%	0.01	
Societe Generale Securities	35,032	860,365	1,448	0.17%	0.04	
<b><u>Societe Generale Securities (ECN)</u></b>	518,158	11,925,571	3,578	0.03%	0.01	
Sumitomo Mitsui Banking Corporation	10,941	224,992	146	0.06%	0.01	
<b><u>Sumitomo Mitsui Banking Corporation (ECN)</u></b>	94,500	2,653,823	637	0.02%	0.01	
SunGard Brokerage & Securities Services	32,080	686,845	121	0.02%	0.00	
UBS	10,756,701	49,642,427	62,876	0.13%	0.01	
<b><u>UBS (ECN)</u></b>	1,307,326	16,501,394	11,628	0.07%	0.01	
<b><u>UBS (EM)</u></b>	26,098,251	40,526,173	62,441	0.15%	0.00	
UOB Kay Hian	9,400	180,799	272	0.15%	0.03	
<b><u>Virtu Financial Capital Markets (ECN)</u></b>	6,400	354,343	90	0.03%	0.01	
Weeden & Company	455,440	7,234,790	4,338	0.06%	0.01	
<b><u>Weeden &amp; Company (EM)</u></b>	3,364,270	7,714,488	6,053	0.08%	0.00	
<b>Williams Capital Group</b>	23,589	398,513	944	0.24%	0.04	African American
Wood & Company	2,320	182,227	274	0.15%	0.12	
Grand Totals	282,363,224	\$ 1,867,587,934.33	\$ 1,631,521.52	0.09%	\$ 0.01	

STATE UNIVERSITIES RETIREMENT SYSTEM  
**BROKERAGE COST REVIEW - INTERNATIONAL EQUITIES**

Trades from October 1, 2018 through September 30, 2019

	Shares Traded	Amount Traded	Commissions	Per Cent Cost of Trade	Cents Per Share	Ownership (minority/female/disabled)
<b>Active International Equity</b>						
<b>Expected Usage of Minority-, Female- and Persons with a Disability-Owned (MFDB) Brokerage Firms: 20%</b>						
<b>Totals by Investment Manager</b>						<b>Per Cent of MFDB Usage</b>
Ativo Capital Management	47,183,042	\$ 293,730,511.19	\$ 196,978.88	0.07%	\$ 0.00	68.50%
GlobeFlex Capital	138,552,388	428,256,434	658,338	0.15%	0.00	54.99%
Progress Investment Management	33,836,343	327,493,307	205,226	0.06%	0.01	41.96%
Strategic Global Advisors	20,993,576	309,236,780	151,117	0.05%	0.01	31.02%
Grand Totals, Active International Equity	<u>240,565,349</u>	<u>\$ 1,358,717,031.62</u>	<u>\$ 1,211,659.90</u>	<u>0.09%</u>	<u>\$ 0.01</u>	
<b>Enhanced Active International Equity</b>						
<b>Expected Usage of Minority-, Female- and Persons with a Disability-Owned (MFDB) Brokerage Firms: 20%</b>						
<b>Totals by Investment Manager</b>						<b>Per Cent of MFDB Usage</b>
Fidelity Institutional Asset Management	41,797,875	\$ 508,870,902.71	\$ 419,861.62	0.08%	\$ 0.01	37.40%
Grand Totals, Enhanced Active International Equity	<u>41,797,875</u>	<u>\$ 508,870,902.71</u>	<u>\$ 419,861.62</u>	<u>0.08%</u>	<u>\$ 0.01</u>	
<b>Total Electronic Communication Networks (ECN's)</b>						
	15,680,355	\$ 243,231,490.04	\$ 171,358.25	0.07%	\$ 0.01	
Per Cent of Total	5.55%	13.02%	10.50%			
<b>Total Emerging Markets (EM)</b>						
	91,991,614	\$ 121,760,942.98	\$ 157,669.98	0.13%	\$ 0.00	
Per Cent of Total	32.58%	6.52%	9.66%			
<b>Total MFDB Firms</b>						
	120,922,199	\$ 732,563,328.66	\$ 656,694.72	0.09%	\$ 0.01	
Per Cent of Total less ECN's and Emerging Markets	61.31%	47.56%	48.85%			
<b>Breakdown of Reported Firms (in Dollars)</b>						
African American	24,187,771	\$ 298,016,512.34	\$ 190,839.04	0.06%	\$ 0.01	3 Firms
Latino	20,804,723	177,804,723	117,813	0.07%	0.01	2 Firms
Asian	4,500	562,126	90	0.02%	0.02	1 Firm
Female	73,531,409	227,118,674	330,181	0.15%	0.00	4 Firms
Disabled Veteran	2,393,796	29,061,293	17,772	0.06%	0.01	1 Firm
Native American	-	-	-			0 Firms
Total MFDB Firms	<u>120,922,199</u>	<u>\$ 732,563,328.66</u>	<u>\$ 656,694.72</u>	<u>0.09%</u>	<u>\$ 0.01</u>	<u>11 Firms</u>
<b>Breakdown of Reported Firms (in Per Cent)</b>						
African American	12.26%	19.35%	14.19%			
Latino	10.55%	11.54%	8.76%			
Asian	0.00%	0.04%	0.01%			
Female	37.28%	14.74%	24.56%			
Disabled Veteran	1.21%	1.89%	1.32%			
Native American	0.00%	0.00%	0.00%			
Total MFDB Firms	<u>61.31%</u>	<u>47.56%</u>	<u>48.85%</u>			

STATE UNIVERSITIES RETIREMENT SYSTEM  
BROKERAGE COST REVIEW - GLOBAL EQUITIES

Trades from October 1, 2018 through September 30, 2019

	Shares Traded	Commissions	Cents Per Share	Ownership (minority/female/disabled)
ABG Sundal Collier Norge Asa	17,787	\$ 713	\$ 0.04	
Abel/Noser	5,805	145	0.03	
<b>Academy Securities</b>	279,952	5,152	0.02	Disabled Veteran
<b><u>Academy Securities (EM)</u></b>	135,103	310	0.00	Disabled Veteran
Allen & Company	43,807	882	0.02	
<u>Asia Pacific Markets Program (ECN)</u>	10,800	199	0.02	
BMO Capital Markets	154,816	4,160	0.03	
<u>BMO Capital Markets (ECN)</u>	480,200	3,601	0.01	
BNP Paribas	11,400	542	0.05	
<b>BOE Securities</b>	10,523	315	0.03	African American
<u>BTG Pactual (EM)</u>	162,915	2,339	0.01	
BTIG (Bass Trading International Group)	129,093	4,335	0.03	
<u>Banco Bradesco (EM)</u>	710,552	9,387	0.01	
Bank of America	602,909	13,893	0.02	
<u>Bank of America (ECN)</u>	905,582	1,662	0.00	
<u>Bank of America (EM)</u>	406,280	6,172	0.02	
<u>Bank of America (ECN) (EM)</u>	33,439	134	0.00	
Bank of America Securities	626,435	10,297	0.02	
<u>Bank of America Securities (ECN)</u>	1,327,981	4,189	0.00	
<u>Bank of America Securities (EM)</u>	1,162,198	8,567	0.01	
<u>Bank of America Securities (ECN) (EM)</u>	175,414	530	0.00	
Barclays	337,481	10,578	0.03	
<u>Barclays (ECN)</u>	367,315	2,297	0.01	
<u>Barclays (ECN) (EM)</u>	6,899	2	0.00	
Berenberg Bank	104,969	2,772	0.03	
<u>BlockCross Holdings (ECN)</u>	10,604	80	0.01	
<u>Brasil Plural Securities (EM)</u>	42,537	539	0.01	
<b>CAPIS (Capital Institutional Services)</b>	5,400	135	0.03	Female
<b>CL King &amp; Associates</b>	121,430	2,541	0.02	Female
CLSA	2,487,508	6,516	0.00	
<u>CLSA (ECN)</u>	2,636,929	8,917	0.00	
<u>CLSA (EM)</u>	4,144,776	11,192	0.00	
<u>CLSA (ECN) (EM)</u>	1,678	56	0.03	
<b>Cabrera Capital Markets</b>	436,048	13,585	0.03	Latino
<b><u>Cabrera Capital Markets (ECN)</u></b>	1,700,737	16,115	0.01	Latino
Canaccord Genuity Canada	102,368	566	0.01	
Cantor Fitzgerald	53,739	1,162	0.02	
Carnegie	127,173	1,570	0.01	
<u>Carnegie (ECN)</u>	46,096	461	0.01	
<b>CastleOak Securities</b>	375,687	5,305	0.01	African American
China International Capital	176,000	85	0.00	
Citigroup Global Markets	2,249,032	22,440	0.01	
<u>Citigroup Global Markets (ECN)</u>	833,095	7,365	0.01	
<u>Citigroup Global Markets (EM)</u>	1,089,727	3,284	0.00	
<u>Citigroup Global Markets (ECN) (EM)</u>	47,000	105	0.00	
Cowen & Company	111,700	3,790	0.03	
<u>Cowen &amp; Company (ECN)</u>	1,241,651	11,669	0.01	
Credit Suisse	919,504	23,628	0.03	
<u>Credit Suisse (ECN)</u>	1,953,907	11,357	0.01	
<u>Credit Suisse (EM)</u>	232,620	4,434	0.02	
<u>Credit Suisse (ECN) (EM)</u>	195,475	408	0.00	
Cuttone & Company	40,119	402	0.01	
Daewoo Securities	9,000	168	0.02	
Daiwa Securities Group	229,300	2,840	0.01	
Danske Bank	76,988	3,121	0.04	
Davy Capital	4,537	129	0.03	
Deutsche Bank	696,254	21,174	0.03	
<u>Deutsche Bank (ECN)</u>	397,849	2,745	0.01	
<u>Deutsche Bank (EM)</u>	3,351,539	819	0.00	
<u>Deutsche Bank (ECN) (EM)</u>	270,021	1,180	0.00	
DnB NOR Markets	32,347	1,021	0.03	
<b>Drexel Hamilton</b>	313,781	6,276	0.02	Disabled Veteran
Equita SIM S.p.A. (Euromobiliare)	7,747	875	0.11	
Evans & Partners	34,455	455	0.01	
Evercore Partners	318,982	7,430	0.02	
<u>Evercore Partners (ECN)</u>	541,460	5,089	0.01	

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Exane	32,849	1,244	0.04	
<u>Exane (ECN)</u>	456,022	7,603	0.02	
FBR Capital Markets	8,032	161	0.02	
Fidelity Capital Markets	2,349	47	0.02	
Fidentis Equities S.V. S.A.	4,268	118	0.03	
Goldman Sachs	2,183,159	34,282	0.02	
<u>Goldman Sachs (ECN)</u>	6,155,641	9,153	0.00	
<u>Goldman Sachs (EM)</u>	69,777	840	0.01	
<u>Goldman Sachs (ECN) (EM)</u>	16,085	242	0.02	
Goodbody	15,401	88	0.01	
Guggenheim Capital Markets	11,336	340	0.03	
<b>Guzman &amp; Company</b>	44,573	796	0.02	Latino
HSBC	290,836	1,535	0.01	
<u>HSBC (ECN)</u>	3,941,500	1,696	0.00	
<u>HSBC (EM)</u>	144,700	478	0.00	
Height Securities	1,000	20	0.02	
Helvea	2,077	256	0.12	
<b>IFS Securities</b>	72,886	1,822	0.03	African American
INTL FCStone	11,156	710	0.06	
ITG (Investment Technology Group)	540,085	1,175	0.00	
<u>ITG (Investment Technology Group) (ECN)</u>	1,238,436	5,329	0.00	
Instinet	576,135	9,878	0.02	
<u>Instinet (ECN)</u>	1,686,560	16,211	0.01	
Investec Securities	36,667	323	0.01	
JMP Securities	5,653	166	0.03	
JP Morgan Chase & Company	1,875,708	39,191	0.02	
<u>JP Morgan Chase &amp; Company (ECN)</u>	2,255,973	6,063	0.00	
<u>JP Morgan Chase &amp; Company (EM)</u>	832,911	4,480	0.01	
<u>JP Morgan Chase &amp; Company (ECN) (EM)</u>	90,000	183	0.00	
Janney Montgomery Scott	11,881	300	0.03	
Jefferies & Company	1,031,147	19,420	0.02	
<u>Jefferies &amp; Company (ECN)</u>	2,266,890	23,707	0.01	
<u>Jefferies &amp; Company (EM)</u>	32,500	121	0.00	
<u>Jefferies &amp; Company (ECN) (EM)</u>	672	22	0.03	
Jones & Associates	1,550	49	0.03	
Keefe, Bruyette & Woods	19,224	504	0.03	
Kempen & Company	3,234	126	0.04	
Kepler Capital Markets	16,769	493	0.03	
KeyBanc Capital Markets	48,316	1,260	0.03	
<u>Korea Investment &amp; Securities Co. (EM)</u>	23,517	1,417	0.06	
Leerink Swann & Company	2,900	58	0.02	
Liquidnet	2,143,948	6,701	0.00	
<u>Liquidnet (ECN)</u>	1,128,423	8,903	0.01	
<u>Liquidnet (EM)</u>	1,526,964	549	0.00	
<b>Loop Capital Markets</b>	3,460,519	12,500	0.00	African American
<u>Loop Capital Markets (ECN)</u>	981,733	3,701	0.00	African American
<u>Loop Capital Markets (EM)</u>	214,600	900	0.00	African American
Luminex Trading & Analytics	1,200	6	0.01	
<u>Luminex Trading &amp; Analytics (ECN)</u>	229,705	1,008	0.00	
Macquarie Securities	1,034,048	10,903	0.01	
<u>Macquarie Securities (ECN)</u>	1,021,610	3,639	0.00	
<u>Macquarie Securities (EM)</u>	1,087,330	2,644	0.00	
<u>Macquarie Securities (ECN) (EM)</u>	41,400	56	0.00	
Mediobanca	16,168	1,873	0.12	
<u>Merrill Lynch (ECN)</u>	655,870	3,991	0.01	
<b>Mischler Financial Group</b>	930,136	11,100	0.01	Disabled Veteran
Mitsubishi UFJ Securities	56,100	1,209	0.02	
Mizuho Securities	118,668	5,162	0.04	
<u>Mizuho Securities (ECN)</u>	2,500	58	0.02	
Morgan Stanley	1,910,051	55,228	0.03	
<u>Morgan Stanley (ECN)</u>	4,089,840	20,796	0.01	
<u>Morgan Stanley (EM)</u>	1,971,288	22,077	0.01	
<u>Morgan Stanley (ECN) (EM)</u>	275,726	255	0.00	
<u>NH Investment &amp; Securities Company (EM)</u>	2,622	156	0.06	
Natixis Securities Americas	3,592	90	0.03	
Nomura	43,199	627	0.01	

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<u>Nomura (ECN)</u>	2,171,996	12,049	0.01	
<u>Nomura (EM)</u>	286,476	1,111	0.00	
Nordea Bank	85,303	2,931	0.03	
<b>North South Capital</b>	134,500	3,363	0.03	Female
Oddo et Cie	48,826	1,200	0.02	
Oppenheimer & Company	48,673	1,537	0.03	
Peel Hunt	280,042	268	0.00	
<b>Penserra Securities</b>	642,019	26,168	0.04	Latino
Piper Jaffray & Company	66,197	1,944	0.03	
RBC Capital Markets	160,123	7,448	0.05	
<u>RBC Capital Markets (ECN)</u>	1,355,094	12,307	0.01	
Raymond James & Associates	47,758	1,582	0.03	
<u>Raymond James &amp; Associates (ECN)</u>	11,816	118	0.01	
Redburn Partners	223,982	3,149	0.01	
<u>Redburn Partners (ECN)</u>	406,132	4,183	0.01	
Robert W. Baird & Company	135,129	4,183	0.03	
<u>Robert W. Baird &amp; Company (ECN)</u>	13,247	132	0.01	
SEB Enskilda	54,461	195	0.00	
SMBC Nikko Securities	70,000	2,400	0.03	
<u>SMBC Nikko Securities (ECN)</u>	23,400	466	0.02	
<u>Samsung Securities (EM)</u>	99,053	5,640	0.06	
Sandler O'Neil and Partners	8,236	206	0.03	
Sanford C. Bernstein	1,185,926	10,005	0.01	
<u>Sanford C. Bernstein (ECN)</u>	8,845,468	36,351	0.00	
<u>Sanford C. Bernstein (ECN) (EM)</u>	3,894,959	647	0.00	
<u>Santander Investment Securities (EM)</u>	7,200	99	0.01	
<u>Scotia Capital (ECN)</u>	136,700	960	0.01	
<b>Siebert Brandford Shank &amp; Company</b>	52,360	1,309	0.03	African American
Skandinaviska Enskilda Banken	47,222	1,658	0.04	
Societe Generale Securities	16,000	57	0.00	
Stephens	29,007	749	0.03	
Stifel, Nicolaus & Company	128,092	3,784	0.03	
<u>Stifel, Nicolaus &amp; Company (ECN)</u>	33,229	328	0.01	
<b>Sturdivant and Company</b>	40,200	1,005	0.03	African American
Sumitomo Mitsui Banking Corporation	110,300	2,781	0.03	
<u>Sumitomo Mitsui Banking Corporation (ECN)</u>	114,100	2,101	0.02	
SunTrust Robinson Humphrey	36,895	1,006	0.03	
TD Securities	2,100	48	0.02	
<b>Telsey Advisory Group</b>	1,636,730	31,479	0.02	Female
UBS	1,932,775	41,536	0.02	
<u>UBS (ECN)</u>	4,062,975	19,559	0.00	
<u>UBS (EM)</u>	1,355,342	6,140	0.00	
<u>UBS (ECN) (EM)</u>	413,111	213	0.00	
Virtu Financial Capital Markets	819,101	4,508	0.01	
<u>Virtu Financial Capital Markets (ECN)</u>	1,891,067	9,231	0.00	
<u>Virtu Financial Capital Markets (EM)</u>	262,911	265	0.00	
<u>Virtu Financial Capital Markets (ECN) (EM)</u>	26,918	369	0.01	
Vontobel	1,970	119	0.06	
<u>Wall Street Access (ECN)</u>	64,988	481	0.01	
Wedbush Morgan Securities	627	13	0.02	
Weeden & Company	16,105	513	0.03	
Wells Fargo Advisors	66,121	2,166	0.03	
<u>Wells Fargo Advisors (ECN)</u>	32,820	246	0.01	
William Blair & Company	46,490	1,079	0.02	
<b>Williams Capital Group</b>	243,664	5,859	0.02	African American
Wolfe Trahan Securities	62,646	1,555	0.02	
Grand Totals	118,872,652	\$ 951,039	\$ 0.01	

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<b>Expected Usage of Minority-, Female- and Persons with a Disability-Owned (MFDB) Brokerage Firms: 20%</b>				
<b>Totals by Investment Manager</b>				<b>Per Cent of MFDB Usage</b>
Mondrian Investment Partners	31,301,245	\$ 115,558	\$ 0.00	43.02%
T. Rowe Price	33,376,485	496,701	0.01	22.43%
Wellington Management Company	54,194,922	338,780	0.01	24.67%
<b>Grand Totals</b>	<b>118,872,652</b>	<b>\$ 951,039</b>	<b>\$ 0.01</b>	
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<i>Total Electronic Communication Networks (ECN's)</i>	63,216,738	\$ 290,517	\$ 0.00	
Per Cent of Total	53.18%	30.55%		
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<i>Total Emerging Markets (EM)</i>	24,844,235	\$ 98,362	\$ 0.00	
Per Cent of Total	20.90%	10.34%		
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<b>Total MFDB Firms</b>	<b>11,832,581</b>	<b>\$ 149,735</b>	<b>\$ 0.01</b>	
Per Cent of Total less ECN's and Emerging Markets	30.08%	25.48%		
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<b>Breakdown of Reported Firms (in Dollars)</b>				
African American	5,452,172	\$ 32,716	\$ 0.01	<b>7 Firms</b>
Latino	2,823,377	56,664	0.02	<b>3 Firms</b>
Asian	-	-		<b>0 Firms</b>
Female	1,898,060	37,517	0.02	<b>4 Firms</b>
Disabled Veteran	1,658,972	22,838	0.01	<b>3 Firms</b>
Native American	-	-		<b>0 Firms</b>
<b>Total MFDB Firms</b>	<b>11,832,581</b>	<b>\$ 149,735</b>	<b>\$ 0.01</b>	<b>17 Firms</b>
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<b>Breakdown of Reported Firms (in Per Cent)</b>				
African American	13.86%	5.57%		
Latino	7.18%	9.64%		
Asian	0.00%	0.00%		
Female	4.83%	6.38%		
Disabled Veteran	4.22%	3.89%		
Native American	0.00%	0.00%		
<b>Total MFDB Firms</b>	<b>30.08%</b>	<b>25.48%</b>		



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	Market Value Traded	Par Value Traded	Ownership (minority/female/disabled)
<b>ASL Capital Markets Inc.</b>	\$ 2,775,459	\$ 2,530,000	Asian American
<b>Academy Securities</b>	200,000	200,000	Disabled Veteran
<b><u>Academy Securities (ECN)</u></b>	10,260,473	10,290,000	Disabled Veteran
<b>Academy Securities</b>	54,395,390	51,880,000	Disabled Veteran
<b>Alamo Capital</b>	76,407,247	75,424,000	Female
<b>American Veterans Group, PBC</b>	111,620	90,000	Disabled Veteran
Amherst Securities Group	17,149,108	16,282,804	
<b><u>Amherst Securities Group (ECN)</u></b>	700,160	605,000	
B Riley & Company	831,821	650,000	
BB&T	2,931,888	2,639,096	
BBVA Bolsa S.V. S.A.	1,164,578	1,200,000	
BCP Securities	542,100	656,792	
BMO Capital Markets	54,436,624	54,197,036	
BNP Paribas	118,072,680	122,223,326	
<b><u>BNP Paribas (ECN)</u></b>	2,749,247	2,700,000	
BNY Mellon	9,595,202	9,559,858	
BOSC	818,608	794,066	
BTIG (Bass Trading International Group)	823,438	850,000	
Banco Bilbao Vizcaya	1,722,000	3,550,000	
Banco Santander	239,824	200,000	
<b>Bancroft Capital</b>	600,000	600,000	Disabled Veteran
Bank of America	180,546,511	177,118,426	
<b><u>Bank of America (ECN)</u></b>	70,591,623	66,685,000	
Bank of America Securities	243,782,085	243,889,067	
Bank of New York ConvergeEx Execution	152,990	155,000	
Bank of Nova Scotia	3,764,379	3,715,356	
Barclays	322,354,120	317,531,240	
<b><u>Barclays (ECN)</u></b>	14,570,209	14,653,000	
<b>Blaylock Robert Van</b>	1,744,451	1,780,000	African American
Brean Capital	32,536,840	78,761,055	
<b><u>Brean Capital (ECN)</u></b>	838,931	805,334	
Brownstone Investment Group	98,817	95,000	
<b>CAPIS (Capital Institutional Services)</b>	15,554,464	15,320,000	Female
CIBC (Canadian Imperial Bank of Commerce)	422,464	555,000	
<b>CL King &amp; Associates</b>	128,804	130,000	Female
<b>Cabrera Capital Markets</b>	531,099,016	508,172,805	Latino
<b><u>Cabrera Capital Markets (ECN)</u></b>	14,491,236	14,545,000	Latino
Canaccord Genuity Canada	271,054	300,000	
Cantella & Co.	8,464,813	8,410,000	
Cantor Fitzgerald	13,351,021	13,327,816	
<b>Capital Investment Services, Inc</b>	902,651	860,000	Female
<b>CastleOak Securities</b>	1,330,816,598	1,327,092,553	African American
<b><u>CastleOak Securities (ECN)</u></b>	2,659,474	2,715,000	African American
Citadel Securities	86,143,261	85,715,000	
Citibank	39,245,721	39,401,648	
Citigroup Global Markets	639,261,553	638,692,618	
<b><u>Citigroup Global Markets (ECN)</u></b>	22,805,527	21,605,000	
Citizens Bank	510,000	471,750	
Credit Agricole	21,840,950	21,102,542	
Credit Suisse	288,605,187	295,631,540	
<b><u>Credit Suisse (ECN)</u></b>	1,476,126	1,352,000	
DBS Bank	374,349	280,000	
Daiwa Securities Group	4,697,625	4,503,636	
Danske Bank	2,332,678	2,084,758	
Deutsche Bank	212,411,703	206,639,797	
<b><u>Deutsche Bank (ECN)</u></b>	44,756,081	44,230,000	
<b>Drexel Hamilton</b>	366,336	365,000	Disabled Veteran
FTN Financial Capital Markets	7,603,526	7,386,757	

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<i>FTN Financial Capital Markets (ECN)</i>	755,020	705,000	
<b>Falcon Square Capital</b>	3,739,638	3,755,000	Female
Fifth Third Securities, Inc.	1,316,127	1,295,000	
First Tennessee	38,318,424	38,449,631	
Goldman Sachs	541,774,850	528,518,126	
<i>Goldman Sachs (ECN)</i>	38,284,343	37,551,000	
<b>Great Pacific Securities</b>	54,083,317	53,275,000	Disabled Veteran
HSBC	139,457,941	137,356,220	
<i>HSBC (ECN)</i>	3,267,145	3,200,000	
Hilltop Securities	1,097,777	1,080,817	
ING Bank	2,638,807	2,406,824	
INTL FCStone	70,783,563	69,854,614	
JMP Securities	178,695	180,000	
JP Morgan Chase & Company	722,092,362	726,702,502	
<i>JP Morgan Chase &amp; Company (ECN)</i>	40,861,094	40,777,000	
Janney Montgomery Scott	19,136,089	19,943,670	
Jefferies & Company	150,320,015	147,956,873	
<i>Jefferies &amp; Company (ECN)</i>	1,938,329	1,860,000	
KeyBanc Capital Markets	10,025,813	9,410,544	
<i>KeyBanc Capital Markets (ECN)</i>	895,889	779,000	
Lloyds	250,943	250,000	
<b>Loop Capital Markets</b>	580,508,878	577,588,834	African American
<i>Loop Capital Markets (ECN)</i>	30,196,714	30,065,000	African American
<b>MFR Securities</b>	104,696,222	101,337,365	Latino Female
Macquarie Securities	811,983	839,259	
MarketAxess	27,241,527	27,084,735	
<i>MarketAxess (ECN)</i>	10,969,824	10,835,000	
Merrill Lynch	155,037,698	153,694,907	
<i>Merrill Lynch (ECN)</i>	804,415	800,000	
Mesirow Financial	202,422	204,397	
Millennium Advisors	6,937,843	6,490,000	
<i>Millennium Advisors (ECN)</i>	1,280,952	1,202,000	
<b>Mischler Financial Group</b>	27,649,623	26,570,362	Disabled Veteran
<i>Mischler Financial Group (ECN)</i>	11,549,158	11,600,000	Disabled Veteran
Mitsubishi UFJ Securities	16,401,093	15,623,632	
<i>Mitsubishi UFJ Securities (ECN)</i>	2,428,036	2,315,000	
Mizuho Securities	177,852,911	174,394,196	
<i>Mizuho Securities (ECN)</i>	980,191	990,000	
Morgan Stanley	394,766,720	389,387,748	
<i>Morgan Stanley (ECN)</i>	26,495,739	25,698,000	
Multi-Bank Securites	514,964	565,000	
NatWest Markets Securities Inc	14,961,900	14,735,359	
National Alliance Securities	188,877	215,000	
National Bank Financial (Canada)	3,768,448	3,525,000	
Nomura	259,402,970	255,663,582	
<i>Nomura (ECN)</i>	23,890,505	24,215,000	
Oppenheimer & Company	20,478,313	19,298,657	
PFPC Distributors	912,813	912,813	
PNC Capital Markets	581,209	575,000	
<b>Penserra Securities</b>	6,244,894	6,200,000	Latino
Performance Trust Capital Partners	1,723,625	1,723,625	
Pierpont Securities	103,500	100,000	
Piper Jaffray & Company	111,810	100,000	
RBC Capital Markets	41,393,877	40,761,381	
<i>RBC Capital Markets (ECN)</i>	14,702,249	14,220,000	
RBC Dain Rauscher	78,349,363	78,290,000	
RBS Securities	66,548,205	65,868,665	
<i>RBS Securities (ECN)</i>	976,143	975,000	

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RJ O'Brien & Associates	1,099	1,099	
RW Pressprich & Company	735,767	748,948	
<b>Ramirez &amp; Company</b>	213,021	215,000	Latino
Raymond James & Associates	8,504,492	7,757,457	
Robert W. Baird & Company	22,592,042	21,975,235	
Royal Bank of Canada	33,486,235	31,665,184	
SG Americas Securities	3,888,190	3,685,000	
<u>SG Americas Securities (ECN)</u>	641,964	630,000	
SMBC Nikko Securities	427,591	400,000	
SMBC Nikko Securities	1,927,995	1,966,000	
Sandler O'Neil and Partners	601,392	575,000	
Santander Central Hispano	757,479	785,000	
Santander Investment Securities	612,521	590,000	
Scotia Capital	7,179,820	6,710,190	
<u>Scotia Capital (ECN)</u>	1,258,040	1,305,000	
Seaport Group	6,057,315	6,151,035	
Societe Generale Securities	41,007,486	40,663,495	
Southwest Securities	844,481	829,000	
Standard Chartered	12,444,576	11,170,000	
State Street Bank & Trust	18,647,683	17,590,000	
Stephens	16,250,934	15,667,980	
Stifel, Nicolaus & Company	22,853,384	21,391,209	
SumRidge Partners	5,291,223	5,115,000	
Sumitomo Mitsui Banking Corporation	1,946,612	1,900,000	
SunTrust Robinson Humphrey	8,052,779	7,674,081	
<u>SunTrust Robinson Humphrey (ECN)</u>	835,215	810,000	
Susquehanna Financial Group	5,831,468	5,518,000	
<u>Susquehanna Financial Group (ECN)</u>	4,801,359	4,545,000	
Susquehanna International Group	3,454,387	3,450,000	
TD Securities	54,929,506	55,085,198	
<u>TD Securities (ECN)</u>	1,198,349	1,220,000	
Toronto Dominion Bank	5,033	5,000	
Tradeweb Direct	1,620,246	1,610,000	
<b>Tribal Capital Markets</b>	7,535,547	7,510,000	Native American
UBS	97,599,869	98,431,283	
US Bancorp	11,412,365	10,870,000	
<u>US Bancorp (ECN)</u>	2,004,329	1,945,000	
UniCredit Banca Mobiliare S.p.A.	897,309	600,000	
VTB Capital	3,304,046	2,920,000	
Wall Street Access	20,000	20,000	
Wells Fargo Advisors	302,976,608	296,845,306	
<u>Wells Fargo Advisors (ECN)</u>	38,030,688	37,495,000	
Westpac Group	27,364,782	26,178,000	
William Blair & Company	193,000	200,000	
<b>Williams Capital Group</b>	377,109,008	373,799,325	African American
<u>Williams Capital Group (ECN)</u>	4,476,593	4,500,000	African American
Grand Totals	<u>\$ 9,632,806,261</u>	<u>\$ 9,573,890,037</u>	

STATE UNIVERSITIES RETIREMENT SYSTEM  
**BROKERAGE COST REVIEW - FIXED INCOME (CORE)**  
 Trades from October 1, 2018 through September 30, 2019

	Market Value Traded	Par Value Traded	Ownership (minority/female/disabled)
<b>Fixed Income (Core)</b>			
<b>Expected Usage of Minority-, Female- and Persons with a Disability-Owned (MFDB) Brokerage Firms: 20%</b>			
			<b>Per Cent of MFDB Usage</b>
<b>Totals by Investment Manager</b>			<b>Based on Mkt Value      Based on Par Value</b>
Garcia Hamilton & Associates	\$ 947,231,663		59.87%      59.65%
LM Capital Group	204,209,804		66.75%      66.22%
Neuberger Berman	2,871,930,441		27.77%      27.03%
PIMCO	1,277,630,490		34.74%      35.48%
Progress Investment Management	386,122,254		33.06%      31.47%
Pugh Capital Management	573,882,949		35.26%      35.85%
Smith Graham & Company	109,744,116		46.83%      47.02%
State Street Global Advisors	118,125,497		100.00%      100.00%
TCW MetWest	2,918,715,358		35.72%      35.72%
<b>Grand Totals</b>	<b>\$ 9,407,592,572</b>		

<b>Fixed Income (TIPS)</b>			
<b>Expected Usage of Minority-, Female- and Persons with a Disability-Owned (MFDB) Brokerage Firms: 20%</b>			
			<b>Per Cent of MFDB Usage</b>
<b>Totals by Investment Manager</b>			<b>Based on Mkt Value      Based on Par Value</b>
RhumbLine Advisers	\$ 225,213,689		75.66%      75.56%
<b>Grand Totals</b>	<b>\$ 225,213,689</b>		

<i>Total Electronic Communication Networks (ECN's)</i>	449,421,371
Per Cent of Total	4.67%

<i>Total Emerging Markets (EM)</i>	-
Per Cent of Total	0.00%

<b>Total MFDB Firms</b>	\$ 3,250,515,830	\$ 3,208,410,244
Per Cent of Total less ECN's and Emerging Markets	35.11%	34.85%

<b>Breakdown of Reported Firms (in Dollars)</b>		
African American	\$ 2,327,511,717	<b>4 Firms</b>
Latino	656,744,388	<b>4 Firms</b>
Asian	2,775,459	<b>1 Firm</b>
Female	96,732,803	<b>5 Firms</b>
Disabled Veteran	159,215,916	<b>7 Firms</b>
Native American	7,535,547	<b>1 Firm</b>
<b>Total MFDB Firms</b>	<b>\$ 3,250,515,830</b>	<b>22 Firms</b>

<b>Breakdown of Reported Firms (in Per Cent)</b>	
African American	25.14%
Latino	7.09%
Asian	0.03%
Female	1.04%
Disabled Veteran	1.72%
Native American	0.08%
<b>Total MFDB Firms</b>	<b>35.11%</b>

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## SCHEDULE OF PENDING CLASS ACTIONS

As of September 30, 2019

Class Period Start Date	Class Period End Date	Account Number	Account Name	Class Action Name	TNT Status*
7/27/2000	11/8/2002	2271463	NTGI RESTRUCTURING ACCT	AES CORP COM	DISBRNSG
3/15/2006	9/16/2008	SUR12	WESTERN ASSET MGMT	AIG II	CLOSED
3/15/2006	9/16/2008	SUR15	WELLINGTON MGMT	AIG II	CLOSED
3/15/2006	9/16/2008	SUR14	CAPITAL GUARDIAN	AIG II	CLOSED
3/15/2006	9/16/2008	SUR13	BLACKROCK CORE PLUS	AIG II	CLOSED
3/15/2006	9/16/2008	SUR17	PIMCO TIPS	AIG II	CLOSED
3/15/2006	9/16/2008	SUR21	PIMCO TOTAL RETURN	AIG II	CLOSED
3/15/2006	9/16/2008	SUR27	PIMCO STOCKSPUS	AIG II	CLOSED
3/15/2006	9/16/2008	SUR40	CALAMOS INVESTMENTS	AIG II	CLOSED
3/15/2006	9/16/2008	2202262	RASARA STRATEGIES EQUITY	AIG II	CLOSED
3/15/2006	9/16/2008	2202263	NEW AMSTERDAM ACTIVE	AIG II	CLOSED
3/15/2006	9/16/2008	2211578	PROGRESS PALISADES INVESTMENT	AIG II	CLOSED
3/15/2006	9/16/2008	2211579	PROGRESS DENALI ADVISORS	AIG II	CLOSED
3/15/2006	9/16/2008	2211789	TRANSITION	AIG II	CLOSED
3/15/2006	9/16/2008	2218531	ZENNA FINANCIAL	AIG II	CLOSED
3/15/2006	9/16/2008	2218632	RHUMBLINE EQUITY	AIG II	CLOSED
3/15/2006	9/16/2008	2240979	NTGA EMERGING ADVISORS	AIG II	CLOSED
3/15/2006	9/16/2008	2248908	BGI TRANSITION ACCOUNT	AIG II	CLOSED
3/15/2006	9/16/2008	2255942	NORTHERN TRUST ASSET MGMT	AIG II	CLOSED
3/15/2006	9/16/2008	2292745	JACOBS LEVY EQUITY MGMT	AIG II	CLOSED
3/15/2006	9/16/2008	2292746	PIEDMONT INVESTMENT ADVISORS	AIG II	CLOSED
3/15/2006	9/16/2008	2292747	T ROWE PRICE	AIG II	CLOSED
10/27/1999	12/15/2010	2268236	FAYEZ SAROFIM	AIG-GENERAL REINSURANCE CORP	DISBRNSG
10/27/1999	12/15/2010	2271463	NTGI RESTRUCTURING ACCT	AIG-GENERAL REINSURANCE CORP	DISBRNSG
11/2/2016	4/8/2019	2218632	RHUMBLINE EQUITY	AKORN INC	NOTIFIED
11/2/2016	4/8/2019	2255942	NORTHERN TRUST ASSET MGMT	AKORN INC	NOTIFIED
5/8/2013	10/3/2017	SUR38	TRANSITION	ALERE INC.	FILED
9/17/2014	10/5/2015	SUR15	WELLINGTON MGMT	ALIBABA GROUP HOLDING LIMITED (CALI SC)	FILED
9/17/2014	10/5/2015	SUR41	T. ROWE PRICE	ALIBABA GROUP HOLDING LIMITED (CALI SC)	FILED
9/17/2014	10/5/2015	SUR53	PROGRESS GLOVISTA INVESTMENTS	ALIBABA GROUP HOLDING LIMITED (CALI SC)	FILED
9/18/2014	4/28/2015	SUR15	WELLINGTON MGMT	ALIBABA GROUP HOLDING LIMITED (S.D.N.Y.)	FILED
9/18/2014	4/28/2015	SUR41	T. ROWE PRICE	ALIBABA GROUP HOLDING LIMITED (S.D.N.Y.)	FILED
2/24/2014	4/21/2014	2255942	NORTHERN TRUST ASSET MGMT	ALLERGAN, INC. (2014)	FILED
2/24/2014	4/21/2014	2292745	JACOBS LEVY EQUITY MGMT	ALLERGAN, INC. (2014)	FILED
2/24/2014	4/21/2014	2292747	T ROWE PRICE	ALLERGAN, INC. (2014)	FILED
12/29/2000	12/29/2000	2255942	NORTHERN TRUST ASSET MGMT	ALLIANCE PHARMACEUTICALS CORP	FILED
12/21/2012	12/22/2014	2218632	RHUMBLINE EQUITY	ALTISOURCE RESIDENTIAL CORPORATION	NOTIFIED
12/21/2012	12/22/2014	2255942	NORTHERN TRUST ASSET MGMT	ALTISOURCE RESIDENTIAL CORPORATION	NOTIFIED
10/30/2007	11/10/2008	2218531	ZENNA FINANCIAL	AMERICAN CAPITAL, LTD.	DISBRNSG
2/24/2004	8/13/2010	2255942	NORTHERN TRUST ASSET MGMT	AMERICAN DENTAL PARTNER'S INC.	DISBRNSG
2/24/2004	8/13/2010	2292747	T ROWE PRICE	AMERICAN DENTAL PARTNER'S INC.	DISBRNSG
2/27/2013	1/30/2015	SUR48	NEUBERGER BERMAN	AMERICAN REALTY CAP PROPERTIES INC. 2014	NOTIFIED
2/27/2013	1/30/2015	SUR29	CBRE CLARION GLOBAL REIT	AMERICAN REALTY CAP PROPERTIES INC. 2014	NOTIFIED
2/27/2013	1/30/2015	2203636	CBRE CLARION REAL ESTATE SECURITIES	AMERICAN REALTY CAP PROPERTIES INC. 2014	NOTIFIED
2/27/2013	1/30/2015	2206616	PROGRESS STONERIDGE	AMERICAN REALTY CAP PROPERTIES INC. 2014	NOTIFIED
2/27/2013	1/30/2015	2207289	TCW METWEST	AMERICAN REALTY CAP PROPERTIES INC. 2014	NOTIFIED
2/27/2013	1/30/2015	2255942	NORTHERN TRUST ASSET MGMT	AMERICAN REALTY CAP PROPERTIES INC. 2014	NOTIFIED
3/1/2002	3/4/2003	2255942	NORTHERN TRUST ASSET MGMT	ANDRX CORP	DISBRNSG
5/1/2006	1/30/2007	2219049	CHANNING CAPITAL MGMT	ARAMARK CORP	FILED
12/22/2005	5/2/2006	2203636	CBRE CLARION REAL ESTATE SECURITIES	ARDEN REALTY INC	FILED
12/22/2005	5/2/2006	2203638	RREEF REIT	ARDEN REALTY INC	FILED
12/22/2005	5/2/2006	2255942	NORTHERN TRUST ASSET MGMT	ARDEN REALTY INC	FILED
3/14/2008	4/27/2011	2255942	NORTHERN TRUST ASSET MGMT	ARENA PHARMACEUTICALS, INC.	FILED
2/6/1997	3/31/1999	2255942	NORTHERN TRUST ASSET MGMT	ASSISTED LIVING CONCEPTS, INC.	DISBRNSG
10/25/2010	10/18/2011	2218632	RHUMBLINE EQUITY	AUTOLIV INC.	DISBRNSG
10/25/2010	10/18/2011	2292745	JACOBS LEVY EQUITY MGMT	AUTOLIV INC.	DISBRNSG
7/28/2006	1/24/2012	2211574	PROGRESS VISTA MAR	AVON PRODUCTS INC. (2011)	DISBRNSG
7/28/2006	1/24/2012	2211575	PROGRESS REDWOOD INVESTMENT	AVON PRODUCTS INC. (2011)	DISBRNSG
6/16/2015	11/7/2017	2218632	RHUMBLINE EQUITY	BABCOCK & WILCOX ENTERPRISES, INC (2017)	NOTIFIED

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## SCHEDULE OF PENDING CLASS ACTIONS

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Class Period Start Date	Class Period End Date	Account Number	Account Name	Class Action Name	TNT Status*
6/16/2015	11/7/2017	2219055	LOMBARDIA CAPITAL PARTNERS	BABCOCK & WILCOX ENTERPRISES, INC (2017)	NOTIFIED
6/16/2015	11/7/2017	2255942	NORTHERN TRUST ASSET MGMT	BABCOCK & WILCOX ENTERPRISES, INC (2017)	NOTIFIED
6/16/2015	11/7/2017	2292745	JACOBS LEVY EQUITY MGMT	BABCOCK & WILCOX ENTERPRISES, INC (2017)	NOTIFIED
8/7/2014	10/25/2016	SUR53	PROGRESS GLOVISTA INVESTMENTS	BANCO BRADESCO S. A.	NOTIFIED
2/26/2009	1/14/2011	SUR15	WELLINGTON MGMT	BANK OF AMERICA CORP (2011)	DISBRNSG
2/26/2009	1/14/2011	SUR17	PIMCO TIPS	BANK OF AMERICA CORP (2011)	DISBRNSG
2/26/2009	1/14/2011	SUR21	PIMCO TOTAL RETURN	BANK OF AMERICA CORP (2011)	DISBRNSG
2/26/2009	1/14/2011	SUR27	PIMCO STOCKSPPLUS	BANK OF AMERICA CORP (2011)	DISBRNSG
2/26/2009	1/14/2011	SUR40	CALAMOS INVESTMENTS	BANK OF AMERICA CORP (2011)	DISBRNSG
2/26/2009	1/14/2011	2211573	PROGRESS LYNMAR CAPITAL	BANK OF AMERICA CORP (2011)	DISBRNSG
2/26/2009	1/14/2011	2211578	PROGRESS PALISADES INVESTMENT	BANK OF AMERICA CORP (2011)	DISBRNSG
2/26/2009	1/14/2011	2218531	ZENNA FINANCIAL	BANK OF AMERICA CORP (2011)	DISBRNSG
2/26/2009	1/14/2011	2292745	JACOBS LEVY EQUITY MGMT	BANK OF AMERICA CORP (2011)	DISBRNSG
2/26/2009	1/14/2011	2292746	PIEDMONT INVESTMENT ADVISORS	BANK OF AMERICA CORP (2011)	DISBRNSG
10/1/1998	7/1/2004	SUR15	WELLINGTON MGMT	BANK ONE CORP	DISBRNSG
10/1/1998	7/1/2004	SUR14	CAPITAL GUARDIAN	BANK ONE CORP	DISBRNSG
10/1/1998	7/1/2004	2202262	RASARA STRATEGIES EQUITY	BANK ONE CORP	DISBRNSG
10/1/1998	7/1/2004	2202283	SMITH BARNEY CAPITAL MGMT	BANK ONE CORP	DISBRNSG
10/1/1998	7/1/2004	2255942	NORTHERN TRUST ASSET MGMT	BANK ONE CORP	DISBRNSG
10/1/1998	7/1/2004	2271463	NTGI RESTRUCTURING ACCT	BANK ONE CORP	DISBRNSG
5/6/2009	1/30/2014	SUR39	ABERDEEN ASSET MGMT	BARRICK GOLD CORPORATION (2013)	DISBRNSG
7/21/2005	10/5/2005	2255942	NORTHERN TRUST ASSET MGMT	BEI TECHNOLOGY INC	FILED
9/24/2014	2/26/2016	SUR57	PROGRESS LOMBARDIA CAPITAL PARTNERS	BHP BILLITON LTD	FILED
9/24/2014	2/26/2016	SUR63	Progress-Glovista Investments EAFE	BHP BILLITON LTD	FILED
10/23/2000	8/11/2006	2219052	NCM CAPITAL	BISYS GROUP	DISBRNSG
3/4/2016	4/12/2016	2218632	RHUMBLINE EQUITY	BLOUNT INTERNATIONAL INC. (D. OR.)	FILED
3/4/2016	4/12/2016	2255942	NORTHERN TRUST ASSET MGMT	BLOUNT INTERNATIONAL INC. (D. OR.)	FILED
6/27/2000	8/3/2001	2255942	NORTHERN TRUST ASSET MGMT	CABLETRON SYS INC	FILED
6/27/2000	8/3/2001	2271463	NTGI RESTRUCTURING ACCT	CABLETRON SYS INC	FILED
6/19/2005	4/24/2006	SUR14	CAPITAL GUARDIAN	CABLEVISION NY GROUP COM	FILED
6/19/2005	4/24/2006	2255942	NORTHERN TRUST ASSET MGMT	CABLEVISION NY GROUP COM	FILED
9/6/2005	12/16/2005	2255942	NORTHERN TRUST ASSET MGMT	CAPITAL AUTOMOTIVE REIT	FILED
6/11/2014	2/3/2016	2255942	NORTHERN TRUST ASSET MGMT	CAPSTONE TURBINE CORPORATION (2015)	FILED
2/26/2010	2/8/2013	SUR15	WELLINGTON MGMT	CEDC SECURITIES ACTION	DISBRNSG
2/26/2010	2/8/2013	2218632	RHUMBLINE EQUITY	CEDC SECURITIES ACTION	DISBRNSG
2/26/2010	2/8/2013	2255942	NORTHERN TRUST ASSET MGMT	CEDC SECURITIES ACTION	DISBRNSG
7/9/2001	4/4/2002	SUR08	DRESDNER RCM GLOBAL	CHECK POINT SOFTWARE TECHNOLOGIES, LTD.	DISBRNSG
12/30/2005	9/4/2018	SUR03	MARTIN CURRIE	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR15	WELLINGTON MGMT	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR14	CAPITAL GUARDIAN	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR61	PROGRESS TRANSITION	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR37	PROGRESS HERNDON CAPITAL MGMT	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR38	TRANSITION	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR57	PROGRESS LOMBARDIA CAPITAL PARTNERS	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR28	HERNDON CAPITAL MGMT	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR63	Progress-Glovista Investments EAFE	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR40	CALAMOS INVESTMENTS	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR50	PROGRESS SKY INVESTMENT	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR53	PROGRESS GLOVISTA INVESTMENTS	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR32	PROGRESS JOHN HSU CAPITAL MGMT	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	SUR33	PROGRESS BROWN CAPITAL MGMT	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	2211573	PROGRESS LYNMAR CAPITAL	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	2211789	TRANSITION	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	2214779	PROGRESS MARTIN INVESTMENTS	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	2226432	PROGRESS APEX	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	2240979	NTGA EMERGING ADVISORS	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	2255942	NORTHERN TRUST ASSET MGMT	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	2261521	PROGRESS HIGH POINTE	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	2261965	PROGRESS HOLLAND CAPITAL	CITI SPONSORED ADRS (CITIBANK)	FILED

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Class Period Start Date	Class Period End Date	Account Number	Account Name	Class Action Name	TNT Status*
12/30/2005	9/4/2018	2261966	PROGRESS TRANSITION DOMESTIC	CITI SPONSORED ADRS (CITIBANK)	FILED
12/30/2005	9/4/2018	2292747	T ROWE PRICE	CITI SPONSORED ADRS (CITIBANK)	FILED
2/23/2007	7/17/2008	SUR15	WELLINGTON MGMT	CITIGROUP INC (VOL FA CAP) SEC FAIR FND	FILED
2/23/2007	7/17/2008	SUR14	CAPITAL GUARDIAN	CITIGROUP INC (VOL FA CAP) SEC FAIR FND	FILED
2/23/2007	7/17/2008	2211789	TRANSITION	CITIGROUP INC (VOL FA CAP) SEC FAIR FND	FILED
2/23/2007	7/17/2008	2218531	ZENNA FINANCIAL	CITIGROUP INC (VOL FA CAP) SEC FAIR FND	FILED
2/23/2007	7/17/2008	2218632	RHUMBLINE EQUITY	CITIGROUP INC (VOL FA CAP) SEC FAIR FND	FILED
2/23/2007	7/17/2008	2255942	NORTHERN TRUST ASSET MGMT	CITIGROUP INC (VOL FA CAP) SEC FAIR FND	FILED
2/23/2007	7/17/2008	2292746	PIEDMONT INVESTMENT ADVISORS	CITIGROUP INC (VOL FA CAP) SEC FAIR FND	FILED
2/23/2007	7/17/2008	2292747	T ROWE PRICE	CITIGROUP INC (VOL FA CAP) SEC FAIR FND	FILED
4/26/2000	8/31/2001	2255942	NORTHERN TRUST ASSET MGMT	CLARENT CORP	FILED
4/26/2000	8/31/2001	2271463	NTGI RESTRUCTURING ACCT	CLARENT CORP	FILED
7/10/2017	9/29/2017	2255942	NORTHERN TRUST ASSET MGMT	CLUBCORP HOLDINGS INC.	FILED
2/28/2011	10/11/2018	SUR15	WELLINGTON MGMT	COBALT INTERNATIONAL ENERGY INC.	FILED
2/28/2011	10/11/2018	SUR38	TRANSITION	COBALT INTERNATIONAL ENERGY INC.	FILED
2/28/2011	10/11/2018	2255942	NORTHERN TRUST ASSET MGMT	COBALT INTERNATIONAL ENERGY INC.	FILED
5/6/2013	7/23/2014	2218632	RHUMBLINE EQUITY	COMMVault SYSTEMS	FILED
5/6/2013	7/23/2014	2255942	NORTHERN TRUST ASSET MGMT	COMMVault SYSTEMS	FILED
5/6/2013	7/23/2014	2261966	PROGRESS TRANSITION DOMESTIC	COMMVault SYSTEMS	FILED
1/20/1998	2/25/2002	2271463	NTGI RESTRUCTURING ACCT	COMPUTER ASSOCIATES RESTITUTION FUND - C	DISBRNG
4/2/2013	3/10/2015	2206616	PROGRESS STONERIDGE	CONN'S, INC.	FILED
4/2/2013	3/10/2015	2255942	NORTHERN TRUST ASSET MGMT	CONN'S, INC.	FILED
3/16/1999	5/20/2003	2255942	NORTHERN TRUST ASSET MGMT	CRYO CELL INTL INC	FILED
2/24/1999	3/1/1999	2255942	NORTHERN TRUST ASSET MGMT	DAOU SYSTEMS INC.	FILED
2/14/2001	2/14/2001	2255942	NORTHERN TRUST ASSET MGMT	DDI CORP	DISBRNG
2/21/2012	8/20/2012	SUR40	CALAMOS INVESTMENTS	DELL INC. (2014)	NOTIFIED
2/21/2012	8/20/2012	2218632	RHUMBLINE EQUITY	DELL INC. (2014)	NOTIFIED
2/21/2012	8/20/2012	2255942	NORTHERN TRUST ASSET MGMT	DELL INC. (2014)	NOTIFIED
2/21/2012	8/20/2012	2273358	PROGRESS BOWLING	DELL INC. (2014)	NOTIFIED
2/21/2012	8/20/2012	2292747	T ROWE PRICE	DELL INC. (2014)	NOTIFIED
8/25/2011	4/25/2016	SUR38	TRANSITION	DEVRY EDUCATION GROUP, INC.	FILED
8/25/2011	4/25/2016	2218632	RHUMBLINE EQUITY	DEVRY EDUCATION GROUP, INC.	FILED
8/25/2011	4/25/2016	2219052	NCM CAPITAL	DEVRY EDUCATION GROUP, INC.	FILED
8/25/2011	4/25/2016	2244620	CASTLEARK MGMT	DEVRY EDUCATION GROUP, INC.	FILED
8/25/2011	4/25/2016	2255942	NORTHERN TRUST ASSET MGMT	DEVRY EDUCATION GROUP, INC.	FILED
10/4/2010	5/8/2012	2218632	RHUMBLINE EQUITY	DIAMOND FOODS, INC	DISBRNG
10/4/2010	5/8/2012	2255942	NORTHERN TRUST ASSET MGMT	DIAMOND FOODS, INC	DISBRNG
2/25/2010	2/9/2012	2211581	PROGRESS AH LISANTI	DIAMOND FOODS, INC. (SEC FAIR FUND)	FILED
2/25/2010	2/9/2012	2218632	RHUMBLINE EQUITY	DIAMOND FOODS, INC. (SEC FAIR FUND)	FILED
2/25/2010	2/9/2012	2219051	HOLLAND CAPITAL MGMT	DIAMOND FOODS, INC. (SEC FAIR FUND)	FILED
2/25/2010	2/9/2012	2255942	NORTHERN TRUST ASSET MGMT	DIAMOND FOODS, INC. (SEC FAIR FUND)	FILED
2/26/2016	1/31/2017	2218632	RHUMBLINE EQUITY	DIPLOMAT PHARMACY INC. (2) (2016)	FILED
2/26/2016	1/31/2017	2255942	NORTHERN TRUST ASSET MGMT	DIPLOMAT PHARMACY INC. (2) (2016)	FILED
6/11/2013	11/29/2013	2218632	RHUMBLINE EQUITY	DOLE FOOD COMPANY, INC. (2013) (DELAWARE)	FILED
6/11/2013	11/29/2013	2255942	NORTHERN TRUST ASSET MGMT	DOLE FOOD COMPANY, INC. (2013) (DELAWARE)	FILED
3/5/1997	1/14/2002	2271463	NTGI RESTRUCTURING ACCT	DOLLAR GENERAL	DISBRNG
2/24/1998	1/14/2002	2255942	NORTHERN TRUST ASSET MGMT	DOLLAR GENERAL 2ND DISTRIBUTION	DISBRNG
2/24/1998	1/14/2002	2271463	NTGI RESTRUCTURING ACCT	DOLLAR GENERAL 2ND DISTRIBUTION	DISBRNG
8/9/1999	8/13/2003	2255942	NORTHERN TRUST ASSET MGMT	DVI	DISBRNG
2/22/2000	2/17/2004	SUR12	WESTERN ASSET MGMT	EL PASO CORP	DISBRNG
2/22/2000	2/17/2004	2271459	BLACKROCK FINCL MGMT	EL PASO CORP	DISBRNG
1/8/2016	9/19/2016	2241059	FIDUCIARY MANAGEMENT ASSOCIATES	EMERGENT BIOSOLUTIONS INC.	FILED
6/4/2015	11/13/2018	SUR61	PROGRESS TRANSITION	ENDO INTERNATIONAL PLC (2017)	FILED
6/4/2015	11/13/2018	SUR57	PROGRESS LOMBARDIA CAPITAL PARTNERS	ENDO INTERNATIONAL PLC (2017)	FILED
6/4/2015	11/13/2018	2211576	PROGRESS HERNDON CAPITAL MGMT	ENDO INTERNATIONAL PLC (2017)	FILED
6/4/2015	11/13/2018	2218632	RHUMBLINE EQUITY	ENDO INTERNATIONAL PLC (2017)	FILED
6/4/2015	11/13/2018	2234108	MATARIN CAP SMALL CORE	ENDO INTERNATIONAL PLC (2017)	FILED
6/4/2015	11/13/2018	2255942	NORTHERN TRUST ASSET MGMT	ENDO INTERNATIONAL PLC (2017)	FILED
11/29/2012	9/6/2017	SUR61	PROGRESS TRANSITION	ENDO INTERNATIONAL PLC (2017) (E.D. PA.)	NOTIFIED

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Class Period Start Date	Class Period End Date	Account Number	Account Name	Class Action Name	TNT Status*
11/29/2012	9/6/2017	SUR57	PROGRESS LOMBARDIA CAPITAL PARTNERS	ENDO INTERNATIONAL PLC (2017) (E.D. PA.)	NOTIFIED
11/29/2012	9/6/2017	2211576	PROGRESS HERNDON CAPITAL MGMT	ENDO INTERNATIONAL PLC (2017) (E.D. PA.)	NOTIFIED
11/29/2012	9/6/2017	2218632	RHUMBLINE EQUITY	ENDO INTERNATIONAL PLC (2017) (E.D. PA.)	NOTIFIED
11/29/2012	9/6/2017	2219052	NCM CAPITAL	ENDO INTERNATIONAL PLC (2017) (E.D. PA.)	NOTIFIED
11/29/2012	9/6/2017	2255942	NORTHERN TRUST ASSET MGMT	ENDO INTERNATIONAL PLC (2017) (E.D. PA.)	NOTIFIED
11/29/2012	9/6/2017	2292745	JACOBS LEVY EQUITY MGMT	ENDO INTERNATIONAL PLC (2017) (E.D. PA.)	NOTIFIED
10/24/2013	3/15/2016	2255942	NORTHERN TRUST ASSET MGMT	ENDURANCE INT'L GROUP HOLDINGS INC.	FILED
6/30/1999	12/6/2002	2255942	NORTHERN TRUST ASSET MGMT	ENTROPIN, INC.	FILED
9/11/2013	7/8/2015	2206616	PROGRESS STONERIDGE	EXTREME NETWORKS, INC. (2015)	FILED
9/11/2013	7/8/2015	2244620	CASTLEARK MGMT	EXTREME NETWORKS, INC. (2015)	FILED
9/11/2013	7/8/2015	2292745	JACOBS LEVY EQUITY MGMT	EXTREME NETWORKS, INC. (2015)	FILED
1/27/2014	10/20/2015	2218632	RHUMBLINE EQUITY	EZ CORP. INC (2015)	NOTIFIED
1/27/2014	10/20/2015	2255942	NORTHERN TRUST ASSET MGMT	EZ CORP. INC (2015)	NOTIFIED
5/17/2012	2/23/2018	SUR15	WELLINGTON MGMT	FACEBOOK INC(2012)(INSTL&RETAIL INV CL)	FILED
5/17/2012	2/23/2018	SUR40	CALAMOS INVESTMENTS	FACEBOOK INC(2012)(INSTL&RETAIL INV CL)	FILED
5/17/2012	2/23/2018	SUR41	T. ROWE PRICE	FACEBOOK INC(2012)(INSTL&RETAIL INV CL)	FILED
5/17/2012	2/23/2018	2218632	RHUMBLINE EQUITY	FACEBOOK INC(2012)(INSTL&RETAIL INV CL)	FILED
5/17/2012	2/23/2018	2255942	NORTHERN TRUST ASSET MGMT	FACEBOOK INC(2012)(INSTL&RETAIL INV CL)	FILED
5/17/2012	2/23/2018	2292746	PIEDMONT INVESTMENT ADVISORS	FACEBOOK INC(2012)(INSTL&RETAIL INV CL)	FILED
5/17/2012	2/23/2018	2292747	T ROWE PRICE	FACEBOOK INC(2012)(INSTL&RETAIL INV CL)	FILED
1/13/1999	5/23/2006	SUR15	WELLINGTON MGMT	FANNIE MAE	FILED
1/13/1999	5/23/2006	SUR14	CAPITAL GUARDIAN	FANNIE MAE	FILED
1/13/1999	5/23/2006	2255942	NORTHERN TRUST ASSET MGMT	FANNIE MAE	FILED
1/13/1999	5/23/2006	2268236	FAYEZ SAROFIM	FANNIE MAE	FILED
4/17/2000	6/6/2003	SUR14	CAPITAL GUARDIAN	FEDERAL HOME LOAN MTG CORP (SEC)(FREDDIE	DISBRNSG
3/29/2013	12/31/2014	2218632	RHUMBLINE EQUITY	FIFTH ST FIN CORP/FIFTH ST SR FLTG RATE	FILED
3/29/2013	12/31/2014	2219055	LOMBARDIA CAPITAL PARTNERS	FIFTH ST FIN CORP/FIFTH ST SR FLTG RATE	FILED
6/12/1998	7/1/2004	SUR15	WELLINGTON MGMT	FIRST COMMERCE CORP	DISBRNSG
6/12/1998	7/1/2004	SUR14	CAPITAL GUARDIAN	FIRST COMMERCE CORP	DISBRNSG
6/12/1998	7/1/2004	2255942	NORTHERN TRUST ASSET MGMT	FIRST COMMERCE CORP	DISBRNSG
6/12/1998	7/1/2004	2202262	RASARA STRATEGIES EQUITY	FIRST COMMERCE CORP	DISBRNSG
6/12/1998	7/1/2004	2271463	NTGI RESTRUCTURING ACCT	FIRST COMMERCE CORP	DISBRNSG
2/6/2013	11/8/2016	2218632	RHUMBLINE EQUITY	FLOWERS FOODS, INC.	NOTIFIED
2/6/2013	11/8/2016	2219052	NCM CAPITAL	FLOWERS FOODS, INC.	NOTIFIED
2/6/2013	11/8/2016	2244620	CASTLEARK MGMT	FLOWERS FOODS, INC.	NOTIFIED
2/6/2013	11/8/2016	2255942	NORTHERN TRUST ASSET MGMT	FLOWERS FOODS, INC.	NOTIFIED
2/6/2013	11/8/2016	2292745	JACOBS LEVY EQUITY MGMT	FLOWERS FOODS, INC.	NOTIFIED
7/27/1999	10/1/2002	2271463	NTGI RESTRUCTURING ACCT	FOCAL COMMUNICATIONS	DISBRNSG
3/16/2010	3/2/2018	SUR37	PROGRESS HERNDON CAPITAL MGMT	FOCUS MEDIA HOLDING LIMITED (SEC)	FILED
11/30/2000	10/29/2001	2255942	NORTHERN TRUST ASSET MGMT	G & L REALITY CORP	FILED
6/26/2014	1/22/2016	2218632	RHUMBLINE EQUITY	GOPRO, INC. (2016) (CALI SUP COURT)	FILED
6/26/2014	1/22/2016	2255942	NORTHERN TRUST ASSET MGMT	GOPRO, INC. (2016) (CALI SUP COURT)	FILED
11/4/2013	5/18/2015	2218632	RHUMBLINE EQUITY	GT ADVANCED TECHNOLOGIES INC (UNDER&IND)	FILED
11/4/2013	5/18/2015	2255942	NORTHERN TRUST ASSET MGMT	GT ADVANCED TECHNOLOGIES INC (UNDER&IND)	FILED
5/18/1998	5/28/2002	SUR15	WELLINGTON MGMT	HALLIBURTON COMPANY	FILED
5/18/1998	5/28/2002	2202283	SMITH BARNEY CAPITAL MGMT	HALLIBURTON COMPANY	FILED
5/18/1998	5/28/2002	2255942	NORTHERN TRUST ASSET MGMT	HALLIBURTON COMPANY	FILED
5/18/1998	5/28/2002	2271463	NTGI RESTRUCTURING ACCT	HALLIBURTON COMPANY	FILED
6/9/2014	4/8/2016	2218632	RHUMBLINE EQUITY	HEARTWARE INTN'L INC (2016) (S.D.N.Y.)	FILED
6/9/2014	4/8/2016	2244620	CASTLEARK MGMT	HEARTWARE INTN'L INC (2016) (S.D.N.Y.)	FILED
6/9/2014	4/8/2016	2255942	NORTHERN TRUST ASSET MGMT	HEARTWARE INTN'L INC (2016) (S.D.N.Y.)	FILED
2/7/2000	1/25/2001	2255942	NORTHERN TRUST ASSET MGMT	IBP INC	DISBRNSG
2/21/2012	2/3/2016	2218632	RHUMBLINE EQUITY	ICONIX BRAND GROUP, INC.	NOTIFIED
2/21/2012	2/3/2016	2219055	LOMBARDIA CAPITAL PARTNERS	ICONIX BRAND GROUP, INC.	NOTIFIED
2/21/2012	2/3/2016	2244620	CASTLEARK MGMT	ICONIX BRAND GROUP, INC.	NOTIFIED
2/21/2012	2/3/2016	2255942	NORTHERN TRUST ASSET MGMT	ICONIX BRAND GROUP, INC.	NOTIFIED
5/17/1999	7/6/2001	2271463	NTGI RESTRUCTURING ACCT	IMMUNE RESPONSE CORP	DISBRNSG
2/11/2015	3/11/2019	2218632	RHUMBLINE EQUITY	INOVALON HOLDINGS, INC	FILED
2/11/2015	3/11/2019	2255942	NORTHERN TRUST ASSET MGMT	INOVALON HOLDINGS, INC	FILED



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5/6/2013	7/29/2015	2218632	RHUMBLINE EQUITY	INSULET CORPORATION	FILED
5/6/2013	7/29/2015	2244620	CASTLEARK MGMT	INSULET CORPORATION	FILED
5/6/2013	7/29/2015	2255942	NORTHERN TRUST ASSET MGMT	INSULET CORPORATION	FILED
2/3/2012	10/17/2013	2206608	PROGRESS VISION -SL	INTUITIVE SURGICAL, INC (2013)	FILED
2/3/2012	10/17/2013	2211569	PROGRESS FORTALEZA	INTUITIVE SURGICAL, INC (2013)	FILED
2/3/2012	10/17/2013	2218632	RHUMBLINE EQUITY	INTUITIVE SURGICAL, INC (2013)	FILED
2/3/2012	10/17/2013	2255942	NORTHERN TRUST ASSET MGMT	INTUITIVE SURGICAL, INC (2013)	FILED
2/3/2012	10/17/2013	2292747	T ROWE PRICE	INTUITIVE SURGICAL, INC (2013)	FILED
2/25/2011	10/30/2015	2255942	NORTHERN TRUST ASSET MGMT	INVESTMENT TECHNOLOGY GROUP, INC.	FILED
2/25/2011	10/30/2015	2292745	JACOBS LEVY EQUITY MGMT	INVESTMENT TECHNOLOGY GROUP, INC.	FILED
3/15/2004	3/21/2005	2255942	NORTHERN TRUST ASSET MGMT	INVISION TECHNOLOGIES INC	FILED
8/19/2013	12/24/2013	2255942	NORTHERN TRUST ASSET MGMT	J.C. PENNEY COMPANY INC	FILED
10/13/2008	11/26/2010	SUR14	CAPITAL GUARDIAN	JOHNSON & JOHNSON (2010)	DISBRNSG
10/13/2008	11/26/2010	SUR38	TRANSITION	JOHNSON & JOHNSON (2010)	DISBRNSG
10/13/2008	11/26/2010	SUR40	CALAMOS INVESTMENTS	JOHNSON & JOHNSON (2010)	DISBRNSG
10/13/2008	11/26/2010	2248908	BGI TRANSITION ACCOUNT	JOHNSON & JOHNSON (2010)	DISBRNSG
9/1/2016	4/5/2017	2218632	RHUMBLINE EQUITY	JOY GLOBAL INC.	FILED
9/1/2016	4/5/2017	2241058	EARNEST PARTNERS	JOY GLOBAL INC.	FILED
9/1/2016	4/5/2017	2255942	NORTHERN TRUST ASSET MGMT	JOY GLOBAL INC.	FILED
4/11/2012	5/18/2012	SUR41	T. ROWE PRICE	JPMORGAN CHASE & CO (SEC FAIR FUND)	DISBRNSG
4/11/2012	5/18/2012	2292747	T ROWE PRICE	JPMORGAN CHASE & CO (SEC FAIR FUND)	DISBRNSG
11/19/2010	7/18/2018	SUR03	MARTIN CURRIE	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR15	WELLINGTON MGMT	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR61	PROGRESS TRANSITION	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR37	PROGRESS HERNDON CAPITAL MGMT	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR38	TRANSITION	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR57	PROGRESS LOMBARDIA CAPITAL PARTNERS	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR18	PYRAMIS GLOBAL ADVISORS	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR19	MONDRIAN INVESTMENTS	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR28	HERNDON CAPITAL MGMT	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR63	Progress-Glovista Investments EAFE	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR65	Progress-ARGA MSCI	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR69	SOLSTEIN CAPITAL, LLC	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR39	ABERDEEN ASSET MGMT	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR40	CALAMOS INVESTMENTS	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR42	STRATEGIC GLOBAL ADVISORS	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR50	PROGRESS SKY INVESTMENT	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR53	PROGRESS GLOVISTA INVESTMENTS	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR32	PROGRESS JOHN HSU CAPITAL MGMT	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR33	PROGRESS BROWN CAPITAL MGMT	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR34	PROGRESS STRATEGIC GLOBAL ADVISORS	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR46	PROGRESS CHESWOLD LANE	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	2211574	PROGRESS VISTA MAR	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	2211575	PROGRESS REDWOOD INVESTMENT	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	2211789	TRANSITION	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	2218632	RHUMBLINE EQUITY	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	2219054	PROFIT INVESTMENT MGMT	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	2226432	PROGRESS APEX	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	2255942	NORTHERN TRUST ASSET MGMT	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	2292747	T ROWE PRICE	JPMORGAN CHASE BANK N.A. ADR FX	FILED
11/19/2010	7/18/2018	SUR43	PROGRESS ATIVO	JPMORGAN CHASE BANK N.A. ADR FX	FILED
2/1/2011	2/7/2012	SUR15	WELLINGTON MGMT	KEURIG GREEN MOUNTAIN, INC. (2011)	FILED
2/1/2011	2/7/2012	2218632	RHUMBLINE EQUITY	KEURIG GREEN MOUNTAIN, INC. (2011)	FILED
2/1/2011	2/7/2012	2255942	NORTHERN TRUST ASSET MGMT	KEURIG GREEN MOUNTAIN, INC. (2011)	FILED
2/7/2018	8/17/2018	2218632	RHUMBLINE EQUITY	LANNETT COMPANY, INC. (2018)	FILED
2/7/2018	8/17/2018	2255942	NORTHERN TRUST ASSET MGMT	LANNETT COMPANY, INC. (2018)	FILED
6/5/2006	7/25/2006	2219054	PROFIT INVESTMENT MGMT	LASERSCOPE	FILED
6/11/2007	10/28/2008	2211789	TRANSITION	LEHMAN BROTHERS EQTY/DEBT - EY SETTLE II	DISBRNSG
6/11/2007	10/28/2008	2240979	NTGA EMERGING ADVISORS	LEHMAN BROTHERS EQTY/DEBT - EY SETTLE II	DISBRNSG

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6/11/2007	10/28/2008	2248908	BGI TRANSITION ACCOUNT	LEHMAN BROTHERS EQTY/DEBT - EY SETTLE II	DISBRNSG
6/11/2007	10/28/2008	2211789	TRANSITION	LEHMAN BROTHERS EQTY/DEBT - EY SETTLEMEN	DISBRNSG
6/11/2007	10/28/2008	2218531	ZENNA FINANCIAL	LEHMAN BROTHERS EQTY/DEBT - EY SETTLEMEN	DISBRNSG
6/11/2007	10/28/2008	2218632	RHUMBLINE EQUITY	LEHMAN BROTHERS EQTY/DEBT - EY SETTLEMEN	DISBRNSG
6/11/2007	10/28/2008	2248908	BGI TRANSITION ACCOUNT	LEHMAN BROTHERS EQTY/DEBT - EY SETTLEMEN	DISBRNSG
6/11/2007	10/28/2008	2255942	NORTHERN TRUST ASSET MGMT	LEHMAN BROTHERS EQTY/DEBT - EY SETTLEMEN	DISBRNSG
6/11/2007	4/20/2012	SUR12	WESTERN ASSET MGMT	LEHMAN BROTHERS HLDGS INC (D & O SETTLEM	DISBRNSG
6/11/2007	4/20/2012	2248908	BGI TRANSITION ACCOUNT	LEHMAN BROTHERS HLDGS INC (D & O SETTLEM	DISBRNSG
6/11/2007	4/20/2012	2255942	NORTHERN TRUST ASSET MGMT	LEHMAN BROTHERS HLDGS INC (D & O SETTLEM	DISBRNSG
6/11/2007	4/20/2012	SUR15	WELLINGTON MGMT	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
6/11/2007	4/20/2012	SUR14	CAPITAL GUARDIAN	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
6/11/2007	4/20/2012	2211576	PROGRESS HERNDON CAPITAL MGMT	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
6/11/2007	4/20/2012	2211578	PROGRESS PALISADES INVESTMENT	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
6/11/2007	4/20/2012	2211789	TRANSITION	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
6/11/2007	4/20/2012	2218531	ZENNA FINANCIAL	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
6/11/2007	4/20/2012	2218632	RHUMBLINE EQUITY	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
6/11/2007	4/20/2012	2240979	NTGA EMERGING ADVISORS	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
6/11/2007	4/20/2012	2242457	BLACKROCK ENHANCED	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
6/11/2007	4/20/2012	2248908	BGI TRANSITION ACCOUNT	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
6/11/2007	4/20/2012	2255942	NORTHERN TRUST ASSET MGMT	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
6/11/2007	4/20/2012	2292746	PIEDMONT INVESTMENT ADVISORS	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
6/11/2007	4/20/2012	2292747	T ROWE PRICE	LEHMAN BROTHERS HLDGS UNDERWRITERS	DISBRNSG
1/2/2007	11/14/2013	SUR12	WESTERN ASSET MGMT	LEHMAN BROTHERS HOLDINGS , INC (EQTY/DBT	FILED
1/2/2007	11/14/2013	SUR13	BLACKROCK CORE PLUS	LEHMAN BROTHERS HOLDINGS , INC (EQTY/DBT	FILED
1/2/2007	11/14/2013	SUR38	TRANSITION	LEHMAN BROTHERS HOLDINGS , INC (EQTY/DBT	FILED
1/2/2007	11/14/2013	2242457	BLACKROCK ENHANCED	LEHMAN BROTHERS HOLDINGS , INC (EQTY/DBT	FILED
6/11/2007	4/20/2012	SUR12	WESTERN ASSET MGMT	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	SUR15	WELLINGTON MGMT	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	SUR14	CAPITAL GUARDIAN	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	SUR13	BLACKROCK CORE PLUS	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	SUR21	PIMCO TOTAL RETURN	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	SUR25	SMITH GRAHAM & CO	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	SUR26	TAPLIN CANIDA & HABACHT	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	SUR27	PIMCO STOCKSPUS	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	SUR35	PROGRESS NEW CENTURY ADVISORS	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	2211576	PROGRESS HERNDON CAPITAL MGMT	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	2211578	PROGRESS PALISADES INVESTMENT	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	2218531	ZENNA FINANCIAL	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	2218632	RHUMBLINE EQUITY	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	2240979	NTGA EMERGING ADVISORS	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	2242457	BLACKROCK ENHANCED	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	2292746	PIEDMONT INVESTMENT ADVISORS	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/11/2007	4/20/2012	2292747	T ROWE PRICE	LEHMAN BROTHERS HOLDINGS, INC.	DISBRNSG
6/24/1997	3/3/1999	2255942	NORTHERN TRUST ASSET MGMT	LIFE FINANCIAL CORP	FILED
9/26/2013	7/7/2017	2255942	NORTHERN TRUST ASSET MGMT	LION BIOTECHNOLOGIES INC.(N/K/A IOVANCE)	FILED
1/31/2012	8/5/2014	2206616	PROGRESS STONERIDGE	LIQUIDITY SERVICES, INC.	FILED
1/31/2012	8/5/2014	2211581	PROGRESS AH LISANTI	LIQUIDITY SERVICES, INC.	FILED
1/31/2012	8/5/2014	2241059	FIDUCIARY MANAGEMENT ASSOCIATES	LIQUIDITY SERVICES, INC.	FILED
5/16/1995	6/14/1995	2202282	ROSENBERG INST EQUITY	MAGMA COPPER COMPANY	FILED
1/23/2004	7/25/2017	SUR39	ABERDEEN ASSET MGMT	MANULIFE FINANCIAL CORP. (CAD) (QUEBEC)	DISBRNSG
1/23/2004	7/25/2017	SUR42	STRATEGIC GLOBAL ADVISORS	MANULIFE FINANCIAL CORP. (CAD) (QUEBEC)	DISBRNSG
1/23/2004	7/25/2017	SUR34	PROGRESS STRATEGIC GLOBAL ADVISORS	MANULIFE FINANCIAL CORP. (CAD) (QUEBEC)	DISBRNSG
7/31/2013	8/1/2016	2206616	PROGRESS STONERIDGE	MARRONE BIO INNOVATIONS, INC. (F/K/A MAR	FILED
3/2/2015	5/29/2015	2206616	PROGRESS STONERIDGE	MAVENRY SYSTEMS, INC.	DISBRNSG
2/26/2012	3/19/2013	2255942	NORTHERN TRUST ASSET MGMT	MAXWELL TECHNOLOGIES INC SEC FAIRFUND	DISBRNSG
1/19/2005	7/19/2005	SUR15	WELLINGTON MGMT	MBNA CORP (2005)	DISBRNSG
1/19/2005	7/19/2005	2207291	ARIEL CAPITAL MGMT	MBNA CORP (2005)	DISBRNSG
1/19/2005	7/19/2005	2255942	NORTHERN TRUST ASSET MGMT	MBNA CORP (2005)	DISBRNSG
2/28/2011	3/31/2011	2218632	RHUMBLINE EQUITY	MCAFFEE INC. (CALIFORNIA SUPERIOR COURT)	FILED

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Class Period Start Date	Class Period End Date	Account Number	Account Name	Class Action Name	TNT Status*
2/28/2011	3/31/2011	2255942	NORTHERN TRUST ASSET MGMT	MCAFFEE INC. (CALIFORNIA SUPERIOR COURT)	FILED
2/28/2011	3/31/2011	2292747	T ROWE PRICE	MCAFFEE INC. (CALIFORNIA SUPERIOR COURT)	FILED
9/7/2010	9/26/2011	SUR15	WELLINGTON MGMT	MEDTRONIC, INC (2013)	FILED
9/7/2010	9/26/2011	2255942	NORTHERN TRUST ASSET MGMT	MEDTRONIC, INC (2013)	FILED
9/7/2010	9/26/2011	2292745	JACOBS LEVY EQUITY MGMT	MEDTRONIC, INC (2013)	FILED
9/12/2006	12/29/2006	2219053	PARADIGM ASSET MGMT	METROLOGIC INSTRUMENTS INC (ELLIOTT)	FILED
9/12/2006	12/29/2006	2255942	NORTHERN TRUST ASSET MGMT	METROLOGIC INSTRUMENTS INC (ELLIOTT)	FILED
2/17/2012	1/13/2014	2218632	RHUMBLINE EQUITY	MOLYCORP INC	DISBRNSNG
2/17/2012	1/13/2014	2255942	NORTHERN TRUST ASSET MGMT	MOLYCORP INC	DISBRNSNG
4/11/2011	4/11/2011	2218632	RHUMBLINE EQUITY	MONEYGRAM INTERNATIONAL	FILED
4/11/2011	4/11/2011	2255942	NORTHERN TRUST ASSET MGMT	MONEYGRAM INTERNATIONAL	FILED
4/11/2011	4/11/2011	2218632	RHUMBLINE EQUITY	MONEYGRAM INTL INC DISTRIBUTION OF FUNDS	FILED
4/11/2011	4/11/2011	2255942	NORTHERN TRUST ASSET MGMT	MONEYGRAM INTL INC DISTRIBUTION OF FUNDS	FILED
4/27/2004	8/1/2006	2255942	NORTHERN TRUST ASSET MGMT	NIAGARA CORP	FILED
11/24/1999	7/19/2002	2271463	NTGI RESTRUCTURING ACCT	NICOR INC	DISBRNSNG
5/12/2000	7/18/2002	2271463	NTGI RESTRUCTURING ACCT	NICOR SEC FAIR FUND	DISBRNSNG
10/23/2000	4/27/2004	SUR08	DRESDNER RCM GLOBAL	NORTEL SEC FAIR FUND	DISBRNSNG
10/23/2000	4/27/2004	SUR15	WELLINGTON MGMT	NORTEL SEC FAIR FUND	DISBRNSNG
10/23/2000	4/27/2004	2200518	UBS GLOBAL VENTURE PORTFOLIO	NORTEL SEC FAIR FUND	DISBRNSNG
4/23/2003	4/27/2004	SUR15	WELLINGTON MGMT	NORTEL SEC FAIR FUND II	DISBRNSNG
1/3/2006	5/9/2017	SUR23	PAYDEN & RYDEL	NOVASTAR MORTGAGE FUNDING TRUSTS	FILED
5/3/2011	4/17/2014	SUR38	TRANSITION	NU SKIN ENTERPRISES, INC	DISBRNSNG
5/3/2011	4/17/2014	2261966	PROGRESS TRANSITION DOMESTIC	NU SKIN ENTERPRISES, INC	DISBRNSNG
5/3/2011	4/17/2014	2273358	PROGRESS BOWLING	NU SKIN ENTERPRISES, INC	DISBRNSNG
7/16/2015	6/22/2018	2255942	NORTHERN TRUST ASSET MGMT	OOMA, INC.	FILED
11/3/1999	9/6/2007	2200518	UBS GLOBAL VENTURE PORTFOLIO	OPTICAL COATING LABORATORY, INC.	DISBRNSNG
12/16/2014	11/7/2016	2218632	RHUMBLINE EQUITY	ORBITAL ATK INC.	FILED
12/16/2014	11/7/2016	2255942	NORTHERN TRUST ASSET MGMT	ORBITAL ATK INC.	FILED
5/9/2014	2/12/2016	2255942	NORTHERN TRUST ASSET MGMT	OSIRIS THERAPEUTICS, INC. (D. MD.)	FILED
2/17/2010	7/29/2014	SUR38	TRANSITION	PENN WEST PETROLEUM LTD	DISBRNSNG
2/17/2010	7/29/2014	SUR39	ABERDEEN ASSET MGMT	PENN WEST PETROLEUM LTD	DISBRNSNG
3/29/2007	12/2/2011	2219053	PARADIGM ASSET MGMT	PENSON WORLDWIDE, INC	DISBRNSNG
7/22/1999	5/3/2002	2202263	NEW AMSTERDAM ACTIVE	PEREGRINE SYSTEMS INC	FILED
7/22/1999	5/3/2002	2202838	GENESIS CAPITAL	PEREGRINE SYSTEMS INC	FILED
7/22/1999	5/3/2002	2255942	NORTHERN TRUST ASSET MGMT	PEREGRINE SYSTEMS INC	FILED
7/22/1999	5/3/2002	2271463	NTGI RESTRUCTURING ACCT	PEREGRINE SYSTEMS INC	FILED
1/21/2010	10/26/2015	SUR13	BLACKROCK CORE PLUS	PETROLEO BRAS S.A. (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR38	TRANSITION	PETROLEO BRAS S.A. (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR21	PIMCO TOTAL RETURN	PETROLEO BRAS S.A. (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR52	PIMCO UNCONSTRAINED BOND	PETROLEO BRAS S.A. (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR59	PROGRESS LM CAPITAL GROUP EMD	PETROLEO BRAS S.A. (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR15	WELLINGTON MGMT	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR38	TRANSITION	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR57	PROGRESS LOMBARDIA CAPITAL PARTNERS	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR17	PIMCO TIPS	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR21	PIMCO TOTAL RETURN	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR25	SMITH GRAHAM & CO	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR26	TAPLIN CANIDA & HABACHT	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR27	PIMCO STOCKSPLUS	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR28	HERNDON CAPITAL MGMT	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR52	PIMCO UNCONSTRAINED BOND	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR58	PROGRESS GIA PARTNERS EMD	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR59	PROGRESS LM CAPITAL GROUP EMD	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR48	NEUBERGER BERMAN	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR39	ABERDEEN ASSET MGMT	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR41	T. ROWE PRICE	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR53	PROGRESS GLOVISTA INVESTMENTS	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	SUR35	PROGRESS NEW CENTURY ADVISORS	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG
1/21/2010	10/26/2015	2207289	TCW METWEST	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBRNSNG

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Class Period Start Date	Class Period End Date	Account Number	Account Name	Class Action Name	TNT Status*
1/21/2010	10/26/2015	2211585	PIEDMONT INVESTMENT ADVISORS	PETROLEO BRASILEIRO SA (PETROBRAS 2014)	DISBSRNG
6/11/1991	5/6/1994	2202283	SMITH BARNEY CAPITAL MGMT	PHILIP MORRIS	DISBSRNG
6/11/1991	5/6/1994	2202284	ZEVERBERGEN CAPITAL	PHILIP MORRIS	DISBSRNG
6/11/1991	5/6/1994	2268236	FAYEZ SAROFIM	PHILIP MORRIS	DISBSRNG
6/11/1991	5/6/1994	2290393	TOP 50-LOW PE ACCOUNT	PHILIP MORRIS	DISBSRNG
5/22/2013	11/30/2017	2255942	NORTHERN TRUST ASSET MGMT	PLY GEM HOLDINGS, INC. (2014)	DISBSRNG
1/19/2011	10/21/2013	2292745	JACOBS LEVY EQUITY MGMT	POLYCOM, INC.	DISBSRNG
1/18/2017	8/8/2018	SUR15	WELLINGTON MGMT	PPG INDUSTRIES, INC.	FILED
1/18/2017	8/8/2018	SUR19	MONDRIAN INVESTMENTS	PPG INDUSTRIES, INC.	FILED
1/18/2017	8/8/2018	2218632	RHUMBLINE EQUITY	PPG INDUSTRIES, INC.	FILED
1/18/2017	8/8/2018	2255942	NORTHERN TRUST ASSET MGMT	PPG INDUSTRIES, INC.	FILED
1/18/2017	8/8/2018	2292747	T ROWE PRICE	PPG INDUSTRIES, INC.	FILED
8/24/2004	12/21/2004	2255942	NORTHERN TRUST ASSET MGMT	PRICE LEGACY CORP	FILED
10/14/2015	7/20/2018	SUR41	T. ROWE PRICE	PROTHENA CORPORATION PLC (S.D.N.Y.)	FILED
10/14/2015	7/20/2018	2255942	NORTHERN TRUST ASSET MGMT	PROTHENA CORPORATION PLC (S.D.N.Y.)	FILED
11/5/2014	5/20/2016	2244620	CASTLEARK MGMT	PTC THERAPEUTICS INC.	FILED
11/5/2014	5/20/2016	2255942	NORTHERN TRUST ASSET MGMT	PTC THERAPEUTICS INC.	FILED
7/21/2014	6/11/2015	2218632	RHUMBLINE EQUITY	PUMA BIOTECHNOLOGY, INC. 2015	NOTIFIED
7/21/2014	6/11/2015	2255942	NORTHERN TRUST ASSET MGMT	PUMA BIOTECHNOLOGY, INC. 2015	NOTIFIED
3/23/2000	5/21/2001	2271463	NTGI RESTRUCTURING ACCT	PURCHASEPRO.COM INC	DISBSRNG
5/25/2011	10/23/2012	2211574	PROGRESS VISTA MAR	QUALITY SYSTEMS, INC. (2013)	FILED
5/25/2011	10/23/2012	2211581	PROGRESS AH LISANTI	QUALITY SYSTEMS, INC. (2013)	FILED
5/25/2011	10/23/2012	2218632	RHUMBLINE EQUITY	QUALITY SYSTEMS, INC. (2013)	FILED
5/25/2011	10/23/2012	2219048	BDHS CAPITAL	QUALITY SYSTEMS, INC. (2013)	FILED
5/25/2011	10/23/2012	2255942	NORTHERN TRUST ASSET MGMT	QUALITY SYSTEMS, INC. (2013)	FILED
4/15/2016	5/9/2018	2255942	NORTHERN TRUST ASSET MGMT	QUANTUM CORPORATION	FILED
12/19/2003	7/31/2006	2255942	NORTHERN TRUST ASSET MGMT	QUOVADX INC 74913K106 12/19/03 - 7/31/	FILED
12/19/2003	7/31/2006	2271463	NTGI RESTRUCTURING ACCT	QUOVADX INC 74913K106 12/19/03 - 7/31/	FILED
11/28/2003	3/26/2007	2255942	NORTHERN TRUST ASSET MGMT	QUOVADX, INC.	FILED
8/4/2015	12/6/2016	SUR15	WELLINGTON MGMT	QURATE RETAIL, INC.	FILED
8/4/2015	12/6/2016	2218632	RHUMBLINE EQUITY	QURATE RETAIL, INC.	FILED
8/4/2015	12/6/2016	2219051	HOLLAND CAPITAL MGMT	QURATE RETAIL, INC.	FILED
8/4/2015	12/6/2016	2255942	NORTHERN TRUST ASSET MGMT	QURATE RETAIL, INC.	FILED
5/22/1999	7/28/2002	SUR13	BLACKROCK CORE PLUS	QWEST COMMUNICATIONS	DISBSRNG
5/22/1999	7/28/2002	2207290	WESTERN ASSET	QWEST COMMUNICATIONS	DISBSRNG
5/22/1999	7/28/2002	2242457	BLACKROCK ENHANCED	QWEST COMMUNICATIONS	DISBSRNG
5/22/1999	7/28/2002	2255942	NORTHERN TRUST ASSET MGMT	QWEST COMMUNICATIONS	DISBSRNG
5/22/1999	7/28/2002	2271463	NTGI RESTRUCTURING ACCT	QWEST COMMUNICATIONS	DISBSRNG
5/21/1999	12/31/2002	SUR13	BLACKROCK CORE PLUS	QWEST COMMUNICATIONS REMISSION	DISBSRNG
5/21/1999	12/31/2002	2271461	CHICAGO CAPITAL MGMT	QWEST COMMUNICATIONS REMISSION	DISBSRNG
7/27/1999	12/31/2002	SUR15	WELLINGTON MGMT	QWEST COMMUNICATIONS SEC FAIR FUND	DISBSRNG
7/27/1999	12/31/2002	SUR13	BLACKROCK CORE PLUS	QWEST COMMUNICATIONS SEC FAIR FUND	DISBSRNG
7/27/1999	12/31/2002	2201164	PIMCO U.S. TIPS	QWEST COMMUNICATIONS SEC FAIR FUND	DISBSRNG
7/27/1999	12/31/2002	2202093	BLACKROCK EQTY PLUS	QWEST COMMUNICATIONS SEC FAIR FUND	DISBSRNG
7/27/1999	12/31/2002	2207290	WESTERN ASSET	QWEST COMMUNICATIONS SEC FAIR FUND	DISBSRNG
7/27/1999	12/31/2002	2242457	BLACKROCK ENHANCED	QWEST COMMUNICATIONS SEC FAIR FUND	DISBSRNG
7/27/1999	12/31/2002	2268238	PIMCO	QWEST COMMUNICATIONS SEC FAIR FUND	DISBSRNG
7/27/1999	12/31/2002	2271459	BLACKROCK FINCL MGMT	QWEST COMMUNICATIONS SEC FAIR FUND	DISBSRNG
7/27/1999	12/31/2002	2271461	CHICAGO CAPITAL MGMT	QWEST COMMUNICATIONS SEC FAIR FUND	DISBSRNG
5/24/1999	5/4/2001	2271463	NTGI RESTRUCTURING ACCT	RAZORFISH INC	DISBSRNG
2/11/2014	7/12/2017	2206616	PROGRESS STONERIDGE	RCS CAPITAL CORPORATION	FILED
2/11/2014	7/12/2017	2255942	NORTHERN TRUST ASSET MGMT	RCS CAPITAL CORPORATION	FILED
1/30/2015	1/6/2017	2219055	LOMBARDIA CAPITAL PARTNERS	RENT-A-CENTER, INC. (2016)	FILED
3/14/2016	7/5/2017	2255942	NORTHERN TRUST ASSET MGMT	RENTECH, INC. (2017) (C.D. CAL.)	FILED
1/28/2016	7/13/2018	2218632	RHUMBLINE EQUITY	RENTRAK CORP (2016)	FILED
1/28/2016	7/13/2018	2241059	FIDUCIARY MANAGEMENT ASSOCIATES	RENTRAK CORP (2016)	FILED
1/28/2016	7/13/2018	2255942	NORTHERN TRUST ASSET MGMT	RENTRAK CORP (2016)	FILED
3/25/2015	9/6/2016	SUR61	PROGRESS TRANSITION	RH (F/K/A REST. HARDWARE HLDNG) 2017	FILED
3/25/2015	9/6/2016	2211789	TRANSITION	RH (F/K/A REST. HARDWARE HLDNG) 2017	FILED

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3/25/2015	9/6/2016	2219051	HOLLAND CAPITAL MGMT	RH (F/K/A REST. HARDWARE HLDNG) 2017	FILED
3/25/2015	9/6/2016	2255942	NORTHERN TRUST ASSET MGMT	RH (F/K/A REST. HARDWARE HLDNG) 2017	FILED
3/25/2015	9/6/2016	2261965	PROGRESS HOLLAND CAPITAL	RH (F/K/A REST. HARDWARE HLDNG) 2017	FILED
3/13/2013	7/24/2019	2206616	PROGRESS STONERIDGE	ROADRUNNER TRANSPORTATION SYSTEMS, INC.	FILED
3/13/2013	7/24/2019	2211789	TRANSITION	ROADRUNNER TRANSPORTATION SYSTEMS, INC.	FILED
3/13/2013	7/24/2019	2255942	NORTHERN TRUST ASSET MGMT	ROADRUNNER TRANSPORTATION SYSTEMS, INC.	FILED
3/13/2013	7/24/2019	2261966	PROGRESS TRANSITION DOMESTIC	ROADRUNNER TRANSPORTATION SYSTEMS, INC.	FILED
5/6/2010	1/30/2011	2255942	NORTHERN TRUST ASSET MGMT	ROCK OF AGES CORPORATION	FILED
11/7/2017	9/24/2018	2218632	RHUMBLINE EQUITY	ROCKWELL MEDICAL INC. (2018)	NOTIFIED
11/7/2017	9/24/2018	2255942	NORTHERN TRUST ASSET MGMT	ROCKWELL MEDICAL INC. (2018)	NOTIFIED
4/7/1999	6/15/2004	2232420	TEMPORARY ACCOUNT	ROYAL DUTCH PETRO SHELL TRANS	DISBRNSG
4/7/1999	6/15/2004	2232420	TEMPORARY ACCOUNT	ROYAL DUTCH SHELL SEC	DISBRNSG
3/24/2011	8/31/2011	2218632	RHUMBLINE EQUITY	SAIC, INC. (S. D. N. Y.)	NOTIFIED
3/24/2011	8/31/2011	2255942	NORTHERN TRUST ASSET MGMT	SAIC, INC. (S. D. N. Y.)	NOTIFIED
10/15/2014	7/14/2015	2218632	RHUMBLINE EQUITY	SANDISK CORP (N/K/A SANDISK LLC)(2015)	FILED
2/2/2015	6/13/2016	SUR15	WELLINGTON MGMT	SANTANDER CONSUMER USA HLDGS INC (2016)	FILED
2/2/2015	6/13/2016	2292745	JACOBS LEVY EQUITY MGMT	SANTANDER CONSUMER USA HLDGS INC (2016)	FILED
10/24/2001	10/14/2002	2255942	NORTHERN TRUST ASSET MGMT	SEARS ROEBUCK & CO	DISBRNSG
5/17/1999	3/6/2002	2271463	NTGI RESTRUCTURING ACCT	SEPRACOR INC	DISBRNSG
5/14/1999	6/4/2002	2255942	NORTHERN TRUST ASSET MGMT	SEPRACOR INC.	FILED
11/5/2009	2/22/2019	SUR38	TRANSITION	SNC-LAVILIN GROUP INC (CANADA)(ONTARIO)	FILED
11/5/2009	2/22/2019	SUR18	PYRAMIS GLOBAL ADVISORS	SNC-LAVILIN GROUP INC (CANADA)(ONTARIO)	FILED
11/5/2009	2/22/2019	SUR39	ABERDEEN ASSET MGMT	SNC-LAVILIN GROUP INC (CANADA)(ONTARIO)	FILED
6/18/2001	9/26/2002	SUR15	WELLINGTON MGMT	SOLETRON CORP	DISBRNSG
6/18/2001	9/26/2002	2255942	NORTHERN TRUST ASSET MGMT	SOLETRON CORP	DISBRNSG
8/7/2012	6/11/2013	2218632	RHUMBLINE EQUITY	SPECTRUM PHARMACEUTICALS, INC. (2013)	DISBRNSG
8/7/2012	6/11/2013	2255942	NORTHERN TRUST ASSET MGMT	SPECTRUM PHARMACEUTICALS, INC. (2013)	DISBRNSG
3/3/2015	3/29/2019	2218632	RHUMBLINE EQUITY	SPROUTS FARMERS MARKET INC (AZ SUP CRT)	FILED
3/3/2015	3/29/2019	2255942	NORTHERN TRUST ASSET MGMT	SPROUTS FARMERS MARKET INC (AZ SUP CRT)	FILED
2/24/2012	4/18/2017	SUR15	WELLINGTON MGMT	STATE STREET CORPORATION (2017)	FILED
2/24/2012	4/18/2017	SUR40	CALAMOS INVESTMENTS	STATE STREET CORPORATION (2017)	FILED
2/24/2012	4/18/2017	SUR41	T. ROWE PRICE	STATE STREET CORPORATION (2017)	FILED
2/24/2012	4/18/2017	2218632	RHUMBLINE EQUITY	STATE STREET CORPORATION (2017)	FILED
2/24/2012	4/18/2017	2255942	NORTHERN TRUST ASSET MGMT	STATE STREET CORPORATION (2017)	FILED
2/24/2012	4/18/2017	2292745	JACOBS LEVY EQUITY MGMT	STATE STREET CORPORATION (2017)	FILED
2/24/2012	4/18/2017	2292747	T ROWE PRICE	STATE STREET CORPORATION (2017)	FILED
2/6/2013	5/22/2018	SUR19	MONDRIAN INVESTMENTS	STERICYCLE, INC	FILED
2/6/2013	5/22/2018	2211569	PROGRESS FORTALEZA	STERICYCLE, INC	FILED
2/6/2013	5/22/2018	2218632	RHUMBLINE EQUITY	STERICYCLE, INC	FILED
2/6/2013	5/22/2018	2219051	HOLLAND CAPITAL MGMT	STERICYCLE, INC	FILED
2/6/2013	5/22/2018	2255942	NORTHERN TRUST ASSET MGMT	STERICYCLE, INC	FILED
2/6/2013	5/22/2018	2261966	PROGRESS TRANSITION DOMESTIC	STERICYCLE, INC	FILED
2/6/2013	5/22/2018	2292747	T ROWE PRICE	STERICYCLE, INC	FILED
8/17/2015	7/22/2016	2218632	RHUMBLINE EQUITY	SUNEDISON INC. (CERTIFIED CLASS)	FILED
8/17/2015	7/22/2016	2255942	NORTHERN TRUST ASSET MGMT	SUNEDISON INC. (CERTIFIED CLASS)	FILED
1/20/2004	10/1/2004	2255942	NORTHERN TRUST ASSET MGMT	SUPPORT SOFT INC	FILED
4/11/2006	5/19/2006	2202263	NEW AMSTERDAM ACTIVE	SYBRON DENTAL SPECIALTIES	FILED
4/11/2006	5/19/2006	2219049	CHANNING CAPITAL MGMT	SYBRON DENTAL SPECIALTIES	FILED
3/2/2000	10/17/2002	2271463	NTGI RESTRUCTURING ACCT	SYMBOL TECHNOLOGIES INC 2	DISBRNSG
12/17/2002	7/10/2006	2219055	LOMBARDIA CAPITAL PARTNERS	TAKE-TWO INTERACTIVE SOFTWARE (2006)	DISBRNSG
11/17/2006	8/20/2007	2207291	ARIEL CAPITAL MGMT	TD BANKNORTH, INC.	FILED
11/17/2006	8/20/2007	2255942	NORTHERN TRUST ASSET MGMT	TD BANKNORTH, INC.	FILED
5/17/2001	7/1/2002	2202838	GENESIS CAPITAL	TELLIUM INC	DISBRNSG
2/19/2008	5/12/2009	2218531	ZENNA FINANCIAL	TEREX CORPORATION (D CONN.)	FILED
2/19/2008	5/12/2009	2218632	RHUMBLINE EQUITY	TEREX CORPORATION (D CONN.)	FILED
2/19/2008	5/12/2009	2219051	HOLLAND CAPITAL MGMT	TEREX CORPORATION (D CONN.)	FILED
2/19/2008	5/12/2009	2255942	NORTHERN TRUST ASSET MGMT	TEREX CORPORATION (D CONN.)	FILED
2/19/2008	5/12/2009	2292745	JACOBS LEVY EQUITY MGMT	TEREX CORPORATION (D CONN.)	FILED
2/19/2008	5/12/2009	2292746	PIEDMONT INVESTMENT ADVISORS	TEREX CORPORATION (D CONN.)	FILED

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2/19/2008	5/12/2009	2292747	T ROWE PRICE	TEREX CORPORATION (D CONN.)	FILED
7/30/2015	12/15/2017	2255942	NORTHERN TRUST ASSET MGMT	TERRAFORM GLOBAL INC	FILED
4/8/2009	7/20/2009	2255942	NORTHERN TRUST ASSET MGMT	TEXTRON INC/HARMAN INT'L (SEC FAIR FUND)	FILED
12/31/1996	1/17/2019	SUR08	DRESDNER RCM GLOBAL	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR09	OECHSLE INTERNATIONAL ADVISORS	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR02	AMERICAN EXPRESS	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR03	MARTIN CURRIE	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR15	WELLINGTON MGMT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR14	CAPITAL GUARDIAN	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR37	PROGRESS HERNDON CAPITAL MGMT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR38	TRANSITION	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR57	PROGRESS LOMBARDIA CAPITAL PARTNERS	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR18	PYRAMIS GLOBAL ADVISORS	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR19	MONDRIAN INVESTMENTS	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR28	HERNDON CAPITAL MGMT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR63	Progress-Glovista Investments EAFE	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR65	Progress-ARGA MSCI	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR39	ABERDEEN ASSET MGMT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR40	CALAMOS INVESTMENTS	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR41	T. ROWE PRICE	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR42	STRATEGIC GLOBAL ADVISORS	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR50	PROGRESS SKY INVESTMENT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR53	PROGRESS GLOVISTA INVESTMENTS	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR32	PROGRESS JOHN HSU CAPITAL MGMT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR33	PROGRESS BROWN CAPITAL MGMT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR34	PROGRESS STRATEGIC GLOBAL ADVISORS	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	SUR46	PROGRESS CHESWOLD LANE	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2211574	PROGRESS VISTA MAR	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2211575	PROGRESS REDWOOD INVESTMENT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2211578	PROGRESS PALISADES INVESTMENT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2218632	RHUMBLINE EQUITY	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2219051	HOLLAND CAPITAL MGMT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2219052	NCM CAPITAL	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2219053	PARADIGM ASSET MGMT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2226432	PROGRESS APEX	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2255942	NORTHERN TRUST ASSET MGMT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2261521	PROGRESS HIGH POINTE	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2261965	PROGRESS HOLLAND CAPITAL	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2268230	CASH ACCOUNT	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2268238	PIMCO	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2273358	PROGRESS BOWLING	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/31/1996	1/17/2019	2292747	T ROWE PRICE	THE BANK OF NEW YORK MELLON ADR FX	FILED
12/2/2015	6/7/2017	SUR18	PYRAMIS GLOBAL ADVISORS	THE TORONTO-DOMINION BANK	FILED
5/10/2011	11/4/2014	2292745	JACOBS LEVY EQUITY MGMT	THORATEC CORPORATION (2014)	FILED
12/5/2014	12/31/2014	2218632	RHUMBLINE EQUITY	TIBCO SOFTWARE INC. (2014) (DELAWARE CHA	FILED
1/21/1999	11/19/2002	2271463	NTGI RESTRUCTURING ACCT	TRANSACTION SYSTEMS ARCHITECTS	DISBRNSG
2/15/2017	2/2/2018	2218632	RHUMBLINE EQUITY	TRUECAR, INC. (2018)	NOTIFIED
2/15/2017	2/2/2018	2244620	CASTLEARK MGMT	TRUECAR, INC. (2018)	NOTIFIED
2/15/2017	2/2/2018	2255942	NORTHERN TRUST ASSET MGMT	TRUECAR, INC. (2018)	NOTIFIED
11/28/1997	3/13/2003	2255942	NORTHERN TRUST ASSET MGMT	TYCO INTL LTD (SEC FAIR FUND)	DISBRNSG
3/7/2011	3/8/2016	2255942	NORTHERN TRUST ASSET MGMT	UNITED DEVELOPMENT FUNDING IV	FILED
1/24/2013	8/7/2015	SUR15	WELLINGTON MGMT	VIRTUS INVESTMENT PARTNERS	DISBRNSG
1/24/2013	8/7/2015	2206616	PROGRESS STONERIDGE	VIRTUS INVESTMENT PARTNERS	DISBRNSG
1/24/2013	8/7/2015	2218632	RHUMBLINE EQUITY	VIRTUS INVESTMENT PARTNERS	DISBRNSG
1/24/2013	8/7/2015	2255942	NORTHERN TRUST ASSET MGMT	VIRTUS INVESTMENT PARTNERS	DISBRNSG
12/8/2000	11/8/2002	SUR08	DRESDNER RCM GLOBAL	VIVENDI UNIVERSAL, S.A.	DISBRNSG
12/8/2000	11/8/2002	SUR09	OECHSLE INTERNATIONAL ADVISORS	VIVENDI UNIVERSAL, S.A.	DISBRNSG
12/8/2000	11/8/2002	SUR02	AMERICAN EXPRESS	VIVENDI UNIVERSAL, S.A.	DISBRNSG
12/8/2000	11/8/2002	SUR03	MARTIN CURRIE	VIVENDI UNIVERSAL, S.A.	DISBRNSG

## STATE UNIVERSITIES RETIREMENT SYSTEM

## SCHEDULE OF PENDING CLASS ACTIONS

As of September 30, 2019

Class Period Start Date	Class Period End Date	Account Number	Account Name	Class Action Name	TNT Status*
12/8/2000	11/8/2002	SUR14	CAPITAL GUARDIAN	VIVENDI UNIVERSAL, S.A.	DISBRNSG
12/7/2011	7/20/2012	SUR19	MONDRIAN INVESTMENTS	WAL-MART STORES INC.	FILED
12/7/2011	7/20/2012	SUR40	CALAMOS INVESTMENTS	WAL-MART STORES INC.	FILED
12/7/2011	7/20/2012	2211569	PROGRESS FORTALEZA	WAL-MART STORES INC.	FILED
12/7/2011	7/20/2012	2218632	RHUMBLINE EQUITY	WAL-MART STORES INC.	FILED
12/7/2011	7/20/2012	2255942	NORTHERN TRUST ASSET MGMT	WAL-MART STORES INC.	FILED
12/7/2011	7/20/2012	2262574	PROGRESS GRAHAM AND DODD	WAL-MART STORES INC.	FILED
12/7/2011	7/20/2012	2273358	PROGRESS BOWLING	WAL-MART STORES INC.	FILED
12/7/2011	7/20/2012	2292745	JACOBS LEVY EQUITY MGMT	WAL-MART STORES INC.	FILED
12/7/2011	7/20/2012	2292746	PIEDMONT INVESTMENT ADVISORS	WAL-MART STORES INC.	FILED
12/7/2011	7/20/2012	2292747	T ROWE PRICE	WAL-MART STORES INC.	FILED
1/3/2000	1/15/2015	SUR27	PIMCO STOCKSPLUS	WAMU -TIA SETTLEMENT (2012)	DISBRNSG
2/25/2014	12/19/2016	SUR15	WELLINGTON MGMT	WELLS FARGO & COMPANY (2016)	FILED
2/25/2014	12/19/2016	SUR38	TRANSITION	WELLS FARGO & COMPANY (2016)	FILED
2/25/2014	12/19/2016	SUR19	MONDRIAN INVESTMENTS	WELLS FARGO & COMPANY (2016)	FILED
2/25/2014	12/19/2016	SUR40	CALAMOS INVESTMENTS	WELLS FARGO & COMPANY (2016)	FILED
2/25/2014	12/19/2016	2206603	PROGRESS AFFINITY DOMESTIC EQUITY	WELLS FARGO & COMPANY (2016)	FILED
2/25/2014	12/19/2016	2218632	RHUMBLINE EQUITY	WELLS FARGO & COMPANY (2016)	FILED
2/25/2014	12/19/2016	2228214	PROGRESS BOWLING	WELLS FARGO & COMPANY (2016)	FILED
2/25/2014	12/19/2016	2255942	NORTHERN TRUST ASSET MGMT	WELLS FARGO & COMPANY (2016)	FILED
2/25/2014	12/19/2016	2292745	JACOBS LEVY EQUITY MGMT	WELLS FARGO & COMPANY (2016)	FILED
2/25/2014	12/19/2016	2292746	PIEDMONT INVESTMENT ADVISORS	WELLS FARGO & COMPANY (2016)	FILED
2/25/2014	12/19/2016	2292747	T ROWE PRICE	WELLS FARGO & COMPANY (2016)	FILED
6/17/2014	3/11/2019	SUR17	PIMCO TIPS	WELLS FARGO BANK (2016) (RES MORTG BCKD)	FILED
6/17/2014	3/11/2019	SUR21	PIMCO TOTAL RETURN	WELLS FARGO BANK (2016) (RES MORTG BCKD)	FILED
6/17/2014	3/11/2019	SUR27	PIMCO STOCKSPLUS	WELLS FARGO BANK (2016) (RES MORTG BCKD)	FILED
6/17/2014	3/11/2019	SUR68	METROPOLITAN WEST ASSET	WELLS FARGO BANK (2016) (RES MORTG BCKD)	FILED
6/17/2014	3/11/2019	SUR48	NEUBERGER BERMAN	WELLS FARGO BANK (2016) (RES MORTG BCKD)	FILED
12/30/2004	1/29/2009	SUR11	BLACKROCK EQUITY PLUS	WELLS FARGO MTG. BACKED SEC. (1 OF 4)	FILED
12/30/2004	1/29/2009	SUR13	BLACKROCK CORE PLUS	WELLS FARGO MTG. BACKED SEC. (1 OF 4)	FILED
12/30/2004	1/29/2009	SUR21	PIMCO TOTAL RETURN	WELLS FARGO MTG. BACKED SEC. (1 OF 4)	FILED
12/30/2004	1/29/2009	SUR27	PIMCO STOCKSPLUS	WELLS FARGO MTG. BACKED SEC. (1 OF 4)	FILED
12/30/2004	1/29/2009	2207289	TCW METWEST	WELLS FARGO MTG. BACKED SEC. (1 OF 4)	FILED
12/30/2004	1/29/2009	2242457	BLACKROCK ENHANCED	WELLS FARGO MTG. BACKED SEC. (1 OF 4)	FILED
12/30/2004	3/27/2009	SUR11	BLACKROCK EQUITY PLUS	WELLS FARGO MTG. BACKED SEC. (2 OF 4)	FILED
12/30/2004	3/27/2009	SUR13	BLACKROCK CORE PLUS	WELLS FARGO MTG. BACKED SEC. (2 OF 4)	FILED
12/30/2004	3/27/2009	SUR21	PIMCO TOTAL RETURN	WELLS FARGO MTG. BACKED SEC. (2 OF 4)	FILED
12/30/2004	3/27/2009	SUR27	PIMCO STOCKSPLUS	WELLS FARGO MTG. BACKED SEC. (2 OF 4)	FILED
12/30/2004	3/27/2009	2207289	TCW METWEST	WELLS FARGO MTG. BACKED SEC. (2 OF 4)	FILED
12/30/2004	3/27/2009	2242457	BLACKROCK ENHANCED	WELLS FARGO MTG. BACKED SEC. (2 OF 4)	FILED
12/30/2004	4/13/2009	SUR11	BLACKROCK EQUITY PLUS	WELLS FARGO MTG. BACKED SEC. (3 OF 4)	FILED
12/30/2004	4/13/2009	SUR13	BLACKROCK CORE PLUS	WELLS FARGO MTG. BACKED SEC. (3 OF 4)	FILED
12/30/2004	4/13/2009	SUR21	PIMCO TOTAL RETURN	WELLS FARGO MTG. BACKED SEC. (3 OF 4)	FILED
12/30/2004	4/13/2009	SUR27	PIMCO STOCKSPLUS	WELLS FARGO MTG. BACKED SEC. (3 OF 4)	FILED
12/30/2004	4/13/2009	2207289	TCW METWEST	WELLS FARGO MTG. BACKED SEC. (3 OF 4)	FILED
12/30/2004	4/13/2009	2242457	BLACKROCK ENHANCED	WELLS FARGO MTG. BACKED SEC. (3 OF 4)	FILED
2/27/2014	6/15/2015	2255942	NORTHERN TRUST ASSET MGMT	WILLBROS GROUP, INC. (2014)	FILED
1/17/2008	1/28/2011	2218632	RHUMBLINE EQUITY	WILMINGTON TRUST CORP (D. DEL.)	DISBRNSG
1/17/2008	1/28/2011	2255942	NORTHERN TRUST ASSET MGMT	WILMINGTON TRUST CORP (D. DEL.)	DISBRNSG
1/17/2008	1/28/2011	2292747	T ROWE PRICE	WILMINGTON TRUST CORP (D. DEL.)	DISBRNSG
1/11/2008	7/31/2008	SUR15	WELLINGTON MGMT	WYETH	DISBRNSG
1/11/2008	7/31/2008	SUR14	CAPITAL GUARDIAN	WYETH	DISBRNSG
1/11/2008	7/31/2008	2202262	RASARA STRATEGIES EQUITY	WYETH	DISBRNSG
1/11/2008	7/31/2008	2211578	PROGRESS PALISADES INVESTMENT	WYETH	DISBRNSG
1/11/2008	7/31/2008	2218531	ZENNA FINANCIAL	WYETH	DISBRNSG
1/11/2008	7/31/2008	2218632	RHUMBLINE EQUITY	WYETH	DISBRNSG
1/11/2008	7/31/2008	2255942	NORTHERN TRUST ASSET MGMT	WYETH	DISBRNSG
1/11/2008	7/31/2008	2292746	PIEDMONT INVESTMENT ADVISORS	WYETH	DISBRNSG
1/11/2008	7/31/2008	2292747	T ROWE PRICE	WYETH	DISBRNSG

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STATE UNIVERSITIES RETIREMENT SYSTEM

**SCHEDULE OF PENDING CLASS ACTIONS**

As of September 30, 2019

<b>Class Period Start Date</b>	<b>Class Period End Date</b>	<b>Account Number</b>	<b>Account Name</b>	<b>Class Action Name</b>	<b>TNT Status*</b>
4/29/2013	3/14/2017	2211789	TRANSITION	YAHOO! INC. (2017)	FILED
4/29/2013	3/14/2017	2218632	RHUMBLINE EQUITY	YAHOO! INC. (2017)	FILED
4/29/2013	3/14/2017	2292747	T ROWE PRICE	YAHOO! INC. (2017)	FILED



## STATE UNIVERSITIES RETIREMENT SYSTEM

## SCHEDULE OF CLASS ACTION PROCEEDS RECEIVED

Fiscal Year 2020

Date of Distribution	Class Action Name	Account Name	Amount
7/12/2019	COMPUTER SCIENCES CORP (SEC FAIR FUND)	RHUMBLINE EQUITY	\$ 5,461
7/12/2019	COMPUTER SCIENCES CORP (SEC FAIR FUND)	NORTHERN TRUST ASSET MGMT	26811.59
7/12/2019	COMPUTER SCIENCES CORP (SEC FAIR FUND)	JACOBS LEVY EQUITY MGMT	3436.93
7/12/2019	COMPUTER SCIENCES CORP (SEC FAIR FUND)	T ROWE PRICE	13355.13
7/18/2019	AMGEN INC. (2007)	ZENNA FINANCIAL	110.62
7/18/2019	AMGEN INC. (2007)	RHUMBLINE EQUITY	12227.38
7/18/2019	AMGEN INC. (2007)	NORTHERN TRUST ASSET MGMT	711.72
7/19/2019	SYMBOL TECHNOLOGIES INC (2005)	ZENNA FINANCIAL	48.64
7/23/2019	FITBIT, INC. (N.D.CAL.)	RHUMBLINE EQUITY	738.79
7/23/2019	FITBIT, INC. (N.D.CAL.)	NORTHERN TRUST ASSET MGMT	1117.06
7/29/2019	CLOVIS ONCOLOGY, INC. (2015)	RHUMBLINE EQUITY	3154.06
7/29/2019	CLOVIS ONCOLOGY, INC. (2015)	NORTHERN TRUST ASSET MGMT	2909.33
8/12/2019	GALENA BIOPHARMA STOCKHOLDER SETTLEMENT	NORTHERN TRUST ASSET MGMT	16.05
8/13/2019	THE BANCORP INC	JACOBS LEVY EQUITY MGMT	1163.12
8/16/2019	OPUS BANK	LOMBARDIA CAPITAL PARTNERS	35015.47
8/16/2019	OPUS BANK	FIDUCIARY MANAGEMENT ASSOCIATES	25876.89
8/16/2019	OPUS BANK	NORTHERN TRUST ASSET MGMT	1441.19
8/22/2019	GALENA BIOPHARMA ONE DAY HOLDINGS	NORTHERN TRUST ASSET MGMT	24.32
8/27/2019	COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	BLACKROCK EQUITY PLUS	554.76
8/27/2019	COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	WESTERN ASSET MGMT	24.72
8/27/2019	COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	BLACKROCK CORE PLUS	126.5
8/27/2019	COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	TRANSITION	1246.39
8/27/2019	COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	PIMCO STOCKSPUS	399.66
8/27/2019	COUNTRYWIDE FNCL CORP (2010) MBS SETTLE	BLACKROCK ENHANCED	193.33
9/3/2019	GENERAL MOTORS COMPANY	PROGRESS FORTALEZA	6832.11
9/3/2019	GENERAL MOTORS COMPANY	RHUMBLINE EQUITY	797.4
9/3/2019	GENERAL MOTORS COMPANY	NORTHERN TRUST ASSET MGMT	25888.34
9/3/2019	GENERAL MOTORS COMPANY	PIEDMONT INVESTMENT ADVISORS	1693.48
9/3/2019	GENERAL MOTORS COMPANY	T ROWE PRICE	4303.41
9/4/2019	STRAIGHT PATH COMMUNICATIONS INC (2015)	NORTHERN TRUST ASSET MGMT	33.27
9/4/2019	TOWER GROUP INTL LTD. (2013)(TOWER DEFEN	PROGRESS STONERIDGE	44.76
9/4/2019	TOWER GROUP INTL LTD. (2013)(TOWER DEFEN	LOMBARDIA CAPITAL PARTNERS	272.04
9/4/2019	TOWER GROUP INTL LTD. (2013)(TOWER DEFEN	NORTHERN TRUST ASSET MGMT	35.1
9/5/2019	MAXWELL TECHNOLOGIES INC SEC FAIRFUND	PROGRESS AH LISANTI	366.62
9/10/2019	UTI WORLDWIDE INC.	NORTHERN TRUST ASSET MGMT	1973.17
9/11/2019	CVS CAREMARK CORP	ABERDEEN ASSET MGMT	40.87
9/18/2019	VITESSE SEMICONDUCTOR CORP.	NORTHERN TRUST ASSET MGMT	88.48
9/20/2019	NUVASIVE, INC	RHUMBLINE EQUITY	289.18
9/20/2019	NUVASIVE, INC	NORTHERN TRUST ASSET MGMT	1850.73
9/20/2019	LENDINGCLUB CORPORATION	NORTHERN TRUST ASSET MGMT	8345.05
9/24/2019	AAC HOLDINGS INC	CASTLEARK MGMT	44133.87
9/24/2019	THE MILLS CORP.	RREEF REIT	285.18
9/24/2019	COMPUTER SCIENCES CORP (SEC FAIR FUND)	NORTHERN TRUST ASSET MGMT	57.1
9/26/2019	IMPERVA INC	NORTHERN TRUST ASSET MGMT	1766.42
			<u>\$ 235,260.83</u>

Fiscal Year 2020	Class Action Proceeds Received	Fiscal Year to Date	235,260.83
Fiscal Year 2019	Class Action Proceeds Received		6,246,285.14
Fiscal Year 2018	Class Action Proceeds Received		1,099,379.70
Fiscal Year 2017	Class Action Proceeds Received		2,195,614.91
Fiscal Year 2016	Class Action Proceeds Received		2,378,326.97
Fiscal Year 2015	Class Action Proceeds Received		11,860,487.44
Fiscal Year 2014	Class Action Proceeds Received		18,813,194.15
Fiscal Year 2013	Class Action Proceeds Received		1,508,587.91
Fiscal Year 2012	Class Action Proceeds Received		492,901.53
Fiscal Year 2011	Class Action Proceeds Received		1,222,349.65
Fiscal Year 2010	Class Action Proceeds Received		1,537,784.27
Fiscal Year 2009	Class Action Proceeds Received		1,811,070.49
Fiscal Year 2008	Class Action Proceeds Received		7,653,043.59
Fiscal Year 2007	Class Action Proceeds Received		1,105,820.60
Fiscal Year 2006	Class Action Proceeds Received		4,533,991.96
Fiscal Year 2005	Class Action Proceeds Received		361,362.83
Fiscal Year 2004	Class Action Proceeds Received		292,349.50
Cumulative	Class Action Proceeds Received		<u>\$ 63,347,811.47</u>