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Lead Counsel for Plaintiffs

### UNITED STATES DISTRICT COURT DISTRICT OF NEW JERSEY

In re VALEANT PHARMACEUTICALS ) INTERNATIONAL, INC. SECURITIES )	Master No. 3:15-cv-07658-MAS-LHG
LITIGATION )	<u>CLASS ACTION</u>
	Judge Michael A. Shipp
This Document Relates To:	Magistrate Judge Lois H. Goodman
Case No. 3:15-cv-07658-MAS-LHG.	Special Master Hon. Dennis M. Cavanaugh, U.S.D.J. (Ret.)
)	SUPPLEMENTAL DECLARATION OF ROSS D. MURRAY REGARDING NOTICE DISSEMINATION, REQUESTS FOR EXCLUSION RECEIVED TO DATE, AND LIMITATIONS ON EXCHANGE-TRADED OPTIONS CLAIMS

- I, ROSS D. MURRAY, declare and state as follows:
- 1. Pursuant to this Court's January 23, 2020 Order Granting Preliminary Approval Pursuant to Fed. R. Civ. P. 23(e)(1) and Permitting Notice to the Class ("Preliminary Approval Order"), Gilardi & Co. LLC ("Gilardi") was appointed to supervise and administer the notice procedure as well as the processing of claims in connection with the proposed Settlement of the above-captioned litigation (the "Litigation"). I oversaw the notice services that Gilardi provided in accordance with the Preliminary Approval Order.
- 2. I submit this declaration as a supplement to my earlier declaration, the Declaration of Ross D. Murray Regarding Notice Dissemination, Publication, and Requests for Exclusion Received to Date, dated April 20, 2020 (the "Initial Mailing Declaration"). The following statements are based on my personal knowledge and information provided to me by other Gilardi employees and, if called to testify I could and would do so competently.

#### UPDATE ON DISSEMINATION OF THE CLAIM PACKAGE

- 3. As more fully detailed in the Initial Mailing Declaration, as of April 20, 2020, Gilardi had mailed 431,576 copies of the Notice of Pendency and Proposed Settlement of Class Action (the "Notice") and the Proof of Claim and Release form (the "Proof of Claim") (collectively, the "Claim Package") to potential Class Members and their nominees. *See* Initial Mailing Declaration, ¶11.
- 4. Since April 20, 2020, Gilardi has mailed an additional 46,728 copies of the Claim Package in response to additional requests from potential Class Members, brokers, and nominees and as a result of mail returned as undeliverable for which new addresses were identified and remailed to those new addresses. Therefore, as of May 19, 2020, Gilardi has mailed a total of 478,304 Claim Packages to potential Class Members and nominees.

#### REQUESTS FOR EXCLUSION RECEIVED TO DATE

- 5. Pursuant to the Preliminary Approval Order, the Notice informed potential Class Members that written requests for exclusion from the Class were to be mailed to *Valeant Securities Settlement*, c/o Gilardi & Co. LLC, EXCLUSIONS, 3301 Kerner Blvd., San Rafael, CA 94901, such that they are postmarked no later than May 6, 2020. As reported in the Initial Mailing Declaration, as of April 20, 2020, Gilardi had received 55 requests for exclusion from the Class at this mailing address. See Initial Mailing Declaration, ¶16.
- 6. Since the Initial Mailing Declaration was executed, and as of the date of this declaration, Gilardi has received 266 additional requests for exclusion. A list of all 311 exclusions received to date is attached hereto as Exhibit A. Certain of the requests for exclusion did not include any transaction information. Those requests are attached hereto as Exhibit B.

#### EXPERIENCE WITH SETTLEMENTS INVOLVING EXCHANGE-TRADED OPTIONS

7. The proposed Plan of Allocation in this matter states that no more than 5% of the Net Settlement Fund will be allocated to exchange-traded options on Valeant common stock. In our experience, this type of limitation or "cap" on payments to claims for exchange-traded options is typical. Further, in our experience, including for example in the six recent settlements administered by Gilardi and identified in the table below, the losses claimed pertaining to options typically do not meet the amount required to apply the cap. In the below settlements, which involved exchange-traded options and for which the Net Settlement Fund has been distributed, while exchange-traded options were capped at between 3% and 5% of the Net Settlement Fund, the recognized losses on the options claims did not reach an amount that required any limitation by the cap.

Case	Claims Filed	Claims Filing Deadline	Settlement Amount	Options Cap	Cap Hit
Construction Workers Pension Fund v. Genoptix, et al., No. 3:10-cv-02502-CAB-DHB (S.D. Cal.)	5,679	7/7/2014	\$7,700,000.00	3%	No
Garden City Employees Retirement System v. Psychiatric Solutions, et al., No. 3:09-cv-00882-WJH (M.D. Tenn.)	16,939	2/2/2015	\$65,000,000.00	3%	No
In re St. Jude Medical Medical, Inc. Securities Litigation, No. 0:10-cv-00851-SRN-TNL (D. Minn.)	69,657	6/24/2015	\$50,000,000.00	3%	No
Rameses Te Lomingkit v. Apollo Education Group, Inc., et al., No. CV-06-02674-PHX-DLR (D. Ariz.)	81,936	8/3/2015	\$13,125,000.00	3%	No
Marcus v. J.C. Penney Company, Inc., et al. No. 6:13-cv-00736-RWS-KNM (E.D. Tex.)	52,009	11/6/2017	\$97,500,000.00	5%	No
Shankar v. Imperva, et al. No. 4:14-cv-01680-PJH (N.D. Cal.)	5,256	1/22/2018	\$19,000,000.00	3%	No

I declare under penalty of perjury that the foregoing is true and correct and that this declaration was executed this 19th day of May, 2020, at San Rafael, California.

ROSS D. MURRAY

# **EXHIBIT A**

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VLS_EXCLODO21   Helene D. Luhrs   Not provided   Yes   No	VIC EVELOPORE		Not provided	Yes	The Direct Action Plaintiffs #7	No
VI.S. EXCLODUS   Wallant Investment Fund, IP   Not provided   Yes   No     VI.S. EXCLODUS   James Oliver Emerson   Not provided   Yes   No     VI.S. EXCLODUS   Ames Oliver Emerson   Not provided   Yes   No     VI.S. EXCLODUS   Ames Oliver Emerson   Not provided   Yes   No     VI.S. EXCLODUS   Not provided   Yes   No     VI.S. EXCLODUS   Oliver Emerson   Not provided   Yes   No     VI.S. EXCLODUS   Adam Palance   Not provided   Yes   No     VI.S. EXCLODUS   Alan Hakko   Not provided   Yes   No     VI.S. EXCLODUS   Alan Hakko   Not provided   Yes   No     VI.S. EXCLODUS   Sadarianth Kidambi   Not provided   Yes   No     VI.S. EXCLODUS   Sadarianth Kidambi   Not provided   Yes   No     VI.S. EXCLODUS   Ames   Not provided   Yes   No     VI.S. EXCLODUS   Sadarianth Kidambi   Not provided   Yes   No     VI.S. EXCLODUS   Sadarianth Kidambi   Not provided   Yes   No     VI.S. EXCLODUS   Oliver Emerson   Not provided   Yes   No     VI.S. EXCLODUS   Oliver Emerson   Not provided   Yes   No     VI.S. EXCLODUS   Not provided   Yes   No     VI.S. EXCLODUS   Not provided   Yes   No     VI.S. EXCLODUS   Ames   Not provided   Yes   No     VI.S. EXCLODUS   Prank Rossi   Not provided   Yes   No     VI.S. EX		Principal Funds, Inc. and Principal Variable Contracts Funds, Inc.				
VLS_EXCLODIST   Wallent Investment Fund, I.P   No provided   Ves   No   No   No   Ves   No   No   No   Ves   No   No   No   Ves   No   No   No   Ves   No   No   Ves   No   No   No   No   No   Ves   No   No   No   No   Ves   No   No   No   No   No   No   No   N	VLS_EXCL00011	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen	Not provided	Yes		No No
VLS_EXCLODIST   Wallent Investment Fund, I.P   No provided   Ves   No   No   No   Ves   No   No   No   Ves   No   No   No   Ves   No   No   No   Ves   No   No   Ves   No   No   No   No   No   Ves   No   No   No   No   Ves   No   No   No   No   No   No   No   N	VLS_EXCL00011 VLS_EXCL00012	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen	Not provided	Yes Yes		No No
VIS. EXCLODIS   James Oliver Emerson	VLS_EXCL00011 VLS_EXCL00012	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs	Not provided 3 Not provided	Yes Yes Yes		No No
VI.S. EXCLODOST   No.	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja	Not provided  3 Not provided Not provided	Yes Yes Yes Yes		No No No No
No.   No.	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00014	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP	Not provided  Not provided  Not provided  Not provided	Yes Yes Yes Yes Yes		No No No No
No.	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00014 VLS_EXCL00015	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson	Not provided  Not provided  Not provided  Not provided  Not provided  Not provided	Yes Yes Yes Yes Yes Yes		No No No No No
VIS_EXCL00012   Adam Palance	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00014 VLS_EXCL00015 VLS_EXCL00016	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda	Not provided	Yes Yes Yes Yes Yes Yes Yes		No No No No No No
No.	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00014 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin	Not provided  Not provided Not provided Not provided Not provided Not provided Not provided Not provided	Yes		No No No No No No No No
VI.S. EXCLOU022   Badrinath Kidambi   Not provided   Yes   No   No   No   No   No   No   No   N	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00014 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00018	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter	Not provided  Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided	Yes		No No No No No No No No
No.	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00014 VLS_EXCL00016 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00018 VLS_EXCL00019	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance	Not provided  Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided	Yes		No
NLS_EXCLO0024   Huaxin Li Not provided   Yes   Not provided   Yes   Not	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00018 VLS_EXCL00019 VLS_EXCL00020	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc.  Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko	Not provided  Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided	Yes		No N
No.	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00012 VLS_EXCL00014 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00020 VLS_EXCL00021	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz	Not provided	Yes		No N
Not provided Yes No	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00018 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00021 VLS_EXCL00021	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi	Not provided  Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided Not provided	Yes		No N
NS_EXCL00026 Davis C Hemingway Memorial Scholarship Foundation, Inc.  Not provided Yes Not Maskello Not Provided Yes Not Prov	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00014 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li	Not provided	Yes		No N
VLS_EXCL00027     Matthew Masiello     Not provided     Yes     No       VLS_EXCL00028     Jenish Patel     Not provided     Yes     No       VLS_EXCL00030     Frank Rossi     Not provided     Yes     No       VLS_EXCL00031     Harry Silverglide     Not provided     Yes     No       VLS_EXCL00032     Benjamin Stroh     Not provided     Yes     No       VLS_EXCL00033     A Line EDS, Inc.     No     No       VLS_EXCL00034     Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan     Not provided     Yes       VLS_EXCL00035     Seven Sussman     A Line EDS, Inc.     No       VLS_EXCL00036     Geoffrey Vlach     Not provided     Yes       VLS_EXCL00037     Jiakai Wang     Not provided     Yes       VLS_EXCL00038     Any Whited     Not provided     Yes       VLS_EXCL00039     Bahaa Aly     Not provided     Yes       VLS_EXCL00041     Philip Garland     Not provided     Yes       VLS_EXCL00042     Philip Garland     Not provided     Yes       VLS_EXCL00043     Finch Ozada     Not provided     Yes       VLS_EXCL00045     Philip Garland     Not provided     Yes       VLS_EXCL00045     Finch Ozada     Not provided     Yes <tr< td=""><td>VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00016 VLS_EXCL00018 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00023</td><td>Principal Funds, Inc. and Principal Variable Contracts Funds, Inc.  Alfred Coen  Helene D. Luhrs  Bharat Ahuja  Valiant Investment Fund, LP  James Oliver Emerson  Michael Ferweda  Ron Franklin  Jody Gronowetter  Adam Palance  Allan Hakko  Lance Heitz  Badarinath Kidambi  Huaxin Li  Robert Lieberman</td><td>Not provided  Not provided</td><td>Yes Yes Yes Yes Yes Yes Yes Yes Yes Yes</td><td></td><td>No No N</td></tr<>	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00016 VLS_EXCL00018 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00023	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc.  Alfred Coen  Helene D. Luhrs  Bharat Ahuja  Valiant Investment Fund, LP  James Oliver Emerson  Michael Ferweda  Ron Franklin  Jody Gronowetter  Adam Palance  Allan Hakko  Lance Heitz  Badarinath Kidambi  Huaxin Li  Robert Lieberman	Not provided	Yes		No N
VLS_EXCL00028     Jenish Patel     Not provided     Yes     No       VLS_EXCL00037     Frank Rossi     Not provided     Yes     No       VLS_EXCL00031     William J Spedding Jr     Not provided     Yes     No       VLS_EXCL00032     Benjamin Stroh     Not provided     Yes     No       VLS_EXCL00033     A Line EDS, Inc.     No tyrovided     Yes     No       VLS_EXCL00034     Joseph Susman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan     Not provided     Yes     No       VLS_EXCL00035     Steven Sussman     Not provided     Yes     No       VLS_EXCL00036     Geoffrey Vlach     Not provided     Yes     No       VLS_EXCL00037     Jiakai Wang     Not provided     Yes     No       VLS_EXCL00038     Any Whited     Not provided     Yes     No       VLS_EXCL00039     Bahaa Aly     Not provided     Yes     No       VLS_EXCL00041     Philip Garland     Not provided     Yes     No       VLS_EXCL00042     Princh Ozada     No     Not provided     Yes       VLS_EXCL00045     Polonial First State Investments Limited as Responsible Entity for Commonwealth Global Shares     Not provided     Yes	VLS_EXCL00011 VLS_EXCL00013 VLS_EXCL00013 VLS_EXCL00014 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00020 VLS_EXCL00021 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL000224 VLS_EXCL00024	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas	Not provided	Yes		No N
VLS_EXCL00028     Jenish Patel     Not provided     Yes     No       VLS_EXCL00037     Frank Rossi     Not provided     Yes     No       VLS_EXCL00031     William J Spedding Jr     Not provided     Yes     No       VLS_EXCL00032     Benjamin Stroh     Not provided     Yes     No       VLS_EXCL00033     A Line EDS, Inc.     No tyrovided     Yes     No       VLS_EXCL00034     Joseph Susman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan     Not provided     Yes     No       VLS_EXCL00035     Steven Sussman     Not provided     Yes     No       VLS_EXCL00036     Geoffrey Vlach     Not provided     Yes     No       VLS_EXCL00037     Jiakai Wang     Not provided     Yes     No       VLS_EXCL00038     Any Whited     Not provided     Yes     No       VLS_EXCL00039     Bahaa Aly     Not provided     Yes     No       VLS_EXCL00041     Philip Garland     Not provided     Yes     No       VLS_EXCL00042     Princh Ozada     No     Not provided     Yes       VLS_EXCL00045     Polonial First State Investments Limited as Responsible Entity for Commonwealth Global Shares     Not provided     Yes	VLS_EXCL00011 VLS_EXCL00013 VLS_EXCL00013 VLS_EXCL00014 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00020 VLS_EXCL00021 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL000224 VLS_EXCL00024	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas	Not provided  Not provided	Yes		No N
VLS_EXCL00029     Frank Rossi     Not provided     Yes     No       VLS_EXCL00031     Harry Silverglide     Not provided     Yes     No       VLS_EXCL00032     William J Spedding Jr     Not provided     Yes     No       VLS_EXCL00033     Benjamin Stroh     Not provided     Yes     No       VLS_EXCL00034     Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan     Not provided     Yes     No       VLS_EXCL00035     Seven Sussman     Not provided     Yes     No       VLS_EXCL00036     Geoffrey Vlach     Not provided     Yes     No       VLS_EXCL00037     Jiakai Wang     Not provided     Yes     No       VLS_EXCL00038     Any Whited     Not provided     Yes     No       VLS_EXCL00039     Bahaa Aly     Not provided     Yes     No       VLS_EXCL00040     Tina Davis     Not provided     Yes     No       VLS_EXCL00041     Philip Garland     Not provided     Yes     No       VLS_EXCL00042     Picinch Ozada     Not provided     Yes     No       VLS_EXCL00045     Picinch Ozada     Not provided     Yes     No       VLS_EXCL00045     Picinch Ozada     Not provided     Yes     No       VLS_EXCL00045     Picinch Ozada <td>VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00018 VLS_EXCL00019 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00024 VLS_EXCL00024 VLS_EXCL00025 VLS_EXCL00025</td> <td>Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc.</td> <td>Not provided  Not provided</td> <td>Yes Yes Yes Yes Yes Yes Yes Yes Yes Yes</td> <td></td> <td>No No N</td>	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00018 VLS_EXCL00019 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00024 VLS_EXCL00024 VLS_EXCL00025 VLS_EXCL00025	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc.	Not provided  Not provided	Yes		No N
VLS_EXCL00030     Harry Silverglide     Not provided     Yes     No       VLS_EXCL00031     William J Spedding Jr     Not provided     Yes     No       VLS_EXCL00032     Benjamin Stroh     Not provided     Yes     No       VLS_EXCL00033     A Line EDS, Inc.     Not provided     Yes     No       VLS_EXCL00034     Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan     Not provided     Yes     No       VLS_EXCL00035     Seven Sussman     No throvided     Yes     No       VLS_EXCL00036     Geoffrey Vlach     No throvided     Yes     No       VLS_EXCL00037     Jakai Wang     Not provided     Yes     No       VLS_EXCL00038     Any Whited     No throvided     Yes     No       VLS_EXCL00039     Bahaa Aly     No throvided     Yes     No       VLS_EXCL000401     Tina Davis     Not provided     Yes     No       VLS_EXCL00041     Philip Garland     Not provided     Yes     No       VLS_EXCL00042     Feinch Ozada     Not provided     Yes     No       VLS_EXCL00045     Pinch Ozada     Not provided     Yes     No       VLS_EXCL00046     Pinch Ozada     Not provided     Yes     No       VLS_EXCL00047     Pinch Ozada	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00021 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00024 VLS_EXCL00024 VLS_EXCL00026 VLS_EXCL00026	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello	Not provided	Yes		No N
VLS_EXCL00031     William J Spedding Jr     Not provided     Yes     No       VLS_EXCL00032     Benjamin Stroh     Not provided     Yes     No       VLS_EXCL00033     A Line EDS, Inc.     Not provided     Yes     No       VLS_EXCL00034     Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan     Not provided     Yes     No       VLS_EXCL00035     Steven Sussman     Sade office Vlach     Not provided     Yes     No       VLS_EXCL00036     Geoffrey Vlach     Not provided     Yes     No       VLS_EXCL00037     Jakai Wang     Not provided     Yes     No       VLS_EXCL00038     Amy Whited     Not provided     Yes     No       VLS_EXCL00039     Bahaa Aly     Not provided     Yes     No       VLS_EXCL00040     Tina Davis     Not provided     Yes     No       VLS_EXCL00041     Philip Garland     Not provided     Yes     No       VLS_EXCL00042     Erinch Ozada     Not provided     Yes     No       VLS_EXCL00045     Erinch Ozada     Not provided     Yes     No       VLS_EXCL00045     Erinch Ozada     Not provided     Yes     No	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00016 VLS_EXCL00018 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00020 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00024 VLS_EXCL00024 VLS_EXCL00025 VLS_EXCL00026 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel	Not provided  Not provided	Yes		No N
Nt EXCLODO32   Benjamin Stroh   Not provided   Yes	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00011 VLS_EXCL00020 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00024 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00026 VLS_EXCL00026 VLS_EXCL00026 VLS_EXCL00026 VLS_EXCL00026 VLS_EXCL00027 VLS_EXCL00028 VLS_EXCL00028	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi	Not provided  Not provided	Yes		No N
NLS_EXCL00033 A Line EDS, Inc.  Not provided Yes Not prov	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00023 VLS_EXCL00025 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00029 VLS_EXCL00029 VLS_EXCL00029	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide	Not provided  Not provided	Yes		No N
VLS_EXCL00034     Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan     Not provided     Yes     No       VLS_EXCL00035     Steven Sussman     Not provided     Yes     No       VLS_EXCL00036     Geoffrey Vlach     Not provided     Yes     No       VLS_EXCL00037     Jakai Wang     Not provided     Yes     No       VLS_EXCL00038     Amy Whited     Not provided     Yes     No       VLS_EXCL00039     Bahaa Aly     Not provided     Yes     No       VLS_EXCL00040     Tina Davis     Not provided     Yes     No       VLS_EXCL00041     Philip Garland     Not provided     Yes     No       VLS_EXCL00042     Erinch Ozada     Not provided     Yes     No       VLS_EXCL00045     Finch Ozada     Not provided     Yes     No       VLS_EXCL00046     Finch Ozada     Not provided     Yes     No       VLS_EXCL00047     Finch Ozada     Not provided <td>VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00020 VLS_EXCL00021 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00023 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00028 VLS_EXCL00028 VLS_EXCL00028 VLS_EXCL00030 VLS_EXCL00031</td> <td>Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silvergiide William J Spedding Jr</td> <td>Not provided  Not provided</td> <td>Yes Yes Yes Yes Yes Yes Yes Yes Yes Yes</td> <td></td> <td>No No N</td>	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00020 VLS_EXCL00021 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00023 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00028 VLS_EXCL00028 VLS_EXCL00028 VLS_EXCL00030 VLS_EXCL00031	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silvergiide William J Spedding Jr	Not provided  Not provided	Yes		No N
VLS_EXCL00035         Steven Sussman         Not provided         Yes         No           VLS_EXCL00036         Geoffrey Vlach         No provided         Yes         No           VLS_EXCL00037         Jakai Wang         Not provided         Yes         No           VLS_EXCL00038         Amy Whited         Not provided         Yes         No           VLS_EXCL00039         Bahaa Aly         Not provided         Yes         No           VLS_EXCL00040         Tina Davis         Not provided         Yes         No           VLS_EXCL00041         Philip Garland         Not provided         Yes         No           VLS_EXCL00042         Finch Ozada         Not provided         Yes         No           VLS_EXCL00043         Finch Ozada         Not provided         Yes         No           VLS_EXCL00043         Finch Ozada         Not provided         Yes         No           VLS_EXCL00042         Finch Ozada         Not provided         Yes         No           VLS_EXCL00043         Finch Ozada         Not provided         Yes         No	VLS_EXCL00011 VLS_EXCL00013 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00020 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00024 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00029 VLS_EXCL00029 VLS_EXCL00029 VLS_EXCL00029 VLS_EXCL00031 VLS_EXCL00031	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroh	Not provided  Not provided	Yes		No N
VLS_EXCL00036         Geoffrey Vlach         Not provided         Yes         No           VLS_EXCL00037         Jakai Wang         Not provided         Yes         No           VLS_EXCL00038         Any Whited         Not provided         Yes         No           VLS_EXCL00039         Bahaa Aly         Not provided         Yes         No           VLS_EXCL00040         Tina Davis         Not provided         Yes         No           VLS_EXCL00041         Philip Garland         Not provided         Yes         No           VLS_EXCL00042         Erinch Ozada         Not provided         Yes         No           VLS_EXCL00043         Erinch Ozada         Not provided         Yes         No           VLS_EXCL00043         Erinch Ozada         Not provided         Yes         No	VLS_EXCL00011 VLS_EXCL00013 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00018 VLS_EXCL00018 VLS_EXCL00012 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00024 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00026 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00028 VLS_EXCL00029 VLS_EXCL00029 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00033	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroh A Line EDS, Inc.	Not provided  Not provided	Yes		No N
VLS_EXCL00037         Jakai Wang         Not provided         Yes         No           VLS_EXCL00038         Any Whited         Not provided         Yes         No           VLS_EXCL00039         Bahaa Aly         Not provided         Yes         No           VLS_EXCL00040         Tina Davis         Not provided         Yes         No           VLS_EXCL00041         Philip Garland         Not provided         Yes         No           VLS_EXCL00042         Erinch Ozada         Not provided         Yes         No           VLS_EXCL00043         Erinch Ozada         Not provided         Yes         No           VLS_EXCL00045         Erinch Ozada         Not provided         Yes         No           Colonial First State Investments Limited as Responsible Entity for Commonwealth Global Shares         No         To         To	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00023 VLS_EXCL00025 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00031 VLS_EXCL00033 VLS_EXCL00033 VLS_EXCL00033	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroh A Line EDS, Inc. Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan	Not provided  Not provided	Yes		No N
VLS_EXCL00038         Amy Whited         Not provided         Yes         No           VLS_EXCL00049         Bahaa Aly         Not provided         Yes         No           VLS_EXCL00040         Tina Davis         Not provided         Yes         No           VLS_EXCL00041         Philip Garland         Not provided         Yes         No           VLS_EXCL00042         Erinch Ozada         Not provided         Yes         No           VLS_EXCL00041         Erinch Ozada         Not provided         Yes         No           VLS_EXCL00042         Erinch Ozada         Not provided         Yes         No           VLS_EXCL00042         Erinch Ozada         Not provided         Yes         No           VLS_EXCL00043         Erinch Ozada         Not provided         Yes         No	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00020 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00023 VLS_EXCL00025 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00028 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00032 VLS_EXCL00032 VLS_EXCL00032 VLS_EXCL00034 VLS_EXCL00034	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroh A Line EDS, Inc. Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan Steven Sussman	Not provided  Not provided	Yes		No N
VLS_EXCL00039         Bahaa Aly         Not provided         Yes         No           VLS_EXCL00040         Tina Davis         Not provided         Yes         No           VLS_EXCL00041         Philip Garland         Not provided         Yes         No           VLS_EXCL00042         Frinch Ozada         Not provided         Yes         No           VLS_EXCL00041         Frinch Ozada         Not provided         Yes         No           VLS_EXCL00042         Frinch Ozada         Not provided         Yes         No           VLS_EXCL00043         Frinch Ozada         No         No	VLS_EXCL00011 VLS_EXCL00013 VLS_EXCL00014 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00018 VLS_EXCL00019 VLS_EXCL00020 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00032 VLS_EXCL00033 VLS_EXCL00033 VLS_EXCL00033 VLS_EXCL00033 VLS_EXCL00033 VLS_EXCL00033 VLS_EXCL00035 VLS_EXCL00036	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroh A Line EDS, Inc. Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan Steven Sussman Geoffrey Vlach	Not provided  Not provided	Yes		No N
VLS_EXCL00040         Tina Davis         Not provided         Yes         No           VLS_EXCL00041         Philip Garland         Not provided         Yes         No           VLS_EXCL00042         Erinch Ozada         Not provided         Yes         No           VLS_EXCL00043         Erinch Ozada         Not provided         Yes         No           Colonial First State Investments Limited as Responsible Entity for Commonwealth Global Shares         Telephone         Yes         Telephone	VLS_EXCL00011 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00018 VLS_EXCL00019 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00024 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00027 VLS_EXCL00028 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00033 VLS_EXCL00034 VLS_EXCL00034 VLS_EXCL00036 VLS_EXCL00036 VLS_EXCL00036 VLS_EXCL00037	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroh A Line EDS, Inc. Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan Steven Sussman Geoffrey Vlach Jiakai Wang	Not provided  Not provided	Yes		No N
VLS_EXCL00041         Philip Garland         Not provided         Yes         No           VLS_EXCL00042         Erinch Ozada         Not provided         Yes         No           VLS_EXCL00043         Erinch Ozada         Not provided         Yes         No           Colonial First State Investments Limited as Responsible Entity for Commonwealth Global Shares         Colonial First State Investments Limited as Responsible Entity for Commonwealth Global Shares         To         To	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00023 VLS_EXCL00023 VLS_EXCL00027 VLS_EXCL00023 VLS_EXCL00029 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00033 VLS_EXCL00034 VLS_EXCL00035 VLS_EXCL00035 VLS_EXCL00037 VLS_EXCL00037 VLS_EXCL00037 VLS_EXCL00037 VLS_EXCL00037	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroh A Line EDS, Inc. Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan Steven Sussman Geoffrey Vlach Jakai Wang Amy Whited	Not provided  Not provided	Yes		No N
VLS_EXCL00042     Erinch Ozada     Not provided     Yes     No       VLS_EXCL00043     Erinch Ozada     Not provided     Yes     No       Colonial First State Investments Limited as Responsible Entity for Commonwealth Global Shares     Ves     Section Sec	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00023 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00028 VLS_EXCL00028 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00032 VLS_EXCL00032 VLS_EXCL00033 VLS_EXCL00033 VLS_EXCL00034 VLS_EXCL00036 VLS_EXCL00036 VLS_EXCL00036 VLS_EXCL00038 VLS_EXCL00038 VLS_EXCL00038 VLS_EXCL00038	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroh A Line EDS, Inc. Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan Steven Sussman Geoffrey Vlach Jiakai Wang Amy Whited Bahaa Aly	Not provided  Not provided	Yes		No N
VLS_EXCL00043	VLS_EXCL00011 VLS_EXCL00013 VLS_EXCL00014 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00018 VLS_EXCL00019 VLS_EXCL00020 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00026 VLS_EXCL00026 VLS_EXCL00027 VLS_EXCL00031	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin LI Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroth A Line EDS, Inc. Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan Steven Sussman Geoffrey Vlach Jiakai Wang Amy Whited Bahaa Aly Tina Davis	Not provided  Not provided	Yes		No N
VLS_EXCL00043 Erinch Ozada Not provided Yes No No Colonial First State Investments Limited as Responsible Entity for Commonwealth Global Shares State Investments Limited as Responsible Entity for Commonwealth Global Shares State Investments Limited as Responsible Entity for Commonwealth Global Shares State Investments Limited as Responsible Entity for Commonwealth Global Shares State Investments Limited as Responsible Entity for Commonwealth Global Shares State Investments Limited as Responsible Entity for Commonwealth Global Shares State Investments Limited as Responsible Entity for Commonwealth Global Shares State Investments Limited as Responsible Entity for Commonwealth Global Shares State Investments Limited as Responsible Entity for Commonwealth Global Shares State Investments Limited as Responsible Entity for Commonwealth Global Shares State Investments Limited as Responsible Entity for Commonwealth Global Shares State Investments Limited State Investments Li	VLS_EXCL00011 VLS_EXCL00013 VLS_EXCL00014 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00018 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00020 VLS_EXCL00021 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00026 VLS_EXCL00026 VLS_EXCL00026 VLS_EXCL00029 VLS_EXCL00029 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00033 VLS_EXCL00033 VLS_EXCL00034 VLS_EXCL00035 VLS_EXCL00037 VLS_EXCL00037 VLS_EXCL00037 VLS_EXCL00037 VLS_EXCL00037 VLS_EXCL00039	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin LI Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroth A Line EDS, Inc. Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan Steven Sussman Geoffrey Vlach Jiakai Wang Amy Whited Bahaa Aly Tina Davis	Not provided  Not provided	Yes		No N
Colonial First State Investments Limited as Responsible Entity for Commonwealth Global Shares	VLS_EXCL00011 VLS_EXCL00013 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00018 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00025 VLS_EXCL00027 VLS_EXCL00028 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00034 VLS_EXCL00034 VLS_EXCL00037 VLS_EXCL00037 VLS_EXCL00037 VLS_EXCL00038 VLS_EXCL00040 VLS_EXCL00041	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroh A Line EDS, Inc. Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan Steven Sussman Geoffrey Vlach Jiakai Wang Amy Whited Bahaa Aly Tina Davis Philip Garland	Not provided  Not provided	Yes		No N
	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00013 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00016 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00023 VLS_EXCL00025 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00029 VLS_EXCL00030 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00033 VLS_EXCL00033 VLS_EXCL00034 VLS_EXCL00035 VLS_EXCL00035 VLS_EXCL00037 VLS_EXCL00037 VLS_EXCL00039 VLS_EXCL00039 VLS_EXCL00039 VLS_EXCL00039 VLS_EXCL00041 VLS_EXCL00041 VLS_EXCL00041	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroh A Line EDS, Inc. Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan Steven Sussman Geoffrey Vlach Jlakai Wang Amy Whited Bahaa Aly Tina Davis Philip Garland Erinch Ozada	Not provided  Not provided	Yes		No N
	VLS_EXCL00011 VLS_EXCL00012 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00015 VLS_EXCL00017 VLS_EXCL00019 VLS_EXCL00019 VLS_EXCL00022 VLS_EXCL00022 VLS_EXCL00023 VLS_EXCL00023 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00027 VLS_EXCL00023 VLS_EXCL00027 VLS_EXCL00030 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00031 VLS_EXCL00033 VLS_EXCL00033 VLS_EXCL00033 VLS_EXCL00034 VLS_EXCL00035 VLS_EXCL00037 VLS_EXCL00037 VLS_EXCL00037 VLS_EXCL00039 VLS_EXCL00039 VLS_EXCL00039 VLS_EXCL00039 VLS_EXCL00039 VLS_EXCL00041 VLS_EXCL00041	Principal Funds, Inc. and Principal Variable Contracts Funds, Inc. Alfred Coen Helene D. Luhrs Bharat Ahuja Valiant Investment Fund, LP James Oliver Emerson Michael Ferweda Ron Franklin Jody Gronowetter Adam Palance Allan Hakko Lance Heitz Badarinath Kidambi Huaxin Li Robert Lieberman Sky Lucas Davis C Hemingway Memorial Scholarship Foundation, Inc. Matthew Masiello Jenish Patel Frank Rossi Harry Silverglide William J Spedding Jr Benjamin Stroh A Line EDS, Inc. Joseph Sussman as Administrator of Sussman Sales Co. Inc. Profit Sharing Plan Steven Sussman Geoffrey Vlach Jiakai Wang Amy Whited Bahaa Aly Tina Davis Philip Garland Erinch Ozada Erinch Ozada Erinch Ozada	Not provided  Not provided	Yes		No N

### Case 3:15-cv-07658-MAS-LHG Document 559-5 Filed 05/20/20 Page 3 of 6 PageID: 16769

Second   Part			I.e		I	
March   Marc			Securities			
Section   Control for these two removement interface for they Commonwealth Special Proof   Section   Sec			1	L		L .
15,000,000   15,	number		(1/04/13 - 9/02/16)	Timely	Notes	Documentation
March   State   Stat						
March   Marc				Yes		
Margin   M						
March   Marc	_		Not provided	Yes		No
15, 10, 10, 10, 10, 10, 10, 10, 10, 10, 10			Not provided	Yes		
No.   Concession   Marchest Content Food   No.	VLS_EXCL00049	David Archibald	Not provided	Yes		No
Marging   Stood preferror Officers and July   Marging	VLS_EXCL00050	Patricia A. Hurd	Not provided	Yes		No
15, 10, 10, 10, 10, 10, 10, 10, 10, 10, 10	VLS_EXCL00051	Mal Finch	Not provided	Yes		No
No.	VLS_EXCL00052	Hound Partners Offshore Fund, LP	Not provided	Yes		No
Displacement   Process				Yes		No
March   Marc			Not provided			No
Margamental			<u> </u>			transaction list
No.   Processing   Company   March Continues						
March   Marc	_	·				
No.   Concessor   Development   Developmen						
March   Marc						
Magnetic   March   Security   March						
No.     Controlled     Part						
VILL DECEMBER   Married long Hander Fund, 117			9,027,483			
VILLE   DECOMES   Security   Long		-				
Year   Process						
VILL DICKLOOMS				Yes		transaction list
Name	VLS_EXCL00065	Maverick Fund, L.D.C.		Yes	see EXCL00061	transaction list
NELECTIONS   Married Selected Fund, LTD		·		Yes	see EXCL00061	transaction list
No.   Decision   No.   Section   No.   Secti		Maverick Fund USA, LTD		Yes	see EXCL00061	transaction list
March   December   December   March   December   Dece	VLS_EXCLOO068	Maverick Selected Fund, LTD		Yes	duplicate of VLS_EXCL00061	transaction list
No.   December   Vest   Depletative Found, 1.D.   Vest   Ve	VLS_EXCLOO069	Maverick Neutral Levered Fund, LTD		Yes	duplicate of VLS_EXCL00062	transaction list
No.	VLS_EXCL00070	Maverick Long Fund, LTD		Yes	duplicate of VLS_EXCL00063	transaction list
No.				Yes	-	transaction list
No.   Processing Pro				_	-	transaction list
Value   Control   Mourish Frend List, 170   Value						transaction list
No.   December   Dec	res_encecers				-	
No.   Process W. Farracción, Michael Información, (Actual Información, Michael Información (A. 1965))   No.   Processor (Both Información (Art. 1965))   No.   Processor (Both Información (A. 1965))   No.   Processor (Both Información (Both Info		·	FO			
No.   Post Control   Decovery Globel Content Mester Fund, List   18,623   Yes   18,620   Yes   Yes   18,620   Yes		·				
No. 3. DECOMOS   Discovery Global Frace Muster Fund, Ltd.   78,570   Yes   Transaction   NJ. DECOMOS   Discovery Global Department Mater Fund, Ltd.   78,570   Yes   Transaction   NJ. DECOMOS   Discovery Global Department Mater Fund, Ltd.   1,207,302   Yes   Transaction   NJ. DECOMOS   Discovery Global Department Mater Fund, Ltd.   1,207,302   Yes   Transaction   NJ. DECOMOS   Discovery Global Department Mater Fund, Ltd.   1,207,302   Yes   Transaction   NJ. DECOMOS   Discovery Global Department Mater Fund, Ltd.   1,207,302   Yes   Transaction   NJ. DECOMOS   Discovery Global Department Mater Fund, Ltd.   1,207,307   Yes   Transaction   NJ. DECOMOS   Discovery Global Department, Ltd.   1,207,307   Yes   Transaction   NJ. DECOMOS   Discovery Global Department, Ltd.   1,207,307   Yes   Transaction   NJ. DECOMOS   Discovery Global Department, Ltd.   1,207,307   Yes   Transaction   NJ. DECOMOS   Discovery Global Department, Ltd.   1,207,307   Yes   Transaction   NJ. DECOMOS   Discovery Global Department, Ltd.   1,207,307   Yes   Transaction   NJ. DECOMOS   Discovery Global Department   NJ. DECOMOS   Discovery						
N.S. D.C.C.C.C.C. Discovery Circled Department Master Fund, Ltd.  1. 26,70.00 Yes  Created Company Com						
N.S. DECORDO   Discovery Citional Disportunity Master Fund, Ltd.   1,267,102   Yes						
No.   Decisional   Forthman Partners   II.						
N.   Diction   Selemen Fartners   I.P.			1,267,102	Yes		transaction list
Maintain	VLS_EXCL00081	Brahman Partners II, L.P.	686,152	Yes		transaction list
VILD DECIDONS   Information   Prince	VLS_EXCL00082	Brahman Partners III, L.P.	5,308,413	Yes		transaction list
Mathematic   Mat	VLS_EXCL00083	Brahman Partners II Offshore, Ltd.	11,688,416	Yes		transaction list
VILL DELCOODS   Sembrare Partners V (LPP)   3,466,972   Ves   transaction   VILL DELCOODS   Sembrare Partners V (Capyman), Ltd.   2,256,660   Ves   transaction   VILL DELCOODS   Sembrare Partners V (Capyman), Ltd.   2,256,660   Ves   transaction   VILL DELCOODS   Sembrare Partners V (Capyman), Ltd.   2,256,660   Ves   transaction   VILL DELCOODS   Sembrare Partners V (Capyman), Ltd.   2,256,660   Ves   transaction   VILL DELCOODS   Sembrare Partners V (Capyman), Ltd.   2,256,660   Ves   transaction   VILL DELCOODS   Sembrare Partners V (Capyman), Ltd.   2,256,660   Ves   transaction   VILL DELCOODS   Ves   transaction   VILL DELCOOD	VLS_EXCL00084	Brahman Institutional Partners, L.P.	741,071	Yes		transaction list
VALUE DECENSION   International Processing   Value	VLS_EXCL00085	Brahman C.P.F. Partners, L.P.	1,097,047	Yes		transaction list
VILLE   Micro   1,200,000	VLS_EXCL00086	Brahman Partners IV, L.P.	3,646,472	Yes		transaction list
VILLE   Micro   1,200,000	VLS EXCLOO087	Brahman Partners IV (Cayman), Ltd.	2,588,170	Yes		transaction list
VLS_DECCIO0099   Javas Aspan Series						transaction list
Main Sapen Series						
VAS_EXCLOODES   Annex Departer Fund   96,842,957 ves   vansaction   Vas_EXCLOODES   Vas_EXCL						
VAS_EXCLOODS2   manus Investment Fund		·				
VAS_PXCL00094   Annua Capital Group Inc.						
VAS_DEX.00094   MSD Torchight Farmers, LP,   1,117,930   Ves   transaction   VAS_DEX.00095   Vas   transaction   VAS_DEX.00096   Ves   transaction   VAS_DEX.00096   Ves   transaction   VAS_DEX.00097   Ves   transaction   VAS_DEX.00097   Ves   transaction   VAS_DEX.00097   Ves   transaction   VAS_DEX.00097   Ves   transaction   VAS_DEX.00098   Ves   t						
VAS_DEX.CL00095   USD Tarchight Fartners (MM)L, P.   108,978   Ves   transaction   VAS_DEX.CL00097   USD (Incline Global Els LP   3,4390   Ves   transaction   VAS_DEX.CL00098   Use Mourtain Credit Alternatives Master Fund L. P.   15,225,227   Ves   transaction   VAS_DEX.CL00098   Use Mourtain Credit Alternatives Master Fund L. P.   15,252,227   Ves   transaction   VAS_DEX.CL00099   Use Mourtain Foinsew Master Fund L. P.   15,252,227   Ves   transaction   VAS_DEX.CL001010   Use Mourtain Foinsew Master Fund L. P.   15,859,237   Ves   transaction   VAS_DEX.CL001010   Use Mourtain Editing Horse Fund L. P.   5,857,411   Ves   transaction   VAS_DEX.CL001010   Use Mourtain Long/Short Equity Master Fund L. P.   9,982,431   Ves   transaction   VAS_DEX.CL001010   Use Mourtain Long/Short Equity Master Fund L. P.   9,982,431   Ves   transaction   VAS_DEX.CL001010   Use Mountain Long/Short Equity Master Fund L. P.   9,982,431   Ves   transaction   VAS_DEX.CL001010   Use Mountain Transaction   VAS_DEX.CL001010   Use VAS_DEX.CL0010						
VLS_EXCL00095   Incline Global ESI LP						
VIS_DEX.00097   Incline Global Els UP						
VLS_EXCL00098   Blue-Mountain Credit Alternatives Master Fund L.P.   14,255,231 'vs   transaction   VLS_EXCL00090   Blue-Mountain Growner Master Fund L.P.   15,255,231 'vs   transaction   VLS_EXCL001010   Blue-Mountain Kicking Horse Fund L.P.   5,567,211   Vrs   transaction   VLS_EXCL001012   Blue-Mountain Kicking Horse Fund L.P.   5,567,211   Vrs   transaction   VLS_EXCL001013   Blue-Mountain Kicking Horse Fund L.P.   9,362,443   Vrs   transaction   VLS_EXCL001013   Blue-Mountain Logan Opportunities Master Fund L.P.   9,362,443   Vrs   transaction   VLS_EXCL001016   Blue-Mountain Logan Opportunities Master Fund L.P.   9,362,443   Vrs   transaction   VLS_EXCL001016   Blue-Mountain Interfere Ind.   8,393,837   Vrs   transaction   VLS_EXCL001016   Blue-Mountain Memberser Master Fund S.C.A.S.C.A.S.F.   24,550,001   Vrs   transaction   VLS_EXCL001016   Blue-Mountain Memberser Master Fund S.C.A.S.C.A.S.F.   24,550,001   Vrs   transaction   VLS_EXCL001016   Blue-Mountain Memberser Master Fund S.C.A.S.C.A.S.F.   24,550,001   Vrs   transaction   VLS_EXCL001016   Blue-Mountain Memberser Master Fund S.C.A.S.C.A.S.F.   24,550,001   Vrs   transaction   VLS_EXCL001016   Blue-Mountain Memberser Master Fund S.C.A.S.C.A.S.C.A.S.F.   24,550,001   Vrs   transaction   VLS_EXCL001016   Lawrence-Filinn, VLS_EXCL001016   LFR 2010 Opastry LLC_Series A (LFR 2012 DYNASTY LLC_A-SISC)   14,389   Vrs   transaction   VLS_EXCL001016   LFR 2010 Opastry LLC_Series A (LFR 2012 DYNASTY LLC_A-SISC)   14,389   Vrs   transaction   VLS_EXCL001016   LFR 2010 Opastry LLC_Series A (LFR 2012 DYNASTY LLC_A-SISC)   14,389   Vrs   transaction   VLS_EXCL001016   LFR 2010 Opastry LLC_Series A (LFR 2012 DYNASTY LLC_A-SISC)						
VLS_EXCL00019   BlueMountain Foliaven Master Fund L.P.   14,125,523   Yes   transaction   VLS_EXCL001010   BlueMountain Kitking Horse Fund L.P.   5,567,411   Yes   transaction   VLS_EXCL001012   BlueMountain Kitking Horse Fund L.P.   5,567,411   Yes   transaction   VLS_EXCL001012   BlueMountain Long Opportunities Master Fund L.P.   5,567,411   Yes   transaction   VLS_EXCL001013   BlueMountain Configure Fund L.P.   5,967,411   Yes   transaction   VLS_EXCL001014   BlueMountain Configure Master Fund L.P.   5,967,411   Yes   transaction   VLS_EXCL001015   BlueMountain Montenwers Master Fund S.C. SICAV-SIF   24,550,024   Yes   transaction   VLS_EXCL001016   BlueMountain Montenwers Master Fund S.C. SICAV-SIF   24,550,024   Yes   transaction   VLS_EXCL001016   Film Investments, LLC (FILLC-SINC)   15,354   Yes   transaction   VLS_EXCL001016   Film Investments, LLC (FILLC-SINC)   15,354   Yes   transaction   VLS_EXCL001016   Film Investments, LLC (FILLC-SINC)   15,354   Yes   transaction   VLS_EXCL001016   Lowrence Film, Jr. 1975 Trust FBO Adriane S. Film (ASF-SINC)   5,344   Yes   transaction   VLS_EXCL001010   Lowrence Film, Jr. 1975 Trust FBO Adriane S. Film (ASF-SINC)   5,344   Yes   transaction   VLS_EXCL001011   Lowrence Film, Jr. 1975 Trust FBO Adriane S. Film (ASF-SINC)   5,344   Yes   transaction   VLS_EXCL001011   Lowrence Film, Jr. 1975 Trust FBO Adriane S. Film (ASF-SINC)   5,344   Yes   transaction   VLS_EXCL001011   Lowrence Film, Jr. 1975 Trust FBO Adriane S. Film (ASF-SINC)   5,344   Yes   transaction   VLS_EXCL001011   Lowrence Film, Jr. 1975 Trust FBO Adriane S. Film (ASF-SINC)   5,344   Yes   transaction   VLS_EXCL001011   Lowrence Film, Jr. 1975 Trust FBO Adriane S. Film (ASF-SINC)   5,344   Yes   transaction   VLS_EXCL001011   Lowrence Film, Jr. 1975 Trust FBO Adriane S. Film (ASF-SINC)   5,344   Yes   transaction   VLS_EXCL001012   Lowrence Film, Jr. 1975 Trust FBO Adriane S. Film (ASF-SINC)   5,344   Yes   transaction   VLS_EXCL00114   LFR 2010 GART Remainder Trust (LFR 2010 CANTS VILL A-SINC)		Incline Global ELS LP	34,390	Yes		transaction list
VIS_EXCL00101   BlueMountain Kicking Horse Fund L P.   5,585,227   Yes   Transaction   VIS_EXCL00102   BlueMountain Kicking Horse Fund L P.   5,567,411   Yes   Transaction   VIS_EXCL00103   BlueMountain Logan Opportunities Master Fund L P.   9,367,411   Yes   Transaction   VIS_EXCL00103   BlueMountain Logan Opportunities Master Fund L P.   9,367,411   Yes   Transaction   VIS_EXCL00103   BlueMountain Logan Opportunities Master Fund L P.   9,367,401   Yes   Transaction   VIS_EXCL00104   BlueMountain Intentine Ltd.   9,367,317   Yes   Transaction   VIS_EXCL00105   BlueMountain Intentine Ltd.   8,393,337   Yes   Transaction   VIS_EXCL00105   BlueMountain Timberline Ltd.   8,393,337   Yes   Transaction   VIS_EXCL00106   Construction of the VIS_EXCL00106   BlueMountain Timberline Ltd.   6,900   Yes   Transaction   VIS_EXCL00107   Filina Investments, LLC (FILL-SNC)   131,300   Yes   Transaction   VIS_EXCL00107   Filina Investments, LLC (FILL-SNC)   131,300   Yes   Transaction   VIS_EXCL00109   Lawrence Filina, It. 1975 Trust FBO Adriane S. Filina (ASF-SNC)   5,844   Yes   Transaction   VIS_EXCL001010   Lawrence Filina, It. 1975 Trust FBO Adriane S. Filina (ASF-SNC)   5,844   Yes   Transaction   VIS_EXCL001011   Lawrence Filina, It. 1975 Trust FBO Adriane S. Filina (ASF-SNC)   5,844   Yes   Transaction   VIS_EXCL00111   Lawrence Filina, It. 1975 Trust FBO Adriane S. Filina (ASF-SNC)   5,844   Yes   Transaction   VIS_EXCL00111   Lawrence Filina, It. 1975 Trust FBO Adriane S. Filina (ASF-SNC)   5,844   Yes   Transaction   VIS_EXCL00111   LiPR 2010 GART Remainder Trust (LIPR 2010-SNC)   5,844   Yes   Transaction   VIS_EXCL00111   LiPR 2010 GART Remainder Trust (LIPR 2010-SNC)   5,844   Yes   Transaction   VIS_EXCL00111   LiPR 2010 GART Remainder Trust (LIPR 2010-SNC)   5,844   Yes   Transaction   VIS_EXCL00111   LiPR 2010 GART Remainder Trust (LIPR 2010-SNC)   VIS_EXCL00111   LiPR 2010 GART Remainder Trust (LIPR 2010-SNC)   VIS_EXCL00111   VIS_EXCL00111   LiPR 2010 GART Remainder Trust (LIPR 2010-SNC)   VIS_EXCL00111	VLS_EXCL00098	Blue Mountain Credit Alternatives Master Fund L.P.	169,224,972	Yes		transaction list
VLS_EXCLODIO	VLS_EXCL00099	BlueMountain Foinaven Master Fund L.P.	14,125,523	Yes		transaction list
VIS. EXCLODID	VLS_EXCL00100	BlueMountain Guadalupe Peak Fund L.P.	5,859,237	Yes		transaction list
VLS_EXCLODIAN	VLS_EXCL00101	BlueMountain Kicking Horse Fund L.P.	5,567,411	Yes		transaction list
VLS_EXCLODIAN						transaction list
VIS. EXCLODID						transaction list
VIS. EXCLODIOS   BlueMountain Timberline Ltd.						transaction list
VIS. EXCLODIOF   Filin Investments, LLC (FILLC-US)   11,354   Ves   transaction   VIS. EXCLODIOF   Filin Investments, LLC (FILLC-US)   131,200   Ves   transaction   VIS. EXCLODIOF   Lawrence Filin, Jr. 1975 Trust F8O Adriane S. Filin (ASF-NIC)   5,844   Ves   transaction   VIS. EXCLODIOF   Lawrence Filin, Jr. 1975 Trust F8O Adriane S. Filin (ASF-NIC)   5,844   Ves   transaction   VIS. EXCLODIOF   Lawrence Filin, Jr. 1975 Trust F8O Adriane S. Filin (ASF-NIC)   5,844   Ves   transaction   VIS. EXCLODIOF   Lawrence Filin, Jr. 1975 Trust F8O Lawrence Filin III (LFIII-USS)   3,400   Ves   transaction   VIS. EXCLODIOF   Lawrence Filin, Jr. 1975 Trust F8O Lawrence Filin III (LFIII-USS)   3,400   Ves   transaction   VIS. EXCLODIOF   Lawrence Filin, Jr. 1975 Trust F8O Lawrence Filin III (LFIII-USS)   3,400   Ves   transaction   VIS. EXCLODIOF   LFIR 2010 GRAT Remainder Trust (LFIR 2010-UNC)   13,937   Ves   transaction   VIS. EXCLODIOF   LFIR 2010 GRAT Remainder Trust (LFIR 2010-UNC)   14,389   Ves   transaction   VIS. EXCLODIOF   LFIR 2012 Dynasty LIC. Series A (LFIR 2012 DYNASTY LIC A-UNS)   11,100   Ves   transaction   VIS. EXCLODIOF   LFIR 2012 Dynasty LIC. Series A (LFIR 2012 DYNASTY LIC A-UNS)   11,100   Ves   transaction   VIS. EXCLODIOF   LAWRENCE FILIN Jr. 1975 Trust F8O Marion Filin Moutton (MFM-SNC)   5,844   Ves   transaction   VIS. EXCLODIOF   LAWRENCE FILIN Jr. 1975 Trust F8O Marion Filin Moutton (MFM-SNC)   5,844   Ves   transaction   VIS. EXCLODIOF   Sephanie S. Filin Master Partnership (SSFMP-SNC)   5,844   Ves   transaction   VIS. EXCLODIOF   Sephanie S. Filin Master Partnership (SSFMP-SNC)   5,844   Ves   transaction   VIS. EXCLODIOF   Sephanie S. Filin Master Partnership (SSFMP-SNC)   5,844   Ves   transaction   VIS. EXCLODIOF   Sephanie S. Filin Master Partnership (SSFMP-SNC)   5,844   Ves   transaction   VIS. EXCLODIOF   Sephanie S. Filin Master Partnership (SSFMP-SNC)   5,844   Ves   transaction   VIS. EXCLODIOF   Sephanie S. Filin Master Partnership (SSFMP-SNC)   5,844   Ves   transaction   VIS						transaction list
VLS_EXCLODION   Filan Investments, LLC (FILLC-SNC)   151,354   Ves   transaction   VLS_EXCLODION   Lawrence Filinn, Jr. 1975 Trust FBO Adriane S. Filinn (ASF-SNC)   5,844   Ves   transaction   VLS_EXCLODION   Lawrence Filinn, Jr. 1975 Trust FBO Adriane S. Filinn (ASF-SNC)   5,844   Ves   transaction   VLS_EXCLODION   Lawrence Filinn, Jr. 1975 Trust FBO Lawrence Filinn III (FIII-SNC)   5,844   Ves   transaction   VLS_EXCLODION   Lawrence Filinn, Jr. 1975 Trust FBO Lawrence Filinn III (FIII-SNC)   5,844   Ves   transaction   VLS_EXCLODION   Lawrence Filinn, Jr. 1975 Trust FBO Lawrence Filinn III (FIII-SNC)   5,844   Ves   transaction   VLS_EXCLODION   Ves   transaction   VLS_EXCLODION   Ves   transaction   VLS_EXCLODION   VL						
VIS_EXCLOSION   Film Investments, LIC_(FILIC-UBS)   131,200   Ves   transaction   VIS_EXCLOSION   Lawrence Film, Jr. 1975 Trust FBO Adriane S. Film (ASF-SNC)   3,400   Ves   transaction   VIS_EXCLOSION   Lawrence Film, Jr. 1975 Trust FBO Adriane S. Film (ASF-UBS)   3,400   Ves   transaction   VIS_EXCLOSION   Lawrence Film, Jr. 1975 Trust FBO Adriane S. Film (ASF-UBS)   3,400   Ves   transaction   VIS_EXCLOSION   Lawrence Film, Jr. 1975 Trust FBO Lawrence Film III (FIII-UBS)   3,400   Ves   transaction   VIS_EXCLOSION   Lawrence Film, Jr. 1975 Trust FBO Lawrence Film III (FIII-UBS)   3,400   Ves   transaction   VIS_EXCLOSION   VI	_					
NLS_EXCLODIO    Lawrence Flinn, Jr. 1975 Trust FBO Adriane S. Flinn (ASF-SNC)   3,400   Yes   transaction   VLS_EXCLODIO   Lawrence Flinn, Jr. 1975 Trust FBO Adriane S. Flinn (ASP-UBS)   3,400   Yes   transaction   VLS_EXCLODIO   Lawrence Flinn, Jr. 1975 Trust FBO Lawrence Flinn III (FIII-UBS)   5,844   Yes   transaction   VLS_EXCLODIO   Lawrence Flinn, Jr. 1975 Trust FBO Lawrence Flinn III (FIII-UBS)   3,400   Yes   transaction   VLS_EXCLODIO   Lawrence Flinn, Jr. 1975 Trust FBO Lawrence Flinn III (FIII-UBS)   30,979   Yes   transaction   VLS_EXCLODIO   LFIR 2010 GRAT Remainder Trust (LFIR 2010-UBS)   20,300   Yes   transaction   VLS_EXCLODIO   LFIR 2010 GRAT Remainder Trust (LFIR 2010-UBS)   20,300   Yes   transaction   VLS_EXCLODIO   LFIR 2010 GRAT Remainder Trust (LFIR 2010-UBS)   14,389   Yes   transaction   VLS_EXCLODIO   LFIR 2012 Dynasty LLC - Series A (LFIR 2012 DYNASTY LLC A-SNC)   14,389   Yes   transaction   VLS_EXCLODIO   LFIR 2012 Dynasty LLC - Series A (LFIR 2012 DYNASTY LLC A-UBS)   11,100   Yes   transaction   VLS_EXCLODIO   Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-SNC)   5,844   Yes   transaction   VLS_EXCLODIO   Stephanie S. Flinn Master Partnership (SFMP-SNC)   5,844   Yes   transaction   VLS_EXCLODIO   Stephanie S. Flinn Master Partnership (SFMP-SNC)   5,844   Yes   transaction   VLS_EXCLODIO   Stephanie S. Flinn Master Partnership (SFMP-SNC)   5,844   Yes   transaction   VLS_EXCLODIO   Stephanie S. Flinn Master Partnership (SFMP-SNC)   5,844   Yes   transaction   VLS_EXCLODIO   Stephanie S. Flinn Master Partnership (SFMP-UBS)   5,800   Yes   transaction   VLS_EXCLODIO   Stephanie S. Flinn Master Partnership (SFMP-UBS)   5,800   Yes   transaction   VLS_EXCLODIO   Stephanie S. Flinn Master Partnership (SFMP-UBS)   5,800   Yes   transaction   VLS_EXCLODIO   Stephanie S. Flinn Master Partnership (SFMP-UBS)   5,800   Yes   transaction   VLS_EXCLODIO   Stephanie S. Flinn Master Partnership (SFMP-UBS)   Stephanie S. Flinn Master Partnership (SFMP-UBS)   Stephanie S. Flinn Ma						
NLS_EXCLOSITIO   Lawrence Flinn, Jr. 1975 Trust FBO Adriane S. Flinn (ASP-UBS)   3,400   Yes   transaction   VLS_EXCLOSITIA   Lawrence Flinn, Jr. 1975 Trust FBO Lawrence Flinn III (LFIII-NC)   5,844   Yes   transaction   VLS_EXCLOSITIA   Lawrence Flinn, Jr. 1975 Trust FBO Lawrence Flinn III (LFIII-NC)   3,400   Yes   transaction   VLS_EXCLOSITIA   Lawrence Flinn, Jr. 1975 Trust FBO Lawrence Flinn III (LFIII-NC)   3,400   Yes   transaction   VLS_EXCLOSITIA   LFR 2010 GRAT Remainder Trust (LFIR 2010-SNC)   20,300   Yes   transaction   VLS_EXCLOSITIA   LFR 2010 GRAT Remainder Trust (LFIR 2010-SNC)   14,389   Yes   transaction   VLS_EXCLOSITIA   LFR 2012 Dynasty LLC - Series A (LFIR 2012 DYNASTY LLC A-UBS)   11,100   Yes   transaction   VLS_EXCLOSITIA   Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-SNC)   5,844   Yes   transaction   VLS_EXCLOSITIA   Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-UBS)   3,400   Yes   transaction   VLS_EXCLOSITIA   Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-UBS)   3,400   Yes   transaction   VLS_EXCLOSITIA   Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-UBS)   3,400   Yes   transaction   VLS_EXCLOSITIA   Stephanie S. Flinn Master Partnership (SFMP-UBS)   1,944   Yes   transaction   VLS_EXCLOSITIA   Stephanie S. Flinn Master Partnership (SFMP-UBS)   5,500   Yes   transaction   VLS_EXCLOSITIA   Stephanie S. Flinn Master Partnership (SFMP-UBS)   5,500   Yes   transaction   VLS_EXCLOSITIA   Stephanie S. Flinn Master Partnership (SFMP-UBS)   5,500   Yes   transaction   VLS_EXCLOSITIA   Stephanie S. Flinn Master Partnership (SFMP-UBS)   5,500   Yes   transaction   VLS_EXCLOSITIA   Stephanie S. Flinn Master Partnership (SFMP-UBS)   5,500   Yes   transaction   VLS_EXCLOSITIA   Stephanie S. Flinn Master Partnership (SFMP-UBS)   5,500   Yes   transaction   VLS_EXCLOSITIA   Stephanie S. Flinn Master Partnership (SFMP-UBS)   5,500   Yes   transaction   VLS_EXCLOSITIA   Stephanie S. Flinn Master Partnership (SFMP-UBS)   5,500   Yes		, , ,				
NLS_EXCLODI11   Lawrence Flinn, Jr. 1975 Trust FBO Lawrence Flinn III (LFII-SNC)   3,400   Yes   transaction I						
VI.S. EXCLODI12   Lawrence Flinn, Jr. 1975 Trust FBO Lawrence Flinn III (LFIII-UBS)   3,400   Yes   transaction I   VI.S. EXCLODI13   LFIR 2010 GRAT Remainder Trust (LFIR 2010-UBS)   20,300   Yes   transaction I   VI.S. EXCLODI15   LFIR 2012 Dynasty LLC- Series A (LFIR 2012 DYNASTY LLC A-SNC)   14,389   Yes   transaction I   VI.S. EXCLODI16   LFIR 2012 Dynasty LLC- Series A (LFIR 2012 DYNASTY LLC A-UBS)   11,100   Yes   transaction I   VI.S. EXCLODI17   Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-SNC)   5,844   Yes   transaction I   VI.S. EXCLODI18   Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-UBS)   3,400   Yes   transaction I   VI.S. EXCLODI19   Stephanie and Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-UBS)   3,400   Yes   transaction I   VI.S. EXCLODI19   Stephanie S. Flinn Master Partnership (SSFMP-SNC)   5,844   Yes   transaction I   VI.S. EXCLODI20   Stephanie S. Flinn Master Partnership (SSFMP-SNC)   5,844   Yes   transaction I   VI.S. EXCLODI21   Northwestern Mutual Series Fund, Inc.   199,715,000   Yes   transaction I   VI.S. EXCLODI22   Northwestern Mutual Life Insurance Co.   17,476,459   Yes   transaction I   VI.S. EXCLODI23   GMO Benchmark Free Fund   1,409,320   Yes   a series of GMO Trust   transaction I   VI.S. EXCLODI25   GMO Developed World Stock Fund   1,409,320   Yes   a series of GMO Trust   transaction I   VI.S. EXCLODI27   GMO Event-Driven Master Portfolio   181,562   Yes   a series of GMO Trust   transaction I   VI.S. EXCLODI28   GMO Global Equity Trust   transaction I   VI.S. EXCLODI29   GMO Implementation Fund   1,409,320   Yes   a series of GMO Trust   transaction I   VI.S. EXCLODI29   GMO Implementation Fund   1,409,320   Yes   a series of GMO Trust   transaction I   VI.S. EXCLODI29   GMO Implementation Fund   1,409,320   Yes   a series of GMO Trust   transaction I   VI.S. EXCLODI29   GMO Implementation Fund   1,409,320   Yes   a series of GMO Trust   transaction I   VI.S. EXCLODI29   GMO Implementation Fund   1,409,420   Yes   a s						
VIS_EXCLODI13   LFJR 2010 GRAT Remainder Trust (LFJR 2010-SNC)   30,979   Ves   transaction   VIS_EXCLODI14   LFJR 2010 GRAT Remainder Trust (LFJR 2010-UBS)   20,300   Ves   transaction   VIS_EXCLODI15   LFJR 2012 Dynasty LLC - Series A (LFJR 2012 DYNASTY LLC A-SNC)   14,389   Ves   transaction   VIS_EXCLODI16   LFJR 2012 Dynasty LLC - Series A (LFJR 2012 DYNASTY LLC A-UBS)   11,100   Ves   transaction   VIS_EXCLODI17   Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-SNC)   5,844   Ves   transaction   VIS_EXCLODI18   Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-UBS)   3,400   Ves   transaction   VIS_EXCLODI19   Stephanie and Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-UBS)   3,400   Ves   transaction   VIS_EXCLODI20   Stephanie S. Flinn Master Partnership (SSFMP-SNC)   5,844   Ves   transaction   VIS_EXCLODI20   Stephanie S. Flinn Master Partnership (SSFMP-SNC)   5,844   Ves   transaction   VIS_EXCLODI20   Stephanie S. Flinn Master Partnership (SSFMP-SNC)   5,844   Ves   transaction   VIS_EXCLODI20   Northwestern Mutual Series Fund, Inc.   199,715,000   Ves   transaction   VIS_EXCLODI22   Northwestern Mutual Ide Insurance Co.   17,476,459   Ves   a series of GMO Trust   transaction   VIS_EXCLODI25   GMO Benchmark Free Fund   1,409,320   Ves   a series of GMO Trust   transaction   VIS_EXCLODI25   GMO Benchmark Free Fund   1,409,320   Ves   a series of GMO Trust   transaction   VIS_EXCLODI26   GMO Developed World Stock Fund   183,572   Ves   a series of GMO Trust   transaction   VIS_EXCLODI27   GMO Global Equity Trust   Transaction   VIS_EXCLODI28   GMO Global Equity Trust   Transaction   VIS_EXCLODI29   GMO Global Equity Fund   12,928   Ves   a series of GMO Trust   transaction   VIS_EXCLODI29   GMO Global Equity Fund   12,928   Ves   a series of GMO Trust   transaction   VIS_EXCLODI29   GMO International Equity Fund   183,572   Ves   a series of GMO Trust   transaction   VIS_EXCLODI29   GMO International Equity Fund   183,672   Ves   a series of GMO Master Portfol		, , ,			-	transaction list
VIS_EXCL00114   LFIR 2010 GRAT Remainder Trust (LFIR 2010-UBS)   20,300   Yes   transaction   VIS_EXCL00115   LFIR 2012 Dynasty LLC - Series A (LFIR 2012 DYNASTY LLC A-JUS)   11,300   Yes   transaction   VIS_EXCL00116   LFIR 2012 Dynasty LLC - Series A (LFIR 2012 DYNASTY LLC A-JUS)   11,100   Yes   transaction   VIS_EXCL00117   Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-SNC)   5,844   Yes   transaction   VIS_EXCL00118   Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-UBS)   3,400   Yes   transaction   VIS_EXCL00119   Stephanie S. Flinn Master Partnership (SSFMP-SNC)   5,844   Yes   transaction   VIS_EXCL00112   Stephanie S. Flinn Master Partnership (SSFMP-UBS)   5,300   Yes   transaction   VIS_EXCL00121   Stephanie S. Flinn Master Partnership (SSFMP-UBS)   5,300   Yes   transaction   VIS_EXCL00122   Stephanie S. Flinn Master Partnership (SSFMP-UBS)   199,715,000   Yes   transaction   VIS_EXCL00123   Northwestern Mutual Series Fund, Inc.   199,715,000   Yes   transaction   VIS_EXCL00123   Northwestern Mutual Itle Insurance Co.   17,476,459   Yes   series of GMO Trust   transaction   VIS_EXCL00123   GMO Alpha Only Fund   49,300   Yes   a series of GMO Trust   transaction   VIS_EXCL00125   GMO Benchmark Free Fund   1,409,320   Yes   a series of GMO Trust   transaction   VIS_EXCL00126   GMO Developed World Stock Fund   189,572   Yes   a series of GMO Trust   transaction   VIS_EXCL00127   GMO Event-Driven Master Portfolio   181,562   Yes   vis_EXCL00128   GMO Global Equity Trust   41,219   Yes   vis_EXCL00129   GMO Global Equity Trust   44,285,935   Yes   a series of GMO Trust   transaction   VIS_EXCL00130   GMO International Equity Fund   4,885,935   Yes   a series of GMO Trust   transaction   VIS_EXCL00130   GMO International Equity Fund   4,885,935   Yes   a series of GMO Trust   transaction   VIS_EXCL00131   GMO Master Portfolio   4,885,935   Yes   a series of GMO Trust   transaction   VIS_EXCL00132   GMO Master Portfolio   4,885,935   Yes   a series of GMO Trust   transaction						transaction list
VIS_EXCL00115   LFJR 2012 Dynasty LLC- Series A (LFJR 2012 DYNASTY LLC A-SNC)						transaction list
VLS_EXCL00116   LFIR 2012 Dynasty LLC- Series A (LFIR 2012 DYNASTY LLC A-UBS)   11,100   Ves   transaction			20,300	Yes		transaction list
VLS_EXCL00117 Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-SNC)  VLS_EXCL00118 Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-UBS)  3,400 Yes  VLS_EXCL00119 Stephanie and Lawrence Flinn, Jr. Charitable Trust  VLS_EXCL001120 Stephanie S. Flinn Master Partnership (SSFMP-SNC)  VLS_EXCL00121 Stephanie S. Flinn Master Partnership (SSFMP-SNC)  VLS_EXCL00122 Northwestern Mutual Series Fund, Inc.  VLS_EXCL00123 Northwestern Mutual Series Fund, Inc.  VLS_EXCL00124 GMO Alpha Only Fund  VLS_EXCL00125 GMO Benchmark Free Fund  VLS_EXCL00125 GMO Benchmark Free Fund  VLS_EXCL00126 GMO Developed World Stock Fund  VLS_EXCL00127 GMO Event-Driven Master Portfolio  VLS_EXCL00128 GMO Global Equity Trust  VLS_EXCL00129 GMO Global Equity Fund  VLS_EXCL00129 GMO Global Equity Fund  VLS_EXCL00129 GMO International Equity Fund  VLS_EXCL00130 GMO International Equity Fund  VLS_EXCL00130 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00131 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00131 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00133 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00134 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00135 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00136 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00137 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00138 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00139 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00130 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00130 GMO International Large/Mid Cap Equity Fund	VLS_EXCL00115	LFJR 2012 Dynasty LLC- Series A (LFJR 2012 DYNASTY LLC A-SNC)	14,389	Yes		transaction list
VLS_EXCL00117 Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-SNC)  VLS_EXCL00118 Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-UBS)  Stephanie and Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-UBS)  Stephanie S. Flinn Master Partnership (SSFMP-SNC)  Stephanie S. Flinn Master Partnership (SSFMP-SNC)  VLS_EXCL00120 Stephanie S. Flinn Master Partnership (SSFMP-UBS)  VLS_EXCL00121 Stephanie S. Flinn Master Partnership (SSFMP-UBS)  VLS_EXCL00122 Northwestern Mutual Series Fund, Inc.  VLS_EXCL00123 Northwestern Mutual Life Insurance Co.  VLS_EXCL00124 GM Alpha Only Fund  VLS_EXCL00125 GMO Benchmark Free Fund  VLS_EXCL00125 GMO Benchmark Free Fund  VLS_EXCL00126 GMO Developed World Stock Fund  VLS_EXCL00127 GMO Event-Driven Master Portfolio  VLS_EXCL00128 GMO Global Equity Trust  VLS_EXCL00129 GMO Global Equity Fund  VLS_EXCL00129 GMO Global Equity Fund  VLS_EXCL00129 GMO International Equity Fund  VLS_EXCL00130 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00130 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00131 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00132 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00133 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00134 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00135 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00136 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00137 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00138 GMO International Large/Mid Cap Equity Fund  VLS_EXCL00139 GMO Mean Reversion Fund (Onshore),	VLS_EXCL00116	LFJR 2012 Dynasty LLC- Series A (LFJR 2012 DYNASTY LLC A-UBS)	11,100	Yes		transaction list
VLS_EXCL00118 Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-UBS)  3,400 Yes transaction I VLS_EXCL00119 Stephanie and Lawrence Flinn, Jr. Charitable Trust  10,944 Yes transaction I VLS_EXCL00120 Stephanie S. Flinn Master Partnership (SSFMP-SNC)  5,844 Yes transaction I VLS_EXCL00121 Stephanie S. Flinn Master Partnership (SSFMP-UBS)  Northwestern Mutual Series Fund, Inc.  199,715,000 Yes transaction I VLS_EXCL00123 Northwestern Mutual Life Insurance Co.  17,476,459 Yes a series of GMO Trust transaction I VLS_EXCL00125 GMO Benchmark Free Fund  1,409,320 Yes a series of GMO Trust transaction I VLS_EXCL00126 GMO Event-Driven Master Portfolio  VLS_EXCL00127 GMO Event-Driven Master Portfolio  VLS_EXCL00128 GMO Global Equity Trust  VLS_EXCL00129 GMO Global Equity Allocation Investment Fund  VLS_EXCL00130 GMO International Equity Fund  VLS_EXCL00131 GMO Implementation Fund  VLS_EXCL00132 GMO Mean Reversion Fund (Onshore)  VLS_EXCL00133 GMO Mean Reversion Fund (Onshore)  VLS_EXCL00134 GMO Master Portfolios (Onshore),	VLS_EXCL00117	Lawrence Flinn, Jr. 1975 Trust FBO Marion Flinn Moulton (MFM-SNC)				transaction list
VI.S_EXCL00119   Stephanie and Lawrence Flinn, Jr. Charitable Trust   10,944   Yes   Stephanie S. Flinn Master Partnership (SSFMP-SNC)   5,844   Yes   Stephanie S. Flinn Master Partnership (SSFMP-SNC)   5,800   Yes   Stephanie S. Flinn Master Partnership (SSFMP-UBS)   5,300   Yes   Stephanie S. Flinn Master Partnership (SSFMP-UBS)   199,715,000   199,715,000   Yes   Stephanie S. Flinn Master Partnership (SSFMP-UBS)   199,715,000   Yes   Stephanie S. Flinn Master Partnership (SSFMP-UBS)   199,715,000   Yes   Stephanie S. Flinn Master Partnership (SSFMP-UBS)   199,715,000   Yes   Stephanie S. Flinn						transaction list
VLS_EXCL00120     Stephanie S. Flinn Master Partnership (SSFMP-SNC)     5,844     Yes     transaction I       VLS_EXCL00121     Stephanie S. Flinn Master Partnership (SSFMP-UBS)     5,300     Yes     Common Stephanie S. Flinn Master Partnership (SSFMP-UBS)     transaction I       VLS_EXCL00122     Northwestern Mutual Series Fund, Inc.     199,715,000     Yes     Common Stephanie S. Flinn Master Partnership (SSFMP-UBS)     transaction I       VLS_EXCL00123     Northwestern Mutual Series Fund, Inc.     17,476,459     Yes     series of GMO Trust     transaction I       VLS_EXCL00125     GMO Benchmark Free Fund     1,409,320     Yes     a series of GMO Trust     transaction I       VLS_EXCL00126     GMO Eveloped World Stock Fund     189,572     Yes     a series of GMO Trust     transaction I       VLS_EXCL00127     GMO Global Equity Trust     41,219     Yes     a series of GMO Trust     transaction I       VLS_EXCL00128     GMO Global Equity Allocation Investment Fund     112,928     Yes     a series of GMO Funds, PLC     transaction I       VLS_EXCL00130     GMO International Equity Fund     4,885,935     Yes     a series of GMO Trust     transaction I       VLS_EXCL00132     GMO International Large/Mid Cap Equity Fund     837,672     Yes     a series of GMO Trust     transaction I       VLS_EXCL00133     GMO Mean Reversion Fund (Onshore) </td <td></td> <td></td> <td></td> <td></td> <td></td> <td>transaction list</td>						transaction list
VI.S_EXCL00121   Stephanie S. Flinn Master Partnership (SSFMP-UBS)   5,300   Yes   Transaction I   VI.S_EXCL00122   Northwestern Mutual Series Fund, Inc.   199,715,000   Yes   Transaction I   VI.S_EXCL00123   Northwestern Mutual Life Insurance Co.   17,476,459   Yes   Transaction I   VI.S_EXCL00124   GMO Alpha Only Fund   49,300   Yes   a series of GMO Trust   transaction I   VI.S_EXCL00125   GMO Benchmark Free Fund   1,409,320   Yes   a series of GMO Trust   transaction I   VI.S_EXCL00126   GMO Developed World Stock Fund   189,572   Yes   a series of GMO Trust   transaction I   VI.S_EXCL00127   GMO Event-Driven Master Portfolio   181,562   Yes   transaction I   VI.S_EXCL00128   GMO Global Equity Trust   transaction I   VI.S_EXCL00129   GMO Global Equity Allocation Investment Fund   11,292   Yes   a sub-fund of GMO Funds, PLC   transaction I   VI.S_EXCL00130   GMO International Equity Fund   4,885,935   Yes   a series of GMO Trust   transaction I   VI.S_EXCL00131   GMO Implementation Fund   4,885,935   Yes   a series of GMO Trust   transaction I   VI.S_EXCL00132   GMO Implementation Fund   5,878,992   Yes   a series of GMO Trust   transaction I   VI.S_EXCL00133   GMO Implementation Fund   837,672   Yes   a series of GMO Trust   transaction I   VI.S_EXCL00133   GMO Implementation Fund   837,672   Yes   a series of GMO Trust   transaction I   VI.S_EXCL00133   GMO International Large/Mid Cap Equity Fund   837,672   Yes   a series of GMO Trust   transaction I   VI.S_EXCL00133   GMO International Large/Mid Cap Equity Fund   837,672   Yes   a series of GMO Master Portfolios (Onshore),		·				transaction list
Northwestern Mutual Series Fund, Inc.   199,715,000   Yes						transaction list
VLS_EXCL00123         Northwestern Mutual Life Insurance Co.         17,476,459         Yes         Example of MO Insurance Co.         transaction Insurance Co.         transaction Insurance Co.         17,476,459         Yes         a series of GMO Trust         transaction Insurance Co.           VLS_EXCL00124         GMO Benchmark Free Fund         1,409,320         Yes         a series of GMO Trust         transaction Insurance Co.           VLS_EXCL00125         GMO Beveloped World Stock Fund         188,572         Yes         a series of GMO Trust         transaction Insurance Co.           VLS_EXCL00127         GMO Event-Driven Master Portfolio         181,562         Yes         yes         transaction Insurance Co.           VLS_EXCL00128         GMO Global Equity Trust         41,219         Yes         a sub-fund of GMO Funds, PLC         transaction Insurance Co.           VLS_EXCL00129         GMO Global Equity Allocation Investment Fund         112,928         Yes         a sub-fund of GMO Funds, PLC         transaction Insurance Co.           VLS_EXCL00130         GMO International Equity Fund         4,885,935         Yes         a series of GMO Trust         transaction Insurance Co.           VLS_EXCL00131         GMO Implementation Fund         5,878,992         Yes         a series of GMO Trust         transaction Insurance Co.           VLS_EXCL00132         <						transaction list
VLS_EXCL00124 GMO Alpha Only Fund 49,300 Yes a series of GMO Trust transaction I VLS_EXCL00125 GMO Benchmark Free Fund 1,409,320 Yes a series of GMO Trust transaction I VLS_EXCL00126 GMO Developed World Stock Fund 189,572 Yes a series of GMO Trust transaction I VLS_EXCL00127 GMO Event-Driven Master Portfolio 181,562 Yes Transaction I VLS_EXCL00128 GMO Global Equity Trust 41,219 Yes CMO Global Equity Trust 41,219 Yes a sub-fund of GMO Funds, PLC transaction I VLS_EXCL00129 GMO Global Equity Allocation Investment Fund 112,928 Yes a sub-fund of GMO Funds, PLC transaction I VLS_EXCL00130 GMO International Equity Fund 4,885,935 Yes a series of GMO Trust transaction I VLS_EXCL00132 GMO International Equity Fund 5,878,992 Yes a series of GMO Trust transaction I VLS_EXCL00133 GMO International Large/Mid Cap Equity Fund 837,672 Yes a series of GMO Trust transaction I VLS_EXCL00133 GMO Mean Reversion Fund (Onshore) 96,456 Yes a series of GMO Master Portfolios (Onshore),						
VLS_EXCL00125 GMO Benchmark Free Fund 1,409,320 Yes a series of GMO Trust transaction I VLS_EXCL00126 GMO Developed World Stock Fund 189,572 Yes a series of GMO Trust transaction I VLS_EXCL00127 GMO Event-Driven Master Portfolio 118,562 Yes transaction I VLS_EXCL00128 GMO Global Equity Trust 141,219 Yes transaction I VLS_EXCL00129 GMO Global Equity Allocation Investment Fund 112,928 Yes a sub-fund of GMO Funds, PLC transaction I VLS_EXCL00130 GMO International Equity Fund 4,885,935 Yes a series of GMO Trust transaction I VLS_EXCL00131 GMO Implementation Fund 5,878,992 Yes a series of GMO Trust transaction I VLS_EXCL00132 GMO International Large/Mid Cap Equity Fund 837,672 Yes a series of GMO Trust transaction I VLS_EXCL00133 GMO Mean Reversion Fund (Onshore) 96,456 Yes a series of GMO Master Portfolios (Onshore),	_				a series of GMO Trust	
VLS_EXCL00126   GMO Developed World Stock Fund   189,572   Yes   a series of GMO Trust   transaction I   VLS_EXCL00127   GMO Event-Driven Master Portfolio   181,562   Yes   transaction I   VLS_EXCL00128   GMO Global Equity Trust   Transaction I   VLS_EXCL00129   GMO Global Equity Allocation Investment Fund   112,928   Yes   a sub-fund of GMO Funds, PLC   transaction I   VLS_EXCL00130   GMO International Equity Fund   4,885,935   Yes   a series of GMO Trust   transaction I   VLS_EXCL00131   GMO Implementation Fund   5,878,992   Yes   a series of GMO Trust   transaction I   VLS_EXCL00132   GMO International Large/Mid Cap Equity Fund   837,672   Yes   a series of GMO Trust   transaction I   VLS_EXCL00133   GMO Mean Reversion Fund (Onshore)   96,456   Yes   a series of GMO Master Portfolios (Onshore),						
VIS_EXCL00127 GMO Event-Driven Master Portfolio 181,562 Yes transaction I VIS_EXCL00128 GMO Global Equity Trust 41,219 Yes transaction I VIS_EXCL00129 GMO Global Equity Allocation Investment Fund 112,928 Yes a sub-fund of GMO Funds, PLC transaction I VIS_EXCL00130 GMO International Equity Fund 4,885,935 Yes a series of GMO Trust transaction I VIS_EXCL00131 GMO Implementation Fund 5,878,992 Yes a series of GMO Trust transaction I VIS_EXCL00132 GMO International Large/Mid Cap Equity Fund 837,672 Yes a series of GMO Trust transaction I VIS_EXCL00133 GMO Mean Reversion Fund (Onshore) 96,456 Yes a series of GMO Master Portfolios (Onshore),						transaction list
VLS_EXCL00128 GMO Global Equity Trust 41,219 Yes transaction I VLS_EXCL00129 GMO Global Equity Allocation Investment Fund 112,928 Yes a sub-fund of GMO Funds, PLC transaction I VLS_EXCL00130 GMO International Equity Fund 4,885,935 Yes a series of GMO Trust transaction I VLS_EXCL00131 GMO International Large/Mid Cap Equity Fund 5,878,992 Yes a series of GMO Trust transaction I VLS_EXCL00132 GMO International Large/Mid Cap Equity Fund 837,672 Yes a series of GMO Trust transaction I VLS_EXCL00133 GMO Mean Reversion Fund (Onshore) 96,456 Yes a series of GMO Master Portfolios (Onshore),					a series of GMO Trust	transaction list
VLS_EXCL00129 GMO Global Equity Allocation Investment Fund 112,928 Yes a sub-fund of GMO Funds, PLC transaction I VLS_EXCL00130 GMO International Equity Fund 4,885,935 Yes a series of GMO Trust transaction I VLS_EXCL00131 GMO International Large/Mid Cap Equity Fund 5,878,992 Yes a series of GMO Trust transaction I VLS_EXCL00132 GMO International Large/Mid Cap Equity Fund 837,672 Yes a series of GMO Trust transaction I VLS_EXCL00133 GMO Mean Reversion Fund (Onshore) 96,456 Yes a series of GMO Trust transaction I transaction I variable.			181,562	Yes		transaction list
VLS_EXCL00130 GMO International Equity Fund 4,885,935 Yes a series of GMO Trust transaction I VLS_EXCL00131 GMO Implementation Fund 5,878,992 Yes a series of GMO Trust transaction I VLS_EXCL00132 GMO International Large/Mid Cap Equity Fund 837,672 Yes a series of GMO Trust transaction I VLS_EXCL00133 GMO Mean Reversion Fund (Onshore) 96,456 Yes a series of GMO Trust transaction I transaction I variable.		GMO Global Equity Trust	41,219	Yes		transaction list
VLS_EXCL00131 GMO Implementation Fund 5,878,992 Yes a series of GMO Trust transaction I VLS_EXCL00132 GMO International Large/Mid Cap Equity Fund 837,672 Yes a series of GMO Trust transaction I VLS_EXCL00133 GMO Mean Reversion Fund (Onshore) 96,456 Yes a series of GMO Master Portfolios (Onshore), transaction I variables of GMO Master Portfolios (Onshore), a separate series of GMO Master Portfolios (Onshore), transaction I variables of GMO Master Portfolios (Onshore), a separate series of GMO Master Portfolios (Onshore), transaction I variables of GMO Master Portfolios (Onshore), a separate series of GMO Master Portfolios (Onshore), transaction I variables of	VLS_EXCL00129	GMO Global Equity Allocation Investment Fund	112,928	Yes	a sub-fund of GMO Funds, PLC	transaction list
VLS_EXCL00131 GMO Implementation Fund 5,878,992 Yes a series of GMO Trust transaction I VLS_EXCL00132 GMO International Large/Mid Cap Equity Fund 837,672 Yes a series of GMO Trust transaction I VLS_EXCL00133 GMO Mean Reversion Fund (Onshore) 96,456 Yes transaction I variable.	VLS_EXCL00130	GMO International Equity Fund	4,885,935	Yes	a series of GMO Trust	transaction list
VLS_EXCL00132 GMO International Large/Mid Cap Equity Fund 837,672 Yes a series of GMO Trust transaction I VLS_EXCL00133 GMO Mean Reversion Fund (Onshore) 96,456 Yes transaction I trans					a series of GMO Trust	transaction list
VLS_EXCL00133 GMO Mean Reversion Fund (Onshore) 96,456 Yes transaction I  VLS_EXCL00133 GMO Mean Reversion Fund (Onshore) 96,456 Yes transaction I  a separate series of GMO Master Portfolios (Onshore),	_				a series of GMO Trust	transaction list
a separate series of GMO Master Portfolios (Onshore),						transaction list
			55,.50		a separate series of GMO Master Portfolios (Onchora)	
TYPE CANADALITE INTO MERIT DEVELOE DURING FUNG	VIE EVOLUOUS	GMO Moon Poversion Special Solutions Fund	20.054	Vor	1	transaction the

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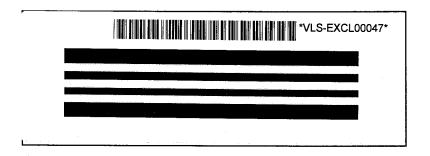
	T	Fisi		T	ı
Exclusion		Securities			
	N	Purchased in Class	T:	N-+	D
number VLS_EXCL00135	Name GMO Giobal Real Return (UCITS) Fund	(1/04/13 - 9/02/16) 1,595,684	Timely	Notes a sub-fund of GMO Funds, PLC	Documentation transaction list
VL3_EXCLUUI33	GINO Global Real Return (OCH3) Fund	1,333,004	ies	a sub-tutio of Givio Fullus, FEC	transaction list
VLS_EXCL00136	GMO Tax Managed Global Balanced Fund	46,575	Vec	now known as GMO Tax-Managed Benchmark-Free Fund	transaction list
	GMO Tax Managed International Equities Fund	157,300		a series of GMO Trust	transaction list
_	GMO World Equity Allocation Investment Fund			a sub-fund of GMO Funds, PLC	
_		277,294		a sub-lund of GiviO Funds, FLC	transaction list
_	Peter A.R. Sharman Rev Trust, Peter A.R. Sharman Trustee	Not provided	Yes		No
_	Tim Lao	Not provided	Yes		No
VLS_EXCL00141	Donna T. Sharman Rev Trust, Donna T. Sharman Trustee	Not provided	Yes		No
VLS_EXCL00142	Tsong-Toh Yang	Not provided	Yes		No
VLS_EXCL00143	James M. Templeton Rev Trust, James M. Templeton Trustee	Not provided	Yes		No
VLS_EXCL00144	Barry Bayne	Not provided	Yes		No
				specifically, its series: Asset Allocation: Diversified	
				Growth Portfolio (n/k/a SA Putnam Asset Allocation	
				Diversified Growth Portfolio); Diversified Fixed Income	
				Portfolio (n/k/a SA Multi-Managed Diversified Fixed	
				Income Portfolio); and Stock Portfolio (n/k/a/ SAT. Rowe	
VLS_EXCL00145	Seasons Series Trust	444,100	Yes	Price Growth Stock Portfolio)	transaction list
				specifically, its series: SunAmerica Flexible Credit Fund	
				(n/k/a/ AIG Flexible Credit Fund) and SunAmerica	
VLS_EXCL00146	SunAmerica Income Funds	8,609,000	Yes	Strategic Bond Fund (n/k/a/ AIG Strategic Bond Fund)	transaction list
		-,,		n/k/a SunAmerica Senior Floating Rate Fund, Inc. AIG	
VLS EXCLO0147	SunAmerica Senior Floating Rate Fund, Inc.	1,930,000	Ves	Senior Floating Rate Fund	transaction list
-25_EACE0014/		1,330,000	162		Tell Housecian
				specifically, its series: Balanced Portfolio (n/k/a SA JP	
				Morgan Diversified Balanced Portfolio); Corporate Bond	
				Portfolio (n/k/a SA Federated Hermes Corporate Bond	
				Portfolio); High-Yield Bond Portfolio (n/k/a SA PineBridge	
				High-Yield Bond Portfolio); Mid-Cap Growth Portfolio	
				(n/k/a SA JPMorgan Mid-Cap Growth Portfolio); SA	
				JPMorgan MFS Core Bond Portfolio; SA MFS	
				Massachusetts Investors Trust Portfolio; SA MFS Total	
				Return Portfolio; and SA T. Rowe Price VCP Balanced	
VLS_EXCL00148	SunAmerica Series Trust	30,953,027	Yes	Portfolio)	transaction list
_				specifically, its series: Asset Allocation Fund; Blue Chip	
				Growth Fund; Growth & Income Fund; Health Sciences	
VLS_EXCL00149	VALIC Company I	413,611	Yes	Fund; and International Growth Fund	transaction list
	The company :	125,022		specifically, its series: Core Bond Fund; High Yield Bond	
VLS EXCLO0150	VALIC Company II	25,704,000	Vac	Fund; and Strategic Bond Fund	transaction list
_	GIC Private Limited	3,351,901		rund, and strategic bond rund	transaction list
	Pacific Funds Series Trust and Pacific Selected Fund C/O Pacific Life Fund Advisors LLC				
VLS_EXCL00152		48,734,105			transaction list
VLS_EXCL00153	Stitching PGGM Depositary	118,496,250			transaction list
VLS_EXCL00154	Contra Costa County Employees' Retirement Association	6,363,556	Yes		transaction list
	Stichting Bedrijfstakpensioenfonds voor het Schilders - Afwerkings en Glaszetbedrijf C/O PGGM				
VLS_EXCL00155	Vermogensbeheer B.V.	6,977,000			transaction list
VLS_EXCL00156	USAA Mutual Funds Trust	712,479			transaction list
VLS_EXCL00157	Internationale Kapitalanlagegesellschaft mbH	831,630	Yes		transaction list
_		36,408,908	Yes		transaction list
VLS_EXCL00159	Massachusetts Pension Reserves Investment Management Board	25,962,643	Yes		transaction list
VLS_EXCL00160	Delaware Public Employees' Retirement System	468,120	Yes		transaction list
VLS_EXCL00161	The Boeing Company Employee Retirement Plans Master Trust	25,098,353	Yes		transaction list
VLS_EXCL00162	The Boeing Company Employee Savings Plans Master Trust	388,881	Yes		transaction list
VLS_EXCL00163	Public Employees' Retirement System of Mississippi	4,219,591	Yes		transaction list
VLS EXCLO0164	Employees' Retirement System of the State of the Hawaii	14,450,693	Yes		transaction list
	Prudential Insurance Company of America	13,274,000			transaction list
VLS_EXCL00166	Advanced Series Trust	98,781,114			transaction list
	Prudential Investment Portfolios 16	300,000			transaction list
· co_cocceo	Prudential Investment Portfolios 3				
		285,341			transaction list
	Prudential Investment Portfolios, Inc.	5,695			transaction list
VLS_EXCL00170	Prudential Investment Portfolios, Inc. 15	66,040,000			transaction list
VLS_EXCL00171	Prudential Investment Portfolios, Inc. 17	24,375,000			transaction list
VLS_EXCL00172	Prudential Jennison Blend Fund, Inc.	55,282			transaction list
VLS_EXCL00173	Prudential Jennison Mid-Cap Growth Fund, Inc.	175,088			transaction list
VLS_EXCL00174	Prudential Sector Funds, Inc.	298,944			transaction list
VLS_EXCL00175	Prudential Trust Company	21,958,000			transaction list
VLS_EXCL00176	Prudential Retirement Insurance and Annuity Company	29,614,477	Yes		transaction list
VLS_EXCL00177	The Prudential Series Fund	42,617,394	Yes		transaction list
VLS_EXCL00178	Prudential Legacy Insurance Company of New Jersey	14,400,000			transaction list
VLS_EXCL00179	The Target Portfolio Trust	12,490			transaction list
VLS_EXCL00180	Janus Aspen Series		Yes	duplicate of VLS_EXCL00090	transaction list
VLS_EXCL00181	Janus Capital Funds plc		Yes	duplicate of VLS_EXCL00091	transaction list
	Janus Investment Fund		Yes	duplicate of VLS_EXCL00092	transaction list
VLS EXCLODES	p		Yes	duplicate of VLS_EXCLOODS2	transaction list
	Janus Capital Group Inc.			duplicate of VLS_EXCLO0090	transaction list
VLS_EXCL00183	Janus Capital Group Inc. Janus Aspen Series		Vec	and in the Truction of the Tru	
VLS_EXCL00183 VLS_EXCL00184	Janus Aspen Series		Yes	duplicate of VLS_EXCLODES	transaction lies
VLS_EXCL00183 VLS_EXCL00184 VLS_EXCL00185	Janus Aspen Series Janus Capital Funds plc		Yes	duplicate of VLS_EXCL00091	transaction list
VLS_EXCL00183 VLS_EXCL00184 VLS_EXCL00185 VLS_EXCL00186	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund		Yes Yes	duplicate of VLS_EXCL00092	transaction list
VLS_EXCL00183 VLS_EXCL00184 VLS_EXCL00185 VLS_EXCL00186 VLS_EXCL00187	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc.		Yes Yes Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093	transaction list transaction list
VLS_EXCL00183 VLS_EXCL00184 VLS_EXCL00185 VLS_EXCL00186 VLS_EXCL00187 VLS_EXCL00188	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc. MSD Torchlight Partners, L.P.		Yes Yes Yes Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093 duplicate of VLS_EXCL00094	transaction list transaction list transaction list
VLS_EXCL00183 VLS_EXCL00184 VLS_EXCL00185 VLS_EXCL00186 VLS_EXCL00187 VLS_EXCL00188 VLS_EXCL00189	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc. MSD Torchlight Partners, L.P. MSD Torchlight Partners (MM), L.P.		Yes Yes Yes Yes Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095	transaction list transaction list transaction list transaction list
VLS_EXCL00183 VLS_EXCL00184 VLS_EXCL00185 VLS_EXCL00186 VLS_EXCL00187 VLS_EXCL00188 VLS_EXCL00189 VLS_EXCL00190	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc. MSD Torchlight Partners, L.P. MSD Torchlight Partners (MM), L.P. MSD Torchlight Partners, L.P.		Yes Yes Yes Yes Yes Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00094	transaction list transaction list transaction list transaction list transaction list
VLS_EXCL00183 VLS_EXCL00184 VLS_EXCL00185 VLS_EXCL00186 VLS_EXCL00187 VLS_EXCL00188 VLS_EXCL00189 VLS_EXCL00190	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc. MSD Torchlight Partners, L.P. MSD Torchlight Partners (MM), L.P. MSD Torchlight Partners (L.P. MSD Torchlight Partners (MM), L.P.		Yes Yes Yes Yes Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095	transaction list transaction list transaction list transaction list
VLS_EXCL00183 VLS_EXCL00184 VLS_EXCL00185 VLS_EXCL00186 VLS_EXCL00187 VLS_EXCL00188 VLS_EXCL00189 VLS_EXCL00190	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc. MSD Torchlight Partners, L.P. MSD Torchlight Partners (MM), L.P. MSD Torchlight Partners, L.P.		Yes Yes Yes Yes Yes Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00094	transaction list transaction list transaction list transaction list transaction list
VLS_EXCL00183  VLS_EXCL00184  VLS_EXCL00185  VLS_EXCL00186  VLS_EXCL00188  VLS_EXCL00188  VLS_EXCL00189  VLS_EXCL00190  VLS_EXCL00191  VLS_EXCL00192	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc. MSD Torchlight Partners, L.P. MSD Torchlight Partners (MM), L.P. MSD Torchlight Partners (L.P. MSD Torchlight Partners (MM), L.P.		Yes Yes Yes Yes Yes Yes Yes Yes Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095	transaction list transaction list transaction list transaction list transaction list transaction list
VLS_EXCL00183 VLS_EXCL00184 VLS_EXCL00185 VLS_EXCL00186 VLS_EXCL00188 VLS_EXCL00188 VLS_EXCL00189 VLS_EXCL00190 VLS_EXCL00191 VLS_EXCL00192	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc. MSD Torchlight Partners, L.P. MSD Torchlight Partners (MM), L.P. MSD Torchlight Partners, L.P. MSD Torchlight Partners, L.P. Incline Global Master LP		Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00095	transaction list transaction list transaction list transaction list transaction list transaction list transaction list transaction list
VLS_EXCL00185 VLS_EXCL00186 VLS_EXCL00187 VLS_EXCL00189 VLS_EXCL00190 VLS_EXCL00191 VLS_EXCL00192 VLS_EXCL00193	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc. MSD Torchlight Partners, L.P. MSD Torchlight Partners (MM), L.P. MSD Torchlight Partners, L.P. Incline Global Master LP Incline Global ELS LP		Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00096	transaction list transaction list transaction list transaction list transaction list transaction list transaction list transaction list transaction list
VLS_EXCLO0183 VLS_EXCLO0184 VLS_EXCLO0185 VLS_EXCLO0186 VLS_EXCLO0188 VLS_EXCLO0190 VLS_EXCLO0190 VLS_EXCLO0190 VLS_EXCLO0190 VLS_EXCLO0190 VLS_EXCLO0190 VLS_EXCLO0190 VLS_EXCLO0190 VLS_EXCLO0190 VLS_EXCLO0196 VLS_EXCLO0196	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc. MSD Torchlight Partners, L.P. MSD Torchlight Partners (MM), L.P. MSD Torchlight Partners (MM), L.P. Incline Global Master LP Incline Global ELS LP Incline Global Master LP Incline Global Master LP Incline Global ELS LP Incline Global ELS LP Seasons Series Trust		Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00096 duplicate of VLS_EXCL00096 duplicate of VLS_EXCL00097 duplicate of VLS_EXCL00096 duplicate of VLS_EXCL00096 duplicate of VLS_EXCL00097 duplicate of VLS_EXCL00097	transaction list transaction list
VLS_EXCLO0183 VLS_EXCLO0184 VLS_EXCLO0186 VLS_EXCL00186 VLS_EXCL00187 VLS_EXCL00189 VLS_EXCL00191 VLS_EXCL00191 VLS_EXCL00192 VLS_EXCL00193 VLS_EXCL00194 VLS_EXCL00195 VLS_EXCL00196 VLS_EXCL00197 VLS_EXCL00196 VLS_EXCL00197	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc. MSD Torchlight Partners, L.P. MSD Torchlight Partners (MM), L.P. MSD Torchlight Partners (MM), L.P. Incline Global Master LP Incline Global ELS LP Incline Global Master LP Incline Global Master LP Incline Global ELS LP Seasons Series Trust SunAmerica Income Funds		Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00096 duplicate of VLS_EXCL00097 duplicate of VLS_EXCL00097 duplicate of VLS_EXCL00097 duplicate of VLS_EXCL00097 duplicate of VLS_EXCL00145 duplicate of VLS_EXCL00146	transaction list transaction list
VLS_EXCL00183 VLS_EXCL00184 VLS_EXCL00185 VLS_EXCL00186 VLS_EXCL00187 VLS_EXCL00189 VLS_EXCL00199 VLS_EXCL00190 VLS_EXCL00191 VLS_EXCL00191 VLS_EXCL00193 VLS_EXCL00194 VLS_EXCL00195 VLS_EXCL00195 VLS_EXCL00197 VLS_EXCL00197 VLS_EXCL00197 VLS_EXCL00197 VLS_EXCL00197 VLS_EXCL00197	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc. MSD Torchlight Partners, L.P. MSD Torchlight Partners (MM), L.P. MSD Torchlight Partners (MM), L.P. Incline Global Master LP Incline Global ELS LP Incline Global Master LP Incline Global Master LP Incline Global ELS LP Incline Global ELS LP Seasons Series Trust		Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00096 duplicate of VLS_EXCL00096 duplicate of VLS_EXCL00097	transaction list transaction list
VLS_EXCLO0183 VLS_EXCLO0184 VLS_EXCLO0186 VLS_EXCLO0186 VLS_EXCLO0189 VLS_EXCLO0191 VLS_EXCLO0191 VLS_EXCLO0192 VLS_EXCLO0193 VLS_EXCLO0194 VLS_EXCLO0194 VLS_EXCLO0196 VLS_EXCLO0196 VLS_EXCLO0196 VLS_EXCLO0196 VLS_EXCLO0196	Janus Aspen Series Janus Capital Funds plc Janus Investment Fund Janus Capital Group Inc. MSD Torchlight Partners, L.P. MSD Torchlight Partners (MM), L.P. MSD Torchlight Partners (MM), L.P. Incline Global Master LP Incline Global ELS LP Incline Global Master LP Incline Global Master LP Incline Global ELS LP Seasons Series Trust SunAmerica Income Funds		Yes	duplicate of VLS_EXCL00092 duplicate of VLS_EXCL00093 duplicate of VLS_EXCL00094 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00095 duplicate of VLS_EXCL00096 duplicate of VLS_EXCL00097 duplicate of VLS_EXCL00097 duplicate of VLS_EXCL00097 duplicate of VLS_EXCL00097 duplicate of VLS_EXCL00145 duplicate of VLS_EXCL00146	transaction list transaction list

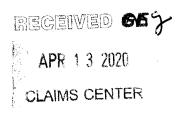
		Securities			
Exclusion		Purchased in Class			
number	Name	(1/04/13 - 9/02/16)	Timely	Notes	Documentation
VLS_EXCL00201	VALIC Company II	.,-,-,	Yes	duplicate of VLS_EXCL00150	transaction list
VLS_EXCL00202	Seasons Series Trust		Yes	duplicate of VLS_EXCL00145	transaction list
VLS_EXCL00203	SunAmerica Income Funds		Yes	duplicate of VLS_EXCL00146	transaction list
VLS_EXCL00204	SunAmerica Senior Floating Rate Fund, Inc.		Yes	duplicate of VLS_EXCL00147	transaction list
VLS_EXCL00205	SunAmerica Series Trust		Yes	duplicate of VLS_EXCL00148	transaction list
VLS_EXCL00206	VALIC Company I		Yes	duplicate of VLS_EXCL00149	transaction list
VLS_EXCL00207	VALIC Company II		Yes	duplicate of VLS_EXCL00150	transaction list
VLS_EXCL00208	Advanced Series Trust		Yes	duplicate of VLS_EXCL00166	transaction list
VLS_EXCL00209	Prudential Insurance Company of America		Yes	duplicate of VLS_EXCL00165	transaction list
VLS_EXCL00210	Prudential Investment Portfolios 16		Yes	duplicate of VLS_EXCL00167	transaction list
VLS_EXCL00211	Prudential Investment Portfolios 3		Yes	duplicate of VLS_EXCL00168	transaction list
VLS_EXCL00212	Prudential Investment Portfolios, Inc.		Yes	duplicate of VLS_EXCL00169	transaction list
VLS_EXCL00213	Prudential Investment Portfolios, Inc. 15		Yes	duplicate of VLS_EXCL00170	transaction list
VLS_EXCL00214	Prudential Investment Portfolios, Inc. 17		Yes	duplicate of VLS_EXCL00171	transaction list
VLS_EXCL00215	Prudential Jennison Blend Fund, Inc.		Yes	duplicate of VLS_EXCL00172	transaction list
VLS_EXCL00216	Prudential Jennison Mid-Cap Growth Fund, Inc.		Yes	duplicate of VLS_EXCL00173	transaction list
VLS_EXCL00217	Prudential Sector Funds, Inc.		Yes	duplicate of VLS_EXCL00174	transaction list
VLS_EXCL00218	Prudential Retirement Insurance and Annuity Company		Yes	duplicate of VLS_EXCL00176	transaction list
VLS_EXCL00219	Prudential Trust Company The Boulevill Series Food		Yes	duplicate of VLS_EXCL00175	transaction list
VLS_EXCL00220	The Prudential Series Fund		Yes	duplicate of VLS_EXCL00177	transaction list
VLS_EXCL00221	Prudential Legacy Insurance Company of New Jersey The Target Partfolio Trust		_	duplicate of VLS_EXCL00178	
VLS_EXCL00222 VLS EXCL00223	The Target Portfolio Trust Advanced Series Trust		Yes	duplicate of VLS_EXCL00179 duplicate of VLS_EXCL00166	transaction list
_			Yes	-	transaction list
VLS_EXCL00224	Prudential Insurance Company of America Prudential Investment Portfolios 16		Yes	duplicate of VLS_EXCL00165 duplicate of VLS_EXCL00167	transaction list
VLS_EXCL00225 VLS EXCL00226	Prudential Investment Portfolios 16 Prudential Investment Portfolios 3		Yes	duplicate of VLS_EXCL00167 duplicate of VLS_EXCL00168	transaction list
VLS_EXCLOUZZE VLS EXCLOUZZE	Prudential Investment Portfolios 3 Prudential Investment Portfolios, Inc.		Yes	duplicate of VLS_EXCL00168 duplicate of VLS_EXCL00169	transaction list
VLS_EXCL00227	Prudential Investment Portfolios, Inc. Prudential Investment Portfolios, Inc. 15		Yes	duplicate of VLS_EXCL00169 duplicate of VLS_EXCL00170	transaction list
VLS_EXCL00228	Prudential Investment Portfolios, Inc. 15 Prudential Investment Portfolios, Inc. 17		Yes	duplicate of VLS_EXCL00170 duplicate of VLS_EXCL00171	transaction list
VLS EXCLO0230	Prudential Jennison Blend Fund, Inc.		_	duplicate of VLS_EXCL00172	
VLS_EXCLO0230	Prudential Jennison Mid-Cap Growth Fund, Inc.		Yes	duplicate of VLS_EXCL00172 duplicate of VLS_EXCL00173	transaction list
VLS_EXCLO0231	Prudential Sector Funds, Inc.		Yes	duplicate of VLS_EXCL00175 duplicate of VLS_EXCL00174	transaction list
VLS_EXCL00232	Prudential Sector Funds, Inc. Prudential Retirement Insurance and Annuity Company		Yes	duplicate of VLS_EXCL00174 duplicate of VLS_EXCL00176	transaction list
VLS_EXCL00233	Prudential Ketirement insurance and Annuity Company Prudential Trust Company		Yes	duplicate of VLS_EXCL00176 duplicate of VLS_EXCL00175	transaction list
VLS_EXCL00234			Yes	duplicate of VLS_EXCL00177	transaction list
VLS_EXCL00236	The Prudential Series Fund Prudential Legacy Insurance Company of New Jersey		_		transaction list
VLS_EXCL00236			Yes	duplicate of VLS_EXCL00178	transaction list
_	The Target Portfolio Trust  Discovery Global Citizens Master Fund 1td		Yes	duplicate of VLS_EXCL00179	
VLS_EXCL00238	Discovery Global Citizens Master Fund, Ltd.  Discovery Global Focus Master Fund, Ltd.		Yes	duplicate of VLS_EXCL00077 duplicate of VLS_EXCL00078	transaction list
VLS_EXCL00239			Yes		transaction list
VLS_EXCL00240	Discovery Global Macro Master Fund, Ltd.		Yes	duplicate of VLS_EXCL00079	transaction list
VLS_EXCL00241	Discovery Global Opportunity Master Fund, Ltd.		Yes	duplicate of VLS_EXCL00080	transaction list
VLS_EXCL00242 VLS EXCL00243	Discovery Global Citizens Master Fund, Ltd.		Yes	duplicate of VLS_EXCL00077	transaction list
VLS_EXCL00243	Discovery Global Focus Master Fund, Ltd.  Discovery Global Macro Master Fund, Ltd.		Yes	duplicate of VLS_EXCL00078 duplicate of VLS_EXCL00079	transaction list
VLS_EXCL00244	Discovery Global Opportunity Master Fund, Ltd.		Yes	duplicate of VLS_EXCL00079	transaction list
VLS_EXCL00246	Brahman Partners II, L.P.		Yes	duplicate of VLS_EXCLODO80	transaction list
VLS_EXCL00246	Brahman Partners III, L.P.		Yes	duplicate of VLS_EXCLODO81 duplicate of VLS_EXCLOD082	transaction list
VLS_EXCL00247	Brahman Partners II Offshore, Ltd.		Yes	duplicate of VLS_EXCLOODS3	transaction list
	Brahman Institutional Partners, L.P.		Yes	duplicate of VLS_EXCLOODS4	transaction list
VLS_EXCL00250	Brahman C.P.F. Partners, L.P.		Yes	duplicate of VLS_EXCLODO85	transaction list
	Brahman Partners IV, L.P.		Yes	duplicate of VLS_EXCLODOSS  duplicate of VLS_EXCLODOSS	transaction list
	Brahman Partners IV (Cayman), Ltd.		Yes	duplicate of VLS_EXCLODOS7	transaction list
_	BH Investments Fund, L.L.C.		Yes	duplicate of VLS_EXCLODOS7  duplicate of VLS_EXCLODOS8	transaction list
	East 71, Ltd.		Yes	duplicate of VLS_EXCLOO089	transaction list
_	Brahman Partners II, L.P.		Yes	duplicate of VLS_EXCL00081	transaction list
	Brahman Partners III. L.P.		Yes	duplicate of VLS_EXCL00082	transaction list
- LO_ENGLOSES	Brahman Partners II Offshore, Ltd.		Yes	duplicate of VLS_EXCL00083	transaction list
	Brahman Institutional Partners, L.P.		Yes	duplicate of VLS_EXCLOO084	transaction list
VLS_EXCLO0259	Brahman C.P.F. Partners, L.P.		Yes	duplicate of VLS_EXCLODO85	transaction list
_	Brahman Partners IV, L.P.		Yes	duplicate of VLS_EXCLOO086	transaction list
VLS_EXCL00261	Brahman Partners IV (Cayman), Ltd.		Yes	duplicate of VLS_EXCL00087	transaction list
VLS_EXCL00262	BH Investments Fund, L.L.C.		Yes	duplicate of VLS_EXCL00088	transaction list
_	East 71, Ltd.		Yes	duplicate of VLS_EXCLO0089	transaction list
VLS_EXCL00264	Blue Mountain Credit Alternatives Master Fund L.P.		Yes	duplicate of VLS_EXCL00098	transaction list
VLS_EXCL00265	BlueMountain Foinaven Master Fund L.P.		Yes	duplicate of VLS_EXCL00099	transaction list
VLS_EXCL00266	BlueMountain Guadalupe Peak Fund L.P.		Yes	duplicate of VLS_EXCL00100	transaction list
VLS_EXCL00267	BlueMountain Kicking Horse Fund L.P.		Yes	duplicate of VLS_EXCL00101	transaction list
VLS_EXCL00268	BlueMountain Logan Opportunities Master Fund L.P.		Yes	duplicate of VLS_EXCL00102	transaction list
VLS_EXCL00269	BlueMountain Long/Short Equity Master Fund L.P.		Yes	duplicate of VLS_EXCL00103	transaction list
VLS_EXCL00270	BlueMountain Montenvers Master Fund SCA SICAV-SIF		Yes	duplicate of VLS_EXCL00104	transaction list
VLS_EXCL00271	BlueMountain Timberline Ltd.		Yes	duplicate of VLS_EXCL00105	transaction list
VLS_EXCL00272	Blue Mountain Credit Alternatives Master Fund L.P.		Yes	duplicate of VLS_EXCL00098	transaction list
VLS_EXCL00273	BlueMountain Foinaven Master Fund L.P.		Yes	duplicate of VLS_EXCL00099	transaction list
_	BlueMountain Guadalupe Peak Fund L.P.		Yes	duplicate of VLS_EXCL00100	transaction list
	BlueMountain Kicking Horse Fund L.P.		Yes	duplicate of VLS_EXCL00101	transaction list
	BlueMountain Logan Opportunities Master Fund L.P.		Yes	duplicate of VLS_EXCL00102	transaction list
VLS_EXCL00277	BlueMountain Long/Short Equity Master Fund L.P.		Yes	duplicate of VLS_EXCL00103	transaction list
	BlueMountain Montenvers Master Fund SCA SICAV-SIF		Yes	duplicate of VLS_EXCL00104	transaction list
	BlueMountain Timberline Ltd.		Yes	duplicate of VLS_EXCL00105	transaction list
VLS_EXCL00280	GMO Alpha Only Fund		Yes	duplicate of VLS_EXCL00124	transaction list
VLS_EXCL00281	GMO Benchmark Free Fund		Yes	duplicate of VLS_EXCL00125	transaction list
VLS_EXCL00282	GMO Developed World Stock Fund		Yes	duplicate of VLS_EXCL00126	transaction list
VLS_EXCL00283	GMO Event-Driven Master Portfolio		Yes	duplicate of VLS_EXCL00127	transaction list
VLS_EXCL00284	GMO Global Equity Trust		Yes	duplicate of VLS_EXCL00128	transaction list
VLS_EXCL00285	GMO Global Equity Allocation Investment Fund		Yes	duplicate of VLS_EXCL00129	transaction list
VLS_EXCL00286	GMO International Equity Fund		Yes	duplicate of VLS_EXCL00130	transaction list
VLS_EXCL00287	GMO Implementation Fund		Yes	duplicate of VLS_EXCL00131	transaction list
VLS_EXCL00288	GMO International Large/Mid Cap Equity Fund		Yes	duplicate of VLS_EXCL00132	transaction list
VLS_EXCL00289	GMO Mean Reversion Fund (Onshore)		Yes	duplicate of VLS_EXCL00133	transaction list
VLS_EXCL00290	GMO Mean Reversion Special Solutions Fund		Yes	duplicate of VLS_EXCL00134	transaction list
VLS_EXCL00291	GMO Global Real Return (UCITS) Fund		Yes	duplicate of VLS_EXCL00135	transaction list
VLS_EXCL00292	GMO Tax Managed Global Balanced Fund		Yes	duplicate of VLS_EXCL00136	transaction list

### Case 3:15-cv-07658-MAS-LHG Document 559-5 Filed 05/20/20 Page 6 of 6 PageID: 16772

		Securities			
Exclusion		Purchased in Class			
number	Name	(1/04/13 - 9/02/16)	Timely	Notes	Documentation
VLS_EXCL00293	GMO Tax Managed International Equities Fund		Yes	duplicate of VLS_EXCL00137	transaction list
VLS_EXCL00294	GMO World Equity Allocation Investment Fund		Yes	duplicate of VLS_EXCL00138	transaction list
VLS_EXCL00295	GMO Alpha Only Fund		Yes	duplicate of VLS_EXCL00124	transaction list
VLS_EXCL00296	GMO Benchmark Free Fund		Yes	duplicate of VLS_EXCL00125	transaction list
VLS_EXCL00297	GMO Developed World Stock Fund		Yes	duplicate of VLS_EXCL00126	transaction list
VLS_EXCL00298	GMO Event-Driven Master Portfolio		Yes	duplicate of VLS_EXCL00127	transaction list
VLS_EXCL00299	GMO Global Equity Trust		Yes	duplicate of VLS_EXCL00128	transaction list
VLS_EXCL00300	GMO Global Equity Allocation Investment Fund		Yes	duplicate of VLS_EXCL00129	transaction list
VLS_EXCL00301	GMO International Equity Fund		Yes	duplicate of VLS_EXCL00130	transaction list
VLS_EXCL00302	GMO Implementation Fund		Yes	duplicate of VLS_EXCL00131	transaction list
VLS_EXCL00303	GMO International Large/Mid Cap Equity Fund		Yes	duplicate of VLS_EXCL00132	transaction list
VLS_EXCL00304	GMO Mean Reversion Fund (Onshore)		Yes	duplicate of VLS_EXCL00133	transaction list
VLS_EXCL00305	GMO Mean Reversion Special Solutions Fund		Yes	duplicate of VLS_EXCL00134	transaction list
VLS_EXCL00306	GMO Global Real Return (UCITS) Fund		Yes	duplicate of VLS_EXCL00135	transaction list
VLS_EXCL00307	GMO Tax Managed Global Balanced Fund		Yes	duplicate of VLS_EXCL00136	transaction list
VLS_EXCL00308	GMO Tax Managed International Equities Fund		Yes	duplicate of VLS_EXCL00137	transaction list
VLS_EXCL00309	GMO World Equity Allocation Investment Fund		Yes	duplicate of VLS_EXCL00138	transaction list
VLS_EXCL00310	Erin Dweik	Not provided	Yes		No
VLS_EXCL00311	Vailsburg Fund LLC	4,420	Yes		transaction list

### **EXHIBIT B**





Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: Robert G Riester

#### **Robert G Riester**

Valeant Securities Settlement Claims Administrator c/o Gilardi & Co LLC EXCLUSIONS 3301 Kerner Blvd San Rafael, CA 94901

April 6, 2020

Claims Administrator,
Please EXCLUDE me from the Class Action Settlement, Case # 3:15 -cv-07658-MAS\_LHG

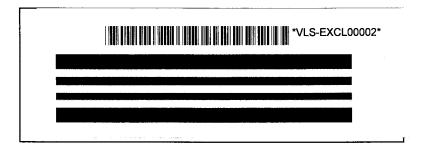
Thank you,

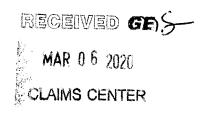
Robert G Riester

R



APR 13 2020 CLAIMS CENTER



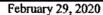


Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: Sheila M Harrington



Valeant Securities Settlement c/o Gilardi and Co. LLC PO Box 43337 Providence, RI 02940-3337

Dear Madam or Sir:

Please exclude me from the settlement against Valeant Pharmaceuticals International, Inc. as described in a class action suit - Case # 3:15- cv-07658-MAS-LHG.

Sincerely yours,

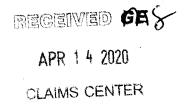
Sheila M. Harrington

Valeant Securities Settlement c/o Gilardi & Co. LLC P.O. Box 43337 Providence, RI 02940-3337

VLS

գիդիկելով իկիկին հետ իրային այլում անգային և բանական ա





Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: David E West

April 2, 2020

Valeant Securities Settlement Claims Administrator c/o Gilardi & Co., LLC P.O. Box 43337

vil. West

Dear Sir:

This is to request that I be excluded from the Valeant Securities Settlement.

Yours truly,

David E. West

USAZ

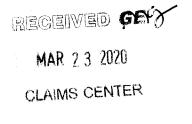
Valeant Securities Settlement c/o Gilardi & Co. LLC P.O. Box 43337 Providence, RI 02940-3337



**VLS** 

- գորդինիկինի ինկինիկինիկինիկինիկինիկինի





Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: Helene D Luhrs

Valeant Decurities Settlement Claims Administrator To Silardi + Co. LLC Exclusione 3301 Kerner Blod. San Rafael, CA 94901

Re: United States District Court
District of New Jersey
In re Valeant Pharmaceuticals International, Inc.
Securities Litigation
No. 315-cv-07658-MAS-LHG
CLASS ACTION

TO WHOM IT MAY CONCERN:

I hereby state that I wish to be excluded from the above captioned class.

Sincerely,

Helene 19 Julis

BATED: MARCH 19, 2020

HELENE D. LUHRS

Helene Luhrs



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MAR 23 2020

CLAIMS CENTER

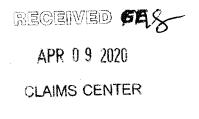
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San Rafael, CA 94901

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Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: Dianne Herbold

William H Herbold (Dec'd)

Please be Hoursed that William H. Herbold passed away in May Do 2019. I do not have any in this information so please exclude him from this.

Thank for Decire Herbold



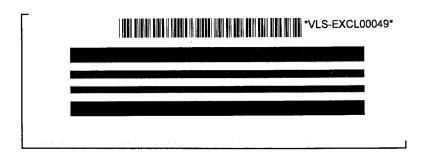
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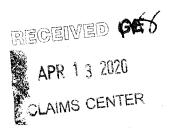
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Mrs. Dianne Howell-Herbold







Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: David Archibald

26/Mar. 2020

Valeant Pharmaceuticals Settlement

To whom it may concern;

In response to notification of class action # 3:15-cv-07658-MAS-LGH, this letter is a request that ! be excluded from this settlement.

Regards

David Archibald

3757 B3K

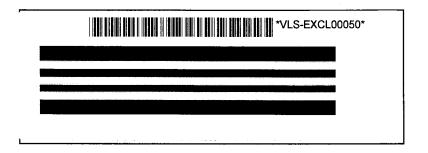
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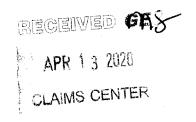
Valeant Securities Settlement c/o Gilardi & Co. LLC P.O. Box 43337 Providence, RI 02940-3337



**VLS** 

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Case Name: Valeant Pharmaceuticals International, Inc. Securities

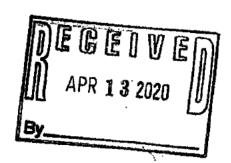
Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: Patricia A. Hurd

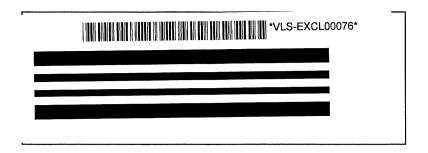
April 6,2020
119111 (4) 20 20
Valeant Securities Settlement
% Gilardid Co. LLC
P.O. BOX 43337
Providence, R.I. 02940-3337
To whom it may concern:
As a person that has purchased Valeant Securities during the class period January 4, 2013 to march 15, 2016, T. Patricia Hurd
Securities during the class period January 4
2013 to march 15 2016 I Patricia Hurd
residing at
am writing to inform you that I request to be excluded from the class action case
be excluded from the class action case
NO. 3:15-cv-07658-MAS-LHG regarding Valeant
Pharmaceuticals International, Inc. Securities
litigation.
Sincerely,
Satricia Afficial
tofricia A. Hurd

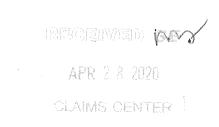
Valeant Securities Settlement c/o Gilardi & Co. LLC P.O. Box 43337 Providence, RI 02940-3337



**VLS** 

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Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: Patricia W Hardwick Michael Hardwick (Deceased) April 24, 2020

Valeant Securities Settlement c/o Gilardi & Co. LLC PO Box 43337 Providence, RI 02940-3337

Re: Exclusion Request for Michael Hardwick deceased (soc sec ... Case Number 3:15-cv-07658-MAS-LHG

As the Beneficiary and Personal Representative for my husband, Michael Hardwick (deceased), I wish to exclude Michael Hardwick from this settlement claim and from any future claim.

I have no documents supporting his Proof of Claim. I have no interest in pursuing this current or any future proposed Settlement Claim.

Enclosed is a Death Certificate and copies of my Certificate of Appointment and Fiduciary Letter from the Probate Court of Aiken County, South Carolina.

Please confirm to me that Michael Hardwick is released from this and future settlement claims.

Patricia W. Hardwick

Patricia W. Hardweich



#### DEATH CERTIFICATION \*

STATE FILE NUMBER: 139-19-019465

DECEDENT'S NAME: \*MICHAEL HARDWICK\*

ARMED FORCES: NO

DATE OF BIRTH:

TYPE OF PLACE OF DEATH: DECEDENT'S HOME

NAME AND ADDRESS OF PLACE OF DEATH:

PLACE OF DISPOSITION: UNIVERSITY OF SOUTH CAROLINA SCHOOL OF MEDICINE

DISPOSITION LOCATION: COLUMBIA, SOUTH CAROLINA

METHOD OF DISPOSITION DONATION

DECEDENT'S RESIDENCE:

PLACE OF BIRTH: VIRGINIA ...

SURVIVING SPOUSE'S NAME: PATRICIA LOUISE WILLIAMS

MAILING ADDRESS:

FUNERAL HOME: USC SCHOOL OF MEDICINE ANATOMICAL PROGRAMS, 6439 GARNERS FERRY RD., COLUMBIA, SC, 29209

FUNERAL DIRECTOR: LISA J BUCHANAN : 福朝 河野 EMBALMER'S NAME: ERIKA BLANCK DPT ATC

ACTUAL OR PRESUMED DATE OF DEATH: MAY 17, 2019

ACTUAL OR PRESUMED TIME OF DEATH: 2257

CAUSE OF DEATH - PART I

PROSTATÉ CANCER

MOTHER'S NAME PRIOR TO FIRST MARRIAGE: KATHERINE PERLEY INFORMANT'S NAME: MICHAEL HARDWICK

LICENSE NUMBER: NA

AGE: 80 YEARS

COUNTY OF DEATH: AIKEN

LICENSE NUMBER: NA MANNER OF DEATH NATURAL

AUTOPSY AVAILABLE? NA-

OTHER SIGNIFICANT CONDITIONS - PART II:

CORONER CONTACTED? YES

DATE OF INJURY: NA PLACE OF INJURY: NA LOCATION OF INJURY: NAME

HOW THE INJURY OCCURRED?

CERTIFIER NAME AND TITLE: MD THOMAS E. MCCULLOUGH

LICENSE NUMBER: 34041

CERTIFIER'S ADDRESS: 410 UNIVERSITY PARKWAY, SUITE 2500, AIKEN, SC 29801

DATE OF ISSUANCE: MAY 21, 2019

DATE OF ISSUANCE: MAY 21, 2019

SPECIAL INSTRUCTIONS

This is a true certification of the facts on file in the Division of Vital Records, SC Department of Health and Environmental Control.

David E. Wilson, Jr.

Angelia P Saleeby Assistant State Registrar

Assistant State Registrar Assistant State Registrar Lis is watermarked paper Do not accept without noting watermark. Hold to light to



Case 3:15-cv-07658-MAS-LHG Document 559-6 Filed 05/20/20 Page 26 of 48 PageID: 16798 STATE OF SOUTH CAROLINA IN THE PROBATE COURT COUNTY OF: AIKEN CERTIFICATE OF APPOINTMENT IN THE MATTER OF: MICHAEL HARDWICK CASE NUMBER: 2019ES02-0577 (Decedent) This is to certify that PATRICIA W. HARDWICK is/are the duly qualified PERSONAL REPRESENTATIVE SUCCESSOR PERSONAL REPRESENTATIVE SPECIAL ADMINISTRATOR in the above matter and that this appointment, having been executed on the 24<sup>TH</sup> day of JUNE, 2019, is in full force and effect. **RESTRICTIONS:** NONE. Executed this 24TH day of June, 2019. Tonýa Marchant, Probate Court Judge Do not accept a copy of this certificate without the raised seal of the Probate Court.

STATE OF SOUTH CAROLINA COUNTY OF AIKEN . - -

THIS IS TO CERTIFY THAT THE FOREGOING IS A TRUE AND CORFECT COPY OF THE ORIGINAL ON FILE IN THIS COURT AND THAT THE SAME IS STILL IN FULL FORCE AND EFFECT WITNESSAY HAND AND SEAL OF THE COURT THIS THE

Manchant

FORM #141ES (1/2014) 62-1-305, 62-3-103

#### Case 3:15-cv-07658-MAS-LHG Document 559-6 Filed 05/20/20 Page 27 of 48 PageID: 16799

STATE OF SOUTH CAROLINA	) IN THE PROBATE COURT
COUNTY OF: <u>AIKEN</u> IN THE MATTER OF: MICHAEL HARDWICK (Decedent)	FIDUCIARY LETTERS  CASE NUMBER: 2019ES02-0577
	☑ PERSONAL REPRESENTATIVE ☐ SUCCESSOR PERSONAL REPRESENTATIVE ☐ SPECIAL ADMINISTRATOR

On the 24<sup>TH</sup> day of JUNE, 2019, **PATRICIA W. HARDWICK** was/were appointed and qualified as Fiduciary(ies) of the above matter by this Court, with all the authority granted to a fiduciary by law.

NOW, THEREFORE, LETTERS are issued as evidence of such appointment, qualification, and authority of the above fiduciary(ies) to do and to perform all acts which may be authorized by law.

**RESTRICTIONS:** 

NONE.

Executed this 24TH day of June, 2019.

Tonya Marchant, Probate Court Judge

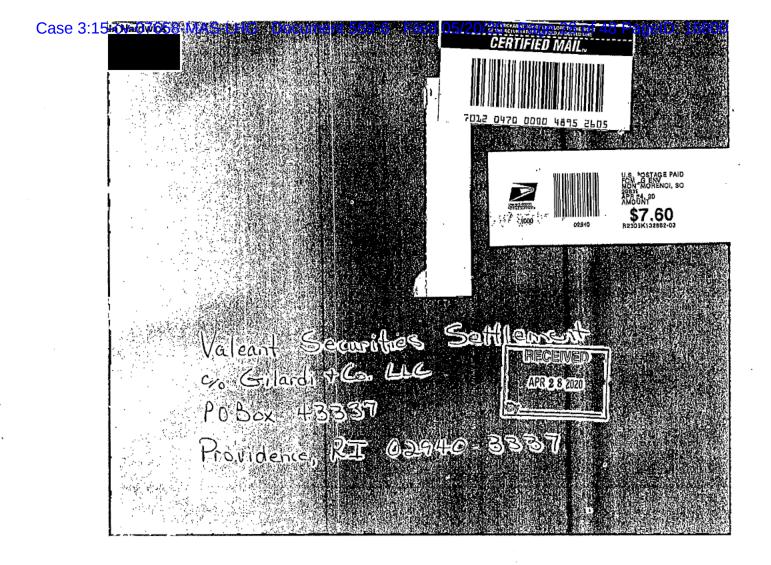
STATE OF SOUTH CAROLINA COUNTY OF AIKEN

THIS IS TO CERTIFY THAT THE FOREGOING IS A TRUE AND CORRECT COPY OF THE ORIGINAL ON FILE IN THIS COURT AND THAT THE SAME IS STILL IN FULL FORCE AND EFFECT

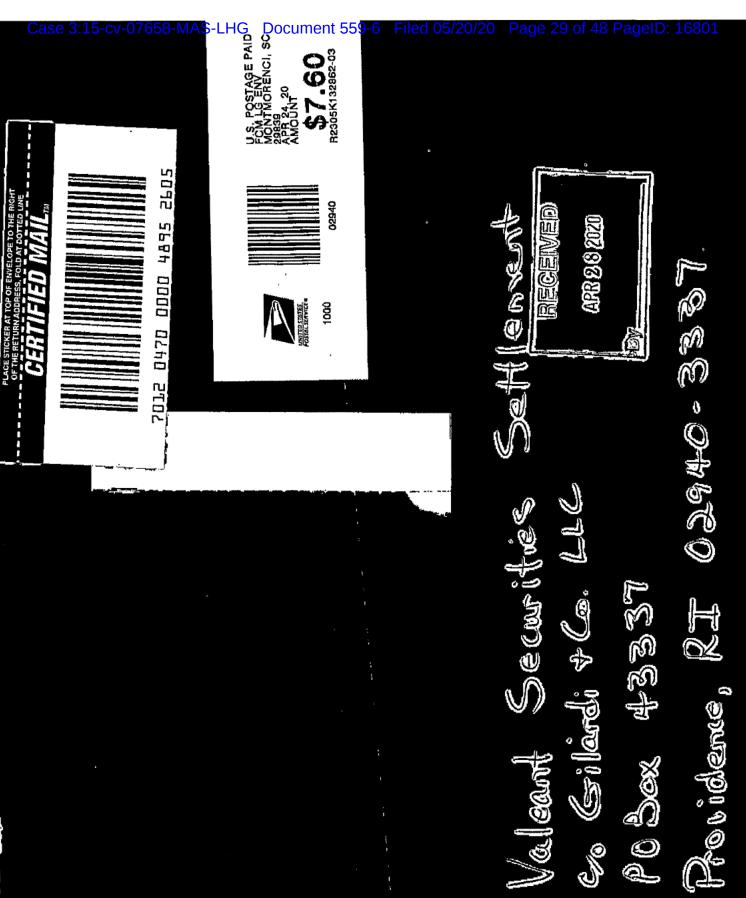
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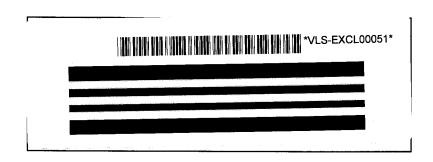
FORM #140ES (1/2014) 82-3-103

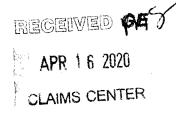


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Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: Mal Finch

April 6, 2020

Valeant Securities Settlement Claims Administrator c/o Gilardi & Co. LLC (Exclusions) 3301 Kerner Blvd San Rafael, CA 94901 USA

Re: Case No. 3:15-cv-07658-MAS-LHG

Please exclude me from the class, as outlined in your document regarding the class action. I do not wish to be part of the action, nor do I wish to have anything further to do with Valeant. I did own common shares, through TD Direct Investing from 2014 to March 2015, by which time all shares were sold.

Thank you.

Sincerely,

Mal Finch



Valeant Securities Settlement c/o Gilardi & Co. LLC P.O. Box 43337 Providence, RI 02940-3337 U. S. A.



**VLS** 

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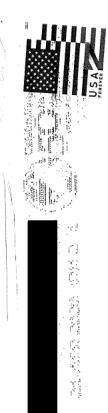


Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: Charles Woolley



Valeant Securities Sethemen

Claims Adminstrator

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Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: Tim Callahan

From: Timothy Callahan

Subject: Valeant Securities Settlement Inquiry

Date: Apr 21, 2020 at 6:32:40 PM

To: info@valeantsecuritiessettlement.com

Cc:

To Whom it May Concern,

In response to your recent mailing regarding the Valeant Pharmaceuticals class action, I wish to exclude myself from the settlement you are proposing. This document is dated April 21st, 2020 and I will follow up with a written letter.

Regards,

Tim Callahan



NAME OF STREET OF STREET

Timothy M. Callahan

Valeant Securities Settlement

c/o Gilardi & Co. LLC P.O. Box 43337

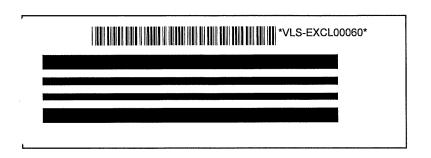
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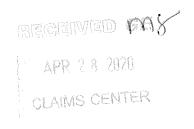
Providence, RI 02940-3337



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Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: Antonio Rodriguez

April 17, 2020

Valeant Securities Settlement Claim Administrator c/o Gilardi & Co. LLC EXCLUSIONS 3301 Kerner Blvd. San Rafael, CA 94901

Re: Valeant Securities Settlement

Subject: Exclusion from the Settlement

To Whom it may concern:

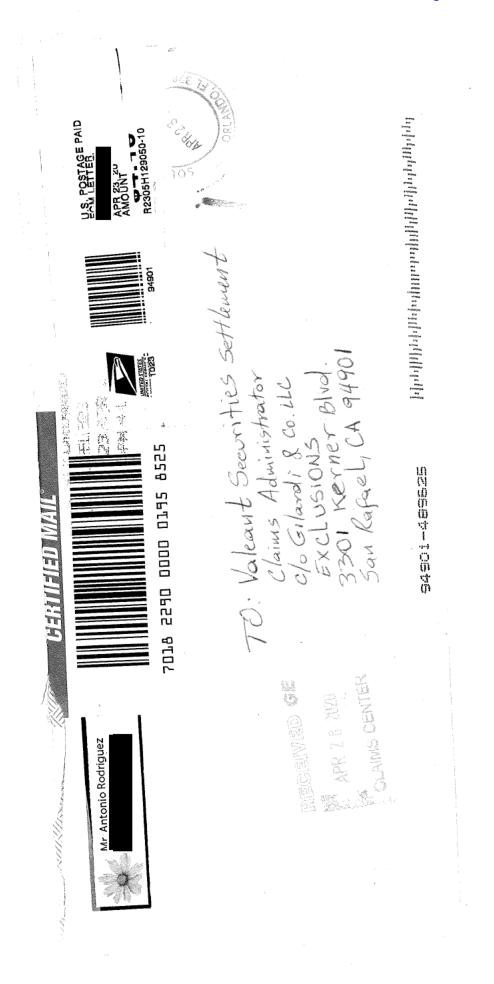
This letter is to make request for exclusion of the subject settlement. As of this time, I do not have readily available the information relative to the purchases of Valeant's shares and do not have the time to research it or to discuss it with anybody. Additionally, I am not interested in pursuing any claims against Valeant Securities.

My name is Antonio Rodriguez with address at

Thank you in advance for excluding me from this settlement.

Sincerely,

Antonio Rodriguez







Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: Barry Bayne

Barry Bayne

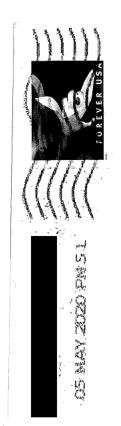
Valeant Securities Settlement Claims Administrator c/o Gilardi & Co. LLC Exclusions 3391 Kerner Blvd. San Rafael, CA 94901

#### Dear Sir

Please exclude me from the Valeant Securities Settlement. While I did purchase and then sell this security at a loss within the timeframe or this class action, the information provided and the time allot for me to research was insufficient for me to make a decision to be included in this class action.

Sincerely,

Barry Bayne



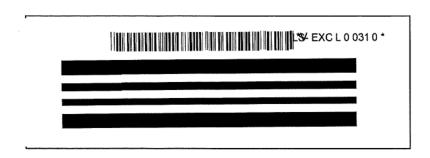
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Case Name: Valeant Pharmaceuticals International, Inc. Securities

Case Code: VLS

Exclusion Deadline: May 6, 2020 (Postmarked Date)

Name of Person Filing Exclusion: Erin Dweik

Case 3:15-cv-07658-MAS-LHG Document 559-6 Filed 05/20/20 Page 46 of 48 PageID: 16818

# My information: Erin Dweik

home phone

Thank you for This white

