

Broker Summary/ All Activity by Report Date

Composite

July 1, 2016 to September 30, 2016

View Date: November 8, 2016



STATE STREET.

Funds Included in Composite

NM1D	NMERB - BROOKFIELD REIT
NM1F	NMERB - LORD ABBETT
NM1G	NMERB - PINNACLE
NM1H	NMERB - REIT INDEX
NM1V	NMERB - ROBECO
NM1X	NMERB - S & P 500 INDEX
NM2D	NMERB - HARVEST MLP

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Broker Name	Fund	Broker Number	Shares/Par	Base Principal	Base Commission	Base Comm Cost/Share	% of Principal
AUTREPAT-STK/\$ DIV		96953					
	NM1V		24,657.000	18,595.57	0.00	0.00000	0.00000
AUTREPAT-STK/\$ DIV Total			24,657.000	18,595.57	0.00	0.00000	0.00000
BANCO ITAU EUROPA		A8985					
	NM1V		2,200.000	14,163.17	8.50	0.00386	0.06001
BANCO ITAU EUROPA Total			2,200.000	14,163.17	8.50	0.00386	0.06001
BANCO PACTUAL S.A.		A1360					
	NM1V		67,900.000	388,178.45	56.01	0.00082	0.01443
BANCO PACTUAL S.A. Total			67,900.000	388,178.45	56.01	0.00082	0.01443
BARCLAYS CAPITAL		D1244					
	NM1D		662,624.000	15,855,181.17	9,781.46	0.01476	0.06169
	NM1V		5,000.000	935,673.51	150.00	0.03000	0.01603
BARCLAYS CAPITAL Total			667,624.000	16,790,854.68	9,931.46	0.01488	0.05915
BARCLAYS CAPITAL LE		61610					
	NM1F		910.000	52,029.43	13.65	0.01500	0.02624
	NM2D		6,457.000	164,974.08	99.00	0.01533	0.06001
BARCLAYS CAPITAL LE Total			7,367.000	217,003.51	112.65	0.01529	0.05191
BLOOMBERG TRADEBOOK EUROPE LIMITED		59965					
	NM1V		6,779.000	132,467.07	53.00	0.00782	0.04001
BLOOMBERG TRADEBOOK EUROPE LIMITED Total			6,779.000	132,467.07	53.00	0.00782	0.04001
BLOOMBERG TRADEBOOK LLC		59964					
	NM1F		111,309.000	3,897,877.85	1,669.88	0.01500	0.04284
BLOOMBERG TRADEBOOK LLC Total			111,309.000	3,897,877.85	1,669.88	0.01500	0.04284
BMO CAPITAL MARKETS		00045					

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Broker Name	Fund	Broker Number	Shares/Par	Base Principal	Base Commission	Base Comm Cost/Share	% of Principal
	NM2D		26,226.000	633,133.09	131.12	0.00500	0.02071
BMO CAPITAL MARKETS Total			26,226.000	633,133.09	131.12	0.00500	0.02071
BNP PARIBAS SECURITIES (ASIA) LTD.		A9796					
	NM1V		24,000.000	14,172.78	17.05	0.00071	0.12030
BNP PARIBAS SECURITIES (ASIA) LTD. Total			24,000.000	14,172.78	17.05	0.00071	0.12030
BTIG, LLC		58851					
	NM1D		45,300.000	609,076.84	1,359.00	0.03000	0.22312
	NM2D		21,979.000	447,881.12	659.37	0.03000	0.14722
BTIG, LLC Total			67,279.000	1,056,957.96	2,018.37	0.03000	0.19096
CANACCORD GENUITY INC.		62173					
	NM1F		16,658.000	633,094.80	499.74	0.03000	0.07894
CANACCORD GENUITY INC. Total			16,658.000	633,094.80	499.74	0.03000	0.07894
CANTOR FITZGERALD + CO.		00696					
	NM1D		4,700.000	253,888.46	141.00	0.03000	0.05554
CANTOR FITZGERALD + CO. Total			4,700.000	253,888.46	141.00	0.03000	0.05554
CANTOR FITZGERALD AND CO		A4666					
	NM1D		87,200.000	2,247,295.53	1,572.00	0.01803	0.06995
CANTOR FITZGERALD AND CO Total			87,200.000	2,247,295.53	1,572.00	0.01803	0.06995
CAPITAL INSTITUTIONAL SVCS INC EQUITIES		59055					
	NM1H		2,700.000	88,934.49	54.00	0.02000	0.06072
	NM1X		1,782,200.000	113,480,235.49	33,212.00	0.01864	0.02927
CAPITAL INSTITUTIONAL SVCS INC EQUITIES Total			1,784,900.000	113,569,169.98	33,266.00	0.01864	0.02929
CASH MERGER		99878					
	NM1H		5,307.000	96,852.75	0.00	0.00000	0.00000

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CASH MERGER Total			5,307.000	96,852.75	0.00	0.00000	0.00000
CCB INTERNATIONAL SECURITIES LIMITED		E0408					
	NM1V		148,000.000	54,413.70	65.15	0.00044	0.11973
CCB INTERNATIONAL SECURITIES LIMITED Total			148,000.000	54,413.70	65.15	0.00044	0.11973
CITATION GROUP		84341					
	NM1G		278,500.000	3,940,081.42	10,669.00	0.03831	0.27078
CITATION GROUP Total			278,500.000	3,940,081.42	10,669.00	0.03831	0.27078
CITIGROUP GLOBAL MARKETS INC		00418					
	NM1D		31,100.000	963,266.33	933.00	0.03000	0.09686
	NM1F		1,914.000	79,631.49	19.14	0.01000	0.02404
	NM2D		80,359.000	2,402,461.61	2,410.77	0.03000	0.10035
CITIGROUP GLOBAL MARKETS INC Total			113,373.000	3,445,359.43	3,362.91	0.02966	0.09761
CITIGROUP GLOBAL MARKETS INDIA		A5831					
	NM1V		0.000	0.00	0.00	0.00000	0.00000
CITIGROUP GLOBAL MARKETS INDIA Total			0.000	0.00	0.00	0.00000	0.00000
CITIGROUP GLOBAL MARKETS LIMITED		90786					
	NM1V		399,060.000	2,379,669.85	2,867.50	0.00719	0.12050
CITIGROUP GLOBAL MARKETS LIMITED Total			399,060.000	2,379,669.85	2,867.50	0.00719	0.12050
CITIGROUP GLOBAL MARKETS TAIWAN		A4522					
	NM1V		200,000.000	509,192.27	204.36	0.00102	0.04013
CITIGROUP GLOBAL MARKETS TAIWAN Total			200,000.000	509,192.27	204.36	0.00102	0.04013
CONVERGEX LLC		69557					
	NM2D		4,043.000	166,009.22	40.43	0.01000	0.02435
CONVERGEX LLC Total			4,043.000	166,009.22	40.43	0.01000	0.02435

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Broker Name	Fund	Broker Number	Shares/Par	Base Principal	Base Commission	Base Comm Cost/Share	% of Principal
CONVERSION NON CASH		97940					
	NM1V		400,000.000	2,466,680.40	0.00	0.00000	0.00000
CONVERSION NON CASH Total			400,000.000	2,466,680.40	0.00	0.00000	0.00000
COWEN AND COMPANY, LLC		77318					
	NM1F		47,878.000	1,624,964.80	1,025.03	0.02141	0.06308
	NM1V		5,000.000	206,750.65	150.00	0.03000	0.07255
COWEN AND COMPANY, LLC Total			52,878.000	1,831,715.45	1,175.03	0.02222	0.06415
CREDIT SUISSE FIRST BOSTON		A4516					
	NM1V		2,461,481.000	2,361,020.97	3,082.57	0.00125	0.13056
CREDIT SUISSE FIRST BOSTON Total			2,461,481.000	2,361,020.97	3,082.57	0.00125	0.13056
CREDIT SUISSE FIRST BOSTON SA CTVM		C0055					
	NM1V		84,100.000	841,533.98	1,009.11	0.01200	0.11991
CREDIT SUISSE FIRST BOSTON SA CTVM Total			84,100.000	841,533.98	1,009.11	0.01200	0.11991
CREDIT SUISSE SECURITIES (EUROPE) LTD		93827					
	NM1V		139,325.000	1,444,482.66	918.14	0.00659	0.06356
CREDIT SUISSE SECURITIES (EUROPE) LTD Total			139,325.000	1,444,482.66	918.14	0.00659	0.06356
CUSIP CHANGE NON CASH		97938					
	NM1V		316,000.000	4,610,620.86	0.00	0.00000	0.00000
CUSIP CHANGE NON CASH Total			316,000.000	4,610,620.86	0.00	0.00000	0.00000
DAIWA SECURITIES (HK) LTD.		99706					
	NM1V		116,000.000	67,338.77	80.99	0.00070	0.12027
DAIWA SECURITIES (HK) LTD. Total			116,000.000	67,338.77	80.99	0.00070	0.12027
DEUTSCHE BANK AG LONDON		A4932					
	NM1V		720,000.000	313,228.35	376.04	0.00052	0.12005

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DEUTSCHE BANK AG LONDON Total			720,000.000	313,228.35	376.04	0.00052	0.12005
DEUTSCHE BANK AG NEW YORK		97301					
	NM1V		37,662.000	5,305,635.51	1,129.86	0.03000	0.02130
DEUTSCHE BANK AG NEW YORK Total			37,662.000	5,305,635.51	1,129.86	0.03000	0.02130
DEUTSCHE BANK SECURITIES INC		00573					
	NM1D		78,300.000	2,161,080.00	0.00	0.00000	0.00000
DEUTSCHE BANK SECURITIES INC Total			78,300.000	2,161,080.00	0.00	0.00000	0.00000
FBR CAPITAL MARKETS & CO.		82241					
	NM2D		130,399.000	3,038,907.85	3,911.97	0.03000	0.12873
FBR CAPITAL MARKETS & CO. Total			130,399.000	3,038,907.85	3,911.97	0.03000	0.12873
FIDELITY CAPITAL MARKETS		83620					
	NM1H		7,300.000	215,459.15	127.75	0.01750	0.05929
	NM1X		1,781,225.000	114,978,589.85	31,171.44	0.01750	0.02711
FIDELITY CAPITAL MARKETS Total			1,788,525.000	115,194,049.00	31,299.19	0.01750	0.02717
GLOBAL MENKUL DE ERLER A.S.		91478					
	NM1V		26,802.000	530,566.71	371.66	0.01387	0.07005
GLOBAL MENKUL DE ERLER A.S. Total			26,802.000	530,566.71	371.66	0.01387	0.07005
GOLDMAN SACHS + CO		00005					
	NM1D		505,811.000	11,063,392.24	14,676.33	0.02902	0.13266
	NM1F		4,340.000	262,496.08	43.40	0.01000	0.01653
GOLDMAN SACHS + CO Total			510,151.000	11,325,888.32	14,719.73	0.02885	0.12997
GOLDMAN SACHS INTERNATIONAL		00501					
	NM1V		70,081.000	215,752.79	280.85	0.00401	0.13017
GOLDMAN SACHS INTERNATIONAL Total			70,081.000	215,752.79	280.85	0.00401	0.13017

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GREEN STREET TRADING, LLC		69336					
	NM1D		283,255.000	5,341,562.15	8,497.65	0.03000	0.15909
GREEN STREET TRADING, LLC Total			283,255.000	5,341,562.15	8,497.65	0.03000	0.15909
GUGGENHEIM CAPITAL MARKETS LLC		77990					
	NM1F		1,147.000	27,838.11	34.41	0.03000	0.12361
GUGGENHEIM CAPITAL MARKETS LLC Total			1,147.000	27,838.11	34.41	0.03000	0.12361
HANWHA SECURITIES SEOUL		94911					
	NM1V		8,160.000	1,497,087.84	1,943.69	0.23820	0.12983
HANWHA SECURITIES SEOUL Total			8,160.000	1,497,087.84	1,943.69	0.23820	0.12983
HSBC BANK PLC		A5842					
	NM1V		28,000.000	16,439.44	19.77	0.00071	0.12026
HSBC BANK PLC Total			28,000.000	16,439.44	19.77	0.00071	0.12026
INSTINET		06826					
	NM1F		163.000	7,071.18	2.44	0.01497	0.03451
INSTINET Total			163.000	7,071.18	2.44	0.01497	0.03451
INSTINET LLC		00067					
	NM1D		13,800.000	637,647.54	207.00	0.01500	0.03246
INSTINET LLC Total			13,800.000	637,647.54	207.00	0.01500	0.03246
INVESTMENT TECHNOLOGY GROUP INC.		06164					
	NM1D		233,200.000	6,386,324.41	6,026.00	0.02584	0.09436
INVESTMENT TECHNOLOGY GROUP INC. Total			233,200.000	6,386,324.41	6,026.00	0.02584	0.09436
ISI GROUP INC		83213					
	NM1D		367,819.000	9,315,039.08	11,034.57	0.03000	0.11846
	NM1F		1,704.000	78,434.68	25.56	0.01500	0.03259

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	NM2D		6,835.000	195,002.55	205.05	0.03000	0.10515
ISI GROUP INC Total			376,358.000	9,588,476.31	11,265.18	0.02993	0.11749
J P MORGAN SECURITIES INC		00060					
	NM1V		97,800.000	677,325.69	271.13	0.00277	0.04003
J P MORGAN SECURITIES INC Total			97,800.000	677,325.69	271.13	0.00277	0.04003
J.P. MORGAN SECURITIES INC.		57079					
	NM1D		741,298.000	15,320,917.60	19,733.94	0.02662	0.12880
	NM1F		9,721.000	327,885.87	178.00	0.01831	0.05429
J.P. MORGAN SECURITIES INC. Total			751,019.000	15,648,803.47	19,911.94	0.02651	0.12724
JEFFERIES + COMPANY INC		00019					
	NM1D		170,090.000	9,649,588.12	6,803.60	0.04000	0.07051
	NM1F		14,680.000	1,072,802.13	153.64	0.01047	0.01432
	NM2D		203,916.000	5,686,181.33	1,019.65	0.00500	0.01793
JEFFERIES + COMPANY INC Total			388,686.000	16,408,571.58	7,976.89	0.02052	0.04861
JEFFERIES INTERNATIONAL LTD		90447					
	NM1V		27,338.000	2,802,164.04	820.14	0.03000	0.02927
JEFFERIES INTERNATIONAL LTD Total			27,338.000	2,802,164.04	820.14	0.03000	0.02927
JONESTRADING INSTITUTIONAL SERVICES LLC		77583					
	NM2D		3,087.000	92,702.61	92.61	0.03000	0.09990
JONESTRADING INSTITUTIONAL SERVICES LLC Total			3,087.000	92,702.61	92.61	0.03000	0.09990
JP MORGAN SECURITIES PLC		99774					
	NM1V		60,468.000	421,329.94	759.76	0.01256	0.18032
JP MORGAN SECURITIES PLC Total			60,468.000	421,329.94	759.76	0.01256	0.18032
JPMORGAN SECURITIES(ASIA PACIFIC)LTD		A1011					
	NM1V		24,000.000	14,172.78	17.05	0.00071	0.12030

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JPMORGAN SECURITIES(ASIA PACIFIC)LTD Total			24,000.000	14,172.78	17.05	0.00071	0.12030
KEYBANC CAPITAL MARKETS INC		67526					
	NM1F		39,430.000	1,255,688.62	931.85	0.02363	0.07421
KEYBANC CAPITAL MARKETS INC Total			39,430.000	1,255,688.62	931.85	0.02363	0.07421
KNIGHT EQUITY MARKETS L.P.		62465					
	NM1F		12,556.000	547,689.13	376.68	0.03000	0.06878
KNIGHT EQUITY MARKETS L.P. Total			12,556.000	547,689.13	376.68	0.03000	0.06878
LIQUIDNET INC		69400					
	NM1D		616,507.000	20,428,010.44	12,330.14	0.02000	0.06036
	NM1F		157,821.000	4,794,346.05	3,156.42	0.02000	0.06584
LIQUIDNET INC Total			774,328.000	25,222,356.49	15,486.56	0.02000	0.06140
LUMINEX TRADING AND ANALYTICS LLC		69237					
	NM1F		25,449.000	1,592,117.17	318.12	0.01250	0.01998
LUMINEX TRADING AND ANALYTICS LLC Total			25,449.000	1,592,117.17	318.12	0.01250	0.01998
MACQUARIE BANK LIMITED		C8016					
	NM1V		58,500.000	735,044.16	880.05	0.01504	0.11973
MACQUARIE BANK LIMITED Total			58,500.000	735,044.16	880.05	0.01504	0.11973
MACQUARIE SECURITIES (USA) INC		76099					
	NM1D		153,400.000	2,569,633.45	4,602.00	0.03000	0.17909
MACQUARIE SECURITIES (USA) INC Total			153,400.000	2,569,633.45	4,602.00	0.03000	0.17909
MACQUARIE SECURITIES LTD SEOUL		A2123					
	NM1V		2,000.000	2,429,290.30	975.03	0.48752	0.04014
MACQUARIE SECURITIES LTD SEOUL Total			2,000.000	2,429,290.30	975.03	0.48752	0.04014
MANDATORY EXCHANGE NON CASH		95750					

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July 1, 2016 to September 30, 2016

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	NM1X		65,996.000	2,103,353.52	0.00	0.00000	0.00000
MANDATORY EXCHANGE NON CASH Total			65,996.000	2,103,353.52	0.00	0.00000	0.00000
MERGER		99149					
	NM1F		48,437.888	1,389,368.21	0.00	0.00000	0.00000
	NM1G		49,150.000	614,375.00	0.00	0.00000	0.00000
	NM1X		477,594.541	17,870,134.19	0.00	0.00000	0.00000
MERGER Total			575,182.429	19,873,877.40	0.00	0.00000	0.00000
MERGER NON CASH		97933					
	NM1F		57,800.000	2,242,564.60	0.00	0.00000	0.00000
	NM1X		88,844.000	2,053,578.36	0.00	0.00000	0.00000
MERGER NON CASH Total			146,644.000	4,296,142.96	0.00	0.00000	0.00000
MERRILL LYNCH CANADA INC		A2775					
	NM1D		71,600.000	951,298.56	2,148.00	0.03000	0.22580
MERRILL LYNCH CANADA INC Total			71,600.000	951,298.56	2,148.00	0.03000	0.22580
MERRILL LYNCH INTERNATIONAL		A4600					
	NM1V		2,179,000.000	4,036,898.22	5,173.98	0.00237	0.12817
MERRILL LYNCH INTERNATIONAL Total			2,179,000.000	4,036,898.22	5,173.98	0.00237	0.12817
MERRILL LYNCH PIERCE FENNER + SMITH INC		00161					
	NM1F		2,751.000	227,615.70	27.51	0.01000	0.01209
	NM2D		751.000	33,296.31	22.53	0.03000	0.06767
MERRILL LYNCH PIERCE FENNER + SMITH INC Total			3,502.000	260,912.01	50.04	0.01429	0.01918
MERRILL LYNCH PIERCE FENNER AND S		A3675					
	NM1D		822,700.000	27,085,597.82	14,226.00	0.01729	0.05252
MERRILL LYNCH PIERCE FENNER AND S Total			822,700.000	27,085,597.82	14,226.00	0.01729	0.05252
MIZUHO SECURITIES USA INC		94765					

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	NM1D		27,700.000	467,746.31	831.00	0.03000	0.17766
MIZUHO SECURITIES USA INC Total			27,700.000	467,746.31	831.00	0.03000	0.17766
MKM PARTNERS LLC		62526					
	NM1D		119,388.000	7,450,721.73	3,581.64	0.03000	0.04807
MKM PARTNERS LLC Total			119,388.000	7,450,721.73	3,581.64	0.03000	0.04807
MORGAN STANLEY AND CO INTL TAIPEI METRO		A5293					
	NM1V		300,000.000	793,739.84	1,030.51	0.00344	0.12983
MORGAN STANLEY AND CO INTL TAIPEI METRO Total			300,000.000	793,739.84	1,030.51	0.00344	0.12983
MORGAN STANLEY AND CO. INTERNATIONAL		A0459					
	NM1V		838,975.000	1,246,149.08	8,607.34	0.01026	0.69072
MORGAN STANLEY AND CO. INTERNATIONAL Total			838,975.000	1,246,149.08	8,607.34	0.01026	0.69072
MORGAN STANLEY CO INCORPORATED		00050					
	NM1D		155,700.000	3,998,995.99	4,671.00	0.03000	0.11680
	NM1F		15,221.000	718,660.88	122.46	0.00805	0.01704
	NM1G		81,800.000	1,185,157.41	3,272.00	0.04000	0.27608
	NM1V		106,702.000	1,239,789.54	446.34	0.00418	0.03600
	NM2D		27,571.000	470,801.25	827.13	0.03000	0.17569
MORGAN STANLEY CO INCORPORATED Total			386,994.000	7,613,405.07	9,338.93	0.02413	0.12266
NAME CHANGE NON CASH		97936					
	NM1H		12,962.000	686,361.16	0.00	0.00000	0.00000
NAME CHANGE NON CASH Total			12,962.000	686,361.16	0.00	0.00000	0.00000
NATIONAL FINANCIAL SERVICES LLC		A9356					
	NM1D		7,600.000	137,788.00	0.00	0.00000	0.00000
NATIONAL FINANCIAL SERVICES LLC Total			7,600.000	137,788.00	0.00	0.00000	0.00000
NEEDHAM AND COMPANY LLC		69438					

Broker Summary/ All Activity by Report Date

Composite

July 1, 2016 to September 30, 2016

View Date: November 8, 2016



STATE STREET

Base Currency: USD - US DOLLAR							
Broker Name	Fund	Broker Number	Shares/Par	Base Principal	Base Commission	Base Comm Cost/Share	% of Principal
	NM1G		16,400.000	507,927.68	820.00	0.05000	0.16144
NEEDHAM AND COMPANY LLC Total			16,400.000	507,927.68	820.00	0.05000	0.16144
PICKERING ENERGY PARTNERS, INC		75945					
	NM2D		29,166.000	1,639,975.75	874.98	0.03000	0.05335
PICKERING ENERGY PARTNERS, INC Total			29,166.000	1,639,975.75	874.98	0.03000	0.05335
RAYMOND JAMES AND ASSOCIATES		05179					
	NM1D		210,400.000	10,173,229.44	8,010.00	0.03807	0.07874
RAYMOND JAMES AND ASSOCIATES Total			210,400.000	10,173,229.44	8,010.00	0.03807	0.07874
RAYMOND JAMES AND ASSOCIATES INC		00725					
	NM1F		1,306.000	184,037.50	39.18	0.03000	0.02129
	NM1G		40,700.000	605,119.46	1,628.00	0.04000	0.26904
RAYMOND JAMES AND ASSOCIATES INC Total			42,006.000	789,156.96	1,667.18	0.03969	0.21126
RBC CAPITAL MARKETS		00235					
	NM1D		212,500.000	3,321,303.84	4,327.00	0.02036	0.13028
	NM1F		5,164.000	97,886.84	77.46	0.01500	0.07913
	NM2D		19,106.000	803,784.96	97.90	0.00512	0.01218
RBC CAPITAL MARKETS Total			236,770.000	4,222,975.64	4,502.36	0.01902	0.10662
ROBERT W.BAIRD CO.INCORPORATE		00547					
	NM1D		194,600.000	8,059,726.63	5,838.00	0.03000	0.07243
	NM1F		14,490.000	478,851.17	283.38	0.01956	0.05918
ROBERT W.BAIRD CO.INCORPORATE Total			209,090.000	8,538,577.80	6,121.38	0.02928	0.07169
SANFORD C. BERNSTEIN AND CO. LLC		C9061					
	NM1V		586,500.000	1,650,980.56	1,265.61	0.00216	0.07666
SANFORD C. BERNSTEIN AND CO. LLC Total			586,500.000	1,650,980.56	1,265.61	0.00216	0.07666
SANFORD CBERNSTEIN CO LLC		00013					

Broker Summary/ All Activity by Report Date

Composite

July 1, 2016 to September 30, 2016

View Date: November 8, 2016



STATE STREET

Base Currency: USD - US DOLLAR							
Broker Name	Fund	Broker Number	Shares/Par	Base Principal	Base Commission	Base Comm Cost/Share	% of Principal
	NM1F		91,021.000	4,609,547.77	1,365.51	0.01500	0.02962
SANFORD CBERNSTEIN CO LLC Total			91,021.000	4,609,547.77	1,365.51	0.01500	0.02962
SG SECURITIES HK		99500					
	NM1V		93,500.000	249,974.30	299.43	0.00320	0.11978
SG SECURITIES HK Total			93,500.000	249,974.30	299.43	0.00320	0.11978
SOCIETE GENERALE LONDON BRANCH		E4351					
	NM1V		25,094.000	493,358.74	296.19	0.01180	0.06004
SOCIETE GENERALE LONDON BRANCH Total			25,094.000	493,358.74	296.19	0.01180	0.06004
STATE STREET GLOBAL MARKETS, LLC		75353					
	NM1D		220,800.000	6,646,832.13	2,208.00	0.01000	0.03322
STATE STREET GLOBAL MARKETS, LLC Total			220,800.000	6,646,832.13	2,208.00	0.01000	0.03322
STIFEL NICOLAUS + CO INC		00793					
	NM1D		51,500.000	3,506,496.34	1,545.00	0.03000	0.04406
	NM1F		51,434.000	2,031,342.02	1,208.64	0.02350	0.05950
STIFEL NICOLAUS + CO INC Total			102,934.000	5,537,838.36	2,753.64	0.02675	0.04972
TELSEY ADVISORY GROUP LLC		61514					
	NM1F		22,985.000	1,113,739.09	459.70	0.02000	0.04128
TELSEY ADVISORY GROUP LLC Total			22,985.000	1,113,739.09	459.70	0.02000	0.04128
TENDER OFFER		99007					
	NM1V		11,065.000	69,731.29	0.00	0.00000	0.00000
TENDER OFFER Total			11,065.000	69,731.29	0.00	0.00000	0.00000
UBS AG		A4790					
	NM1D		269,500.000	7,387,316.64	8,085.00	0.03000	0.10944
	NM1V		10,800.000	70,020.45	84.15	0.00779	0.12018

Broker Summary/ All Activity by Report Date

Composite

July 1, 2016 to September 30, 2016

View Date: November 8, 2016



STATE STREET

Base Currency: USD - US DOLLAR

Broker Name	Fund	Broker Number	Shares/Par	Base Principal	Base Commission	Base Comm Cost/Share	% of Principal
UBS AG Total			280,300.000	7,457,337.09	8,169.15	0.02914	0.10955
UBS LIMITED		A5726					
	NM1V		106,614.000	1,060,485.79	288.99	0.00271	0.02725
UBS LIMITED Total			106,614.000	1,060,485.79	288.99	0.00271	0.02725
UBS SECURITIES LLC		00642					
	NM1F		5,914.000	293,385.82	59.14	0.01000	0.02016
	NM1G		9,000.000	955,747.65	450.00	0.05000	0.04708
	NM1H		76,000.000	2,983,158.23	1,520.00	0.02000	0.05095
	NM1X		1,335,969.000	81,493,867.63	26,719.38	0.02000	0.03279
	NM2D		111,748.000	2,457,547.78	3,352.44	0.03000	0.13641
UBS SECURITIES LLC Total			1,538,631.000	88,183,707.11	32,100.96	0.02086	0.03640
USCA SECURITIES LLC		63279					
	NM2D		376.000	4,870.51	11.28	0.03000	0.23160
USCA SECURITIES LLC Total			376.000	4,870.51	11.28	0.03000	0.23160
WEEDEN + CO.		09883					
	NM1D		356,387.000	16,049,983.68	4,447.87	0.01248	0.02771
	NM1F		1,008.000	46,417.71	30.24	0.03000	0.06515
	NM2D		230,844.000	7,826,517.29	2,637.74	0.01143	0.03370
WEEDEN + CO. Total			588,239.000	23,922,918.68	7,115.85	0.01210	0.02974
WELLS FARGO SECURITIES LLC		00250					
	NM2D		324,390.000	11,093,825.65	1,633.02	0.00503	0.01472
WELLS FARGO SECURITIES LLC Total			324,390.000	11,093,825.65	1,633.02	0.00503	0.01472
WELLS FARGO SECURITIES, LLC		46171					
	NM1D		59,400.000	986,601.40	1,782.00	0.03000	0.18062
	NM1F		9,757.000	340,091.53	249.17	0.02554	0.07327
	NM2D		823,946.000	25,979,270.12	5,382.97	0.00653	0.02072

Broker Summary/ All Activity by Report Date

Composite

July 1, 2016 to September 30, 2016

View Date: November 8, 2016



STATE STREET

Base Currency: USD - US DOLLAR

Broker Name	Fund	Broker Number	Shares/Par	Base Principal	Base Commission	Base Comm Cost/Share	% of Principal
WELLS FARGO SECURITIES, LLC Total			893,103.000	27,305,963.05	7,414.14	0.00830	0.02715
COMPOSITE Total			25,528,557.429	678,363,214.64	338,822.03	0.01327	0.04995