# **EXHIBIT D**

Declaration of Morgan Kimball Regarding (I) Mailing of Notice;
(II) Publication of Summary Notice; (III) the Settlement Website and Contact Center Services; (IV) Claim Filing; and
(V) Requests for Exclusion and Objections Received to Date

### UNITED STATES DISTRICT COURT FOR THE DISTRICT OF COLORADO

### Civil Action No. 1:22-cv-00453-PAB-KAS

MICHAEL BILINSKY, Individually and on Behalf of All Others Similarly Situated,

#### Plaintiff,

v.

GATOS SILVER, INC., STEPHEN ORR, ROGER JOHNSON, PHILIP PYLE, JANICE STAIRS, ALI ERFAN, IGOR GONZALES, KARL HANNEMAN, DAVID PEAT, CHARLES HANSARD, and DANIEL MUÑIZ QUINTANILLA,

Defendants.

### DECLARATION OF MORGAN KIMBALL REGARDING (I) MAILING OF NOTICE; (II) PUBLICATION OF SUMMARY NOTICE; (III) THE SETTLEMENT WEBSITE AND CONTACT CENTER SERVICES; (IV) CLAIM FILING; AND (V) REQUESTS <u>FOR EXCLUSION AND OBJECTIONS RECEIVED TO DATE</u>

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MORGAN KIMBALL declares under penalty of perjury, pursuant to 28 U.S.C. § 1746, that the following is true:

1. I am a Project Manager for Epiq Class Action and Claims Solutions, Inc. ("Epiq"). I am providing this declaration at the request of Lead Counsel Bleichmar Fonti & Auld LLP ("Lead Counsel"), on behalf of Plaintiffs, in connection with Plaintiffs' Motion for Final Approval of the Settlement and Approval of the Plan of Allocation.<sup>1</sup> This declaration supplements my prior declaration. (ECF No. 82-9.) I make this declaration based on personal knowledge, and if called to testify, I could and would do so competently.

2. Pursuant to the Court's February 29, 2024 Preliminary Approval Order (ECF No. 87), Epiq is authorized to act as the Claims Administrator in connection with the Settlement of the above-captioned action (the "Action"). This declaration provides information regarding: (i) the mailing of the Notice; (ii) the publication of the Summary Notice; (iii) the implementation of the Settlement Website and contact center services; (iv) the current status of claim filings; and, (v) the requests for exclusion and objections received by Epiq to date.

### I. MAILING OF THE NOTICE

3. On March 21, 2024, in accordance with the Preliminary Approval Order, Epiq began mailing the Court-approved self-mailer notice (the "Notice") to potential Settlement Class

<sup>&</sup>lt;sup>1</sup> Capitalized terms not defined herein have the meanings stated in the Amended Class Action Complaint for Violations of the Securities Laws (ECF No. 54), the Stipulation and Agreement of Settlement dated September 12, 2023 (ECF No. 85-1), and the Joint Declaration of Joseph A. Fonti and Kathryn A. Reilly in Support of: (I) Plaintiffs' Motion for Final Approval of the Settlement and Approval of the Plan of Allocation and (II) Lead Counsel and WTO's Motion for Awards of Attorneys' Fees, Litigation Expenses, and Reasonable Costs and Expenses to Plaintiffs (the "Joint Declaration" or "Joint Decl.").

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Members and banks, brokers, and other nominees (the "Initial Mailing"). The Initial Mailing included 71 Notices that were mailed via United States Postal Service ("USPS") First-Class Mail to the addresses contained in the Transfer List provided by Defendants.

4. As in most class actions of this nature, the large majority of potential Settlement Class Members are expected to be beneficial purchasers whose securities are held in "street name"—*i.e.*, the securities are purchased and held by brokerage firms, banks, institutions, and other third-party nominees on behalf of the beneficial purchasers. Epiq maintains and updates a proprietary internal list of approximately 1,400 nominees, including the largest and most common banks, brokers, and other nominees. The Initial Mailing included 990 Notices mailed to addresses from Epiq's internal list of nominees.

5. In total, Epiq mailed 1,061 copies of the Notice as part of the Initial Mailing. A copy of the Notice in the form it was mailed is attached hereto as Exhibit 1.

6. The Notice directed nominees and brokers who purchased Gatos Securities for the beneficial interest of a person or organization other than themselves to, within seven (7) calendar days of receipt of the Notice, either: (i) provide a list of the names and addresses of all such beneficial owners to Epiq; or (ii) request from Epiq sufficient copies of the Notice to forward to all such beneficial owners, and, within seven (7) calendar days of receipt of those Notices, forward them to all such beneficial owners.

7. At Lead Counsel's direction, Epiq took additional steps to provide nominees and brokers with advance notice of the Initial Mailing, to follow up with nominees and brokers that it had not yet heard from to ensure that they had received Notices, to ensure they were following the Notice's specific instructions to provide beneficial owner information or request copies of the

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Notice for forwarding to beneficial owners, and to confirm that nominees and brokers were communicating copies of the Notice to investors via email where possible. Prior to the Initial Mailing, Epiq identified the top 26 nominees from Epiq's internal list of nominees. Epiq emailed these nominees to let them know that the Initial Mailing would occur on March 21, 2024, to encourage quick submissions of broker mailing requests or inquiries, and to provide a copy of the Notice they will be receiving. Following the Initial Mailing, for any of these nominees that had not yet responded to the Notice, an Epiq representative personally called and/or emailed the nominees to remind them to do so, and followed up at least twice with nominees that did not respond to this individual outreach.

8. From the Initial Mailing through the date of this Declaration, Epiq received, and mailed Notices to, an additional 3,649 names and addresses of potential Settlement Class Members obtained from brokerage firms, banks, and other nominees. Epiq has also received requests from brokers and nominees for 5,555 Notices to be forwarded by them to their customers, which Epiq provided to those brokers and nominees, as well as requests from potential Settlement Class Members by telephone or correspondence for one (1) Notice. All such requests have been, and will continue to be, addressed and completed in a timely manner.

9. As of the date of this Declaration, a total of 10,266 Notices have been mailed to potential Settlement Class Members, including Notices sent directly to nominees at their request for transmission to investors.

10. In addition, one nominee, Broadridge, has informed Epiq that it emailed 18,889 copies of the Notice to beneficial owners.

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11. While Epiq initially estimated that up to 30,000 Notices could be mailed, this estimate was developed before receiving the Transfer List from Defendants and the names and addresses of beneficial owners from brokers and nominees. Epiq believes that the dissemination of 29,155 Notices to date compares favorably with the scope of individual notice in other large securities class action settlements. Further, Epiq believes that, as discussed below, the distribution of 29,155 Notices, together with the publication of the Summary Notice and establishment of the Settlement Website, has provided potential Settlement Class Members with the best notice practicable under the circumstances, and effectively advised them of the Settlement and the opportunity to submit claims, object, or seek exclusion.

### II. PUBLICATION OF THE SUMMARY NOTICE

12. On March 11, 2024, the Court-approved Summary Notice was published in *Investor's Business Daily* and was transmitted over *PR Newswire*. On March 11, 2024, and continuing through April 9, 2024, Epiq also published digital notice in the form of banner advertisements on the *Google Display Network* and *Yahoo! Finance* websites. Copies of the proofs of publication of the Summary Notice in *Investor's Business Daily*, transmission over *PR Newswire*, and digital notice on *Google Display Network* and *Yahoo! Finance* are attached hereto as Exhibit 2.

13. On March 11, 2024, Epiq also caused the Summary Notice to be published by the Depository Trust Corporation ("DTC") on the DTC Legal Notice System ("LENS"), which enables participating banks and brokers to review the Summary Notice and directly contact Epiq to obtain copies of the Notice for clients who may be Settlement Class Members.

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### III. THE SETTLEMENT WEBSITE

14. Epiq, in coordination with Lead Counsel, designed, implemented, and maintains a website dedicated to the Settlement of the Action (www.GatosSecuritiesLitigation.com) (the "Settlement Website"). The Settlement Website's address is set forth in the Notice and Long-Form Notice delivered to potential Settlement Class Members and nominees, and was published in the Summary Notice.

15. The Settlement Website became operational on March 8, 2024, ahead of the Courtordered schedule, and is accessible 24 hours a day, 7 days a week. The Settlement Website provides summary information regarding the case and Settlement, and highlights important dates, including dates to submit claims, opt out, or file objections, as well as the date of the Fairness Hearing.

16. The Settlement Website provides copies of the Notice, Summary Notice, Long-Form Notice, and Proof of Claim form, as well as answers to frequently asked questions, instructions on how to submit claims, how to opt out of the Settlement, and how to submit objections.

17. The Settlement Website also contains downloadable copies of other documents related to the Action, including the Court's Preliminary Approval Order, the Amended Class Action Complaint filed August 15, 2022, the Stipulation, and Plaintiffs' Unopposed Motion for Preliminary Approval of Class Settlement filed July 13, 2023. In addition, Epiq will promptly post copies of the papers being filed in support of final approval of the Settlement, approval of the Plan of Allocation, and awards of attorneys' fees, litigation expenses, and reasonable costs and expenses to Plaintiffs.

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18. The Settlement Website also includes a link to a claim filing module through which Settlement Class Members may submit their claims online, a link to an opt-out module through which Settlement Class Members may submit their requests for exclusion online, and a link to a nominee module through which nominees and brokers may electronically submit claims on behalf of Settlement Class Members and lists of the names and addresses of potential Settlement Class Members to which Epiq will mail Notices. Epiq will continue operating, maintaining and, as appropriate, updating the Settlement Website until the conclusion of the claims administration process.

19. As of the date of this Declaration, there have been 5,114 unique visitors to the Settlement Website and 9,005 pageviews. Additionally, of those 9,005 pageviews, 170 were of the downloadable Proof of Claim form.

### **IV. CONTACT CENTER SERVICES**

20. Epiq reserved a toll-free telephone number for the Settlement, 1-877-757-6172. Epiq also published the telephone number in the Notice, Summary Notice, Long-Form Notice, and on the Settlement Website.

21. The telephone number, which became operational on March 8, 2024, connects callers with an Interactive Voice Response ("IVR") system. The IVR provides callers with access to additional information that has been pre-recorded and is in operation 24 hours a day, 7 days a week. The pre-recorded message provides callers with a brief summary of the Settlement and the option to select one of several more detailed recorded messages addressing frequently asked questions. The IVR also allows callers to request that a copy of the Long-Form Notice and Proof of Claim form be mailed to them, or the caller may opt to speak with a trained operator Monday

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through Friday from 7:00 a.m. to 7:00 p.m. M.T. (excluding official holidays) regarding the status of the Settlement and/or to obtain answers to questions they may have.

22. As of the date of this Declaration, Epiq has received a total of 43 calls to the telephone number dedicated to the Settlement, including 25 calls that were handled by a live operator. Epiq has promptly responded to each telephone inquiry and mailing request and will continue to do so.

23. Additionally, Epiq maintains and monitors an email address established for the Settlement (info@GatosSecuritiesLitigation.com) as well as a P.O. Box dedicated to this Settlement (*Gatos U.S. Securities Litigation*, P.O. Box 5678, Portland, OR 97228-5678) for potential Settlement Class Members and nominees to submit questions and inquiries via email and mail. As of the date of this Declaration, Epiq has received 83 emails and mailed correspondence and responded as appropriate.

#### V. CLAIM FILING

24. The Notice, Summary Notice, Long-Form Notice, IVR, and Settlement Website inform potential Settlement Class Members that, to be eligible to receive a payment from the Net Settlement Fund, they must submit a Proof of Claim form online via the Settlement Website by June 19, 2024, or by mail such that it is postmarked by June 19, 2024. As is typical in other claims administration matters of this kind, Epiq will continue to process claims received or postmarked after June 19, 2024, until such time as the receipt and processing of new late claims will impact decisions on disbursements.

25. As of the date of this Declaration, Epiq has received 182 Proof of Claim forms from potential Settlement Class Members and brokerage firms, banks, institutions, and other nominees.

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### VI. REQUESTS FOR EXCLUSION AND OBJECTIONS

26. The Notice, Summary Notice, Long-Form Notice, IVR, and Settlement Website inform potential Settlement Class Members that requests for exclusion from the Settlement Class must be electronically submitted via the Settlement Website or postmarked no later than May 5, 2024. The Notice, Long-Form Notice, and Settlement Website instruct potential Settlement Class Members who wish to exclude themselves from the Settlement Class to submit a written request for exclusion that provides specific information, including records of their transactions in Gatos Securities.

27. As of the date of this Declaration, Epiq has not received and is not aware of any requests for exclusion.

28. The Notice, Summary Notice, Long-Form Notice, IVR, and Settlement Website also inform potential Settlement Class Members that they may object to the Settlement, the proposed Plan of Allocation, or the application for awards of attorneys' fees, litigation expenses, and reasonable costs and expenses to Plaintiffs pursuant to 15 U.S.C. § 78u-4(a)(4); that the objection must be made in writing and filed with the Court in accordance with all of the instructions set forth in the Long-Form Notice; and, that objections must be received or filed, not simply postmarked, on or before May 10, 2024.

29. As of the date of this Declaration, Epiq has not received and is not aware of any objections to the Settlement, the proposed Plan of Allocation, or the application for awards of attorneys' fees, litigation expenses, and reasonable costs and expenses to Plaintiffs pursuant to 15 U.S.C. § 78u-4(a)(4).

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Dated: April 26, 2024

By: Morgan Kimball

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# Exhibit 1

**Notice of Proposed Settlement of Class Action** 

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*Gatos U.S. Securities Litigation* Claims Administrator P.O. Box 5768 Portland, OR 97228-5768

#### IMPORTANT NOTICE FROM THE UNITED STATES DISTRICT COURT FOR THE DISTRICT OF COLORADO

### NOTICE OF CLASS SETTLEMENT

If you purchased or otherwise acquired Gatos common stock during the period from October 28, 2020 through January 25, 2022 (both inclusive), or purchased or otherwise acquired publicly traded call options on Gatos common stock and/or sold publicly traded put options on Gatos common stock during the period from December 9, 2020 through January 25, 2022 (both inclusive), you may be affected by a proposed class settlement.

#### THE SETTLEMENT MAY AFFECT YOUR LEGAL RIGHTS. YOU MAY BE ELIGIBLE FOR A CASH PAYMENT. PLEASE READ THIS NOTICE CAREFULLY.

PRESORTED FIRST-CLASS MAIL AUTO U.S. POSTAGE PAID PORTLAND, OR PERMIT NO. 2882 Case No. 1:22-cv-00453-PAB-KAS Document 91-4 filed 04/26/24 USDC Colorado pg 14 This Notice provides only limited information about the Settlement. For more information, please visit www.GatosSecuritiesLitigation.com (the "Settlement Website") or call the Claims Administrator at 877-757-6172. <u>Important Settlement Notice: Bilinsky v. Gatos Silver Inc. et al.</u>, <u>No. 1:22-cv-00453-PAB-KLM (D. Colo.) (the "Action")</u>

The Parties have reached a proposed Settlement that, if approved, will resolve the Released Claims against the Defendants and their Related Parties on behalf of the Settlement Class.

Gatos and/or its insurance carriers have agreed to pay \$21,000,000. This amount, plus accrued interest, and after deduction of Court-approved attorneys' fees and expenses (including any awards to Plaintiffs), Notice and Administration Costs, and Taxes, will be allocated, pursuant to the Plan of Allocation in the Long-Form Notice, among Settlement Class Members who submit valid claims.

You may be a Settlement Class Member if you purchased or otherwise acquired Gatos common stock pursuant or traceable to the 2020 Registration Statement or the 2021 Registration Statement or purchased or otherwise acquired Gatos common stock or publicly traded call options on Gatos common stock and/or sold publicly traded put options on Gatos common stock during the period from December 9, 2020 through January 25, 2022 (both inclusive).

TO BE ELIGIBLE FOR PAYMENT, YOU MUST SUBMIT A VALID PROOF OF CLAIM ONLINE OR POSTMARKED BY JUNE 19, 2024. THE FORM IS AVAILABLE FROM THE SETTLEMENT WEBSITE, WWW.GATOSSECURITIESLITIGATION.COM, OR BY MAIL UPON REQUEST THROUGH THE WEBSITE OR BY CALLING THE CLAIMS ADMINISTRATOR AT 877-757-6172.

Case No. 1:22-cv-00453-PAB-KAS Document 91-4 filed 04/26/24 USDC Colorado pg 15 The Settlement Website contains a Long-Form Notice with additional information that you should review.

You must comply with the Long-Form Notice's complete instructions on how to submit a Proof of Claim, exclude yourself, or object. In summary, you have three options:

Option 1: Submit a Proof of Claim (with further options to object to the Settlement and/or appear at the Fairness Hearing).

**Option 2: Exclude yourself from the Settlement Class, as detailed below.** 

Option 3: Do nothing. You will still be bound by the Settlement and will fully release all Released Claims against Defendants and their Related Parties.

YOUR LEGAL RIGHTS AND OPTIONS IN THIS SETTLEMENT			
OPTION 1: SUBMIT A PROOF OF CLAIM SUBMITTED ONLINE OR POSTMARKED BY JUNE 19, 2024	This is the only way to be eligible to get a payment from the Settlement. If you wish to participate in the Settlement, you will need to complete and submit the Proof of Claim, available at www.GatosSecuritiesLitigation.com or by calling the Claims Administrator at 877-757-6172. Settlement Class Members who do not complete and submit the Proof of Claim in accordance with the instructions on the Proof of Claim and within the time required will be bound by the Settlement and shall have fully released all of the Released Claims against Defendants and their Related Parties, but will not be eligible to participate in any distribution of the Net Settlement Fund.		

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OPTION 2: EXCLUDE YOURSELF FROM THE SETTLEMENT CLASS BY SUBMITTING A WRITTEN REQUEST FOR EXCLUSION SUBMITTED ONLINE OR POSTMARKED BY MAY 5, 2024	If you wish to exclude yourself from the Settlement, you must submit a written request for exclusion that is submitted online or postmarked by May 5, 2024. You will not be bound by the results of the Litigation, you cannot object to the Settlement, and you will not receive any payment. This is the only option that allows you to ever bring or be part of any other lawsuit against Defendants or their Related Parties related to the issues raised in the Litigation.
OPTION 3: DO NOTHING	If you are a Settlement Class Member but do not request exclusion and do not submit a Proof of Claim submitted online or postmarked by June 19, 2024, you will not be eligible to receive any payment from the Settlement Fund. You will, however, be bound by the Settlement and shall have fully released all of the Released Claims against Defendants and their Related Parties.

If you are a Settlement Class Member, you may also object to the Settlement (whether or not you file a Proof of Claim) by submitting a written objection so that it is received or filed no later than May 10, 2024. If you believe the Settlement is objectionable in any respect, you may write to the Court about why you oppose the Settlement, the Plan of Allocation, and/or the request for attorneys' fees, costs, and expenses. You will still be a Settlement Class Member who is bound by the Settlement and shall have fully released all of the Released Claims against Defendants and their Related Parties.

You may attend the Fairness Hearing on May 31, 2024 at 10:00 a.m. (Mountain Time), and provide a notice of intention to appear to Lead Counsel and Defendants' Counsel so that it is received no later than May 10, 2024. You do not need to attend the Fairness Hearing unless you wish to speak in support of any objection you may have submitted, and have indicated your intention to appear to Lead Counsel and Defendants' Counsel so that it is received no later than May 10, 2024. The Court may postpone the Fairness Hearing without further notice to you.

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What is this case about? Why is there a settlement? The Litigation alleges that certain Defendants made material misstatements and omissions regarding, *inter alia*, mineral resource and mineral reserve estimates for Gatos' Cerro Los Gatos mine. Defendants deny any wrongdoing or liability. The Parties disagree on liability and damages. Plaintiffs wish to avoid the risk and delay of further litigation and secure a substantial benefit for the Settlement Class. Defendants wish to avoid the cost and distraction of further litigation.

**How much will I recover?** The estimated average recovery per affected Gatos Security is approximately \$0.61 per share of Gatos common stock (or \$0.54 for stock purchased in or traceable to the IPO or SPO), \$0.42 per put option, and \$0.09 per call option, each before deduction of Court-approved fees, expenses, and costs. This amount is an average, and your recovery will vary based on (among other things) the number of valid claims and the size and timing of your transactions in Gatos Securities.

The Court will hold a hearing on May 31, 2024 at 10:00 a.m. (Mountain Time) to consider whether to approve the Settlement and Lead Counsel Bleichmar Fonti & Auld LLP's request for attorneys' fees not to exceed 28% of the Settlement Amount, expenses not to exceed \$325,000, and awards to Plaintiffs of no more than \$15,000 in the aggregate (an average of approximately \$0.18 per affected share of Gatos common stock (or \$0.16 for stock purchased in or traceable to the IPO or SPO), \$0.13 per affected put option, and \$0.03 per affected call option). You may, but are not required to, attend, and may also appear through counsel of your choice and at your own expense.

**How can I get more information?** Visit the Settlement Website at **www.GatosSecuritiesLitigation.com**, contact the Claims Administrator at 877-757-6172, or contact Lead Counsel: Joseph A. Fonti, Bleichmar Fonti & Auld LLP, 7 Times Square, 27th Floor, New York, NY 10036, Telephone: (888) 879-9418, Email: gatossettlement@bfalaw.com.

### Case No. 1:22-cv-00453-PAB-KAS Document 91-4 filed 04/26/24 USDC Colorado pg 18 SPECIAL NOTE TO NOMINEES

Nominees who purchased or otherwise acquired Gatos common stock pursuant or traceable to the 2020 Registration Statement or the 2021 Registration Statement, or purchased or otherwise acquired Gatos common stock or publicly traded call options on Gatos common stock and/or sold publicly traded put options on Gatos common stock during the period from December 9, 2020 through January 25, 2022 (both inclusive), for the beneficial interest of other Persons or entities shall, within seven (7) calendar days of receipt of this Notice, either: (i) request from the Claims Administrator sufficient copies of the Notice to forward to all such beneficial owners and do so promptly after receipt of those Notices; or (ii) provide a list of the names and addresses of all such beneficial owners to the Claims Administrator at *Gatos U.S. Securities Litigation*, P.O. Box 5768, Portland, OR 97228-5768.

If you choose the first option, you must send a statement to the Claims Administrator confirming that the mailing was made and you must retain your mailing records for use in connection with any further notices that may be provided in the Litigation.

If you choose the second option, the Claims Administrator will send a copy of the Notice to the beneficial owners.

Upon full and timely compliance with these directions, such nominees may seek reimbursement of their reasonable expenses actually incurred by providing the Claims Administrator with proper documentation supporting the expenses for which reimbursement is sought.

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The following QR code links to the Settlement Website



# Exhibit 2

**Proof of Publication of Summary Notice** 

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# **CONFIRMATION OF PUBLICATION**

## IN THE MATTER OF: Gatos US Securities Litigation

I, Kathleen Komraus, hereby certify that

(a) I am the Media & Design Manager at Epiq Class Action & Claims Solutions, a noticing administrator, and;

(b) The Notice of which the annexed is a copy was published in the following publications on the following dates:

### 3.11.2024 – Investor's Business Weekly 3.11.2024 – PR Newswire

(c) Banner advertisements are appearing on the following digital properties on the following dates:

3.11.2024 – 4.9.2024 – Google Display Network 3.11.2024 – 4.9.2024 – Yahoo! Finance

x Kathleen Komraus

(Signature)

Media & Design Manager (Title)

# MUTUAL FUND PERFORMANCE

### WEEK OF MARCH 11, 2024 A13

INVESTORS.COM		MUTI
% Mo YTD 12Wk 5 Yr Net Performance % % After Asset NAV Rating   Fund   Chg  Chg Tax Rtn  Value  Chg	36 Mo         YTD 12Wk         5 Yr         Net           Performance         %         % After         Asset         NAV           Rating         Fund           Chg   Chg   Tax Rtn  Value          Chg	36 Mo YTD 12Wk 5 Yr Net Performance % % After Asset NAV Rating   Fund   Chg  Chg  Tax Rtn  Value  Chg
<b>lennessy Funds</b>	Lord Abbett A	<b>Oakmark Funds Invest</b>
5 3.0 bil 800-966-4354	\$ 39.6 bil 888-522-2388	\$ 22.2 bil 800-625-6275
A+ Crnst MdCp +12+19 +14 23.29 0.12	A Affilted +8+13 +5 18.13 0.10	B Eqty & Inc +2 +7 +6 34.40n 0.24
A Crnst Val +2 +7 +7 19.69 0.03	A+ Div Gro +9+13 +9 21.18 0.18	A+ Fund +5+12 +11 139.53n 1.22
A- Gas Utility +1 +2 +3 23.21 0.14	<b>A</b> Fund Eq +9+14 +6 14.49 0.12 D- HI Muni +2 +4 +2 10.87 0.02	D Internati -1 +3 +4 26.55n 0.21 A Select +2+10 +10 71.49n 0.63
\$ 233 mil 800-773-3863	D Int TxFr +1 +2 +1 10.29 0.02	<b>Oberweis Funds</b>
A HillmanValu +3 +9 +9 32.01n 0.20	A MdCp Stk +8+14 +6 34.67 0.34	\$ 929 mil 800-323-6166
lomestead Funds 3 2.1 bil 800-258-3030	D- Nati TF +1 +3 +2 10.54 0.02	<b>A+</b> Micro-Cap +3+13 +14 38.91n 0.39 <b>Oberweis:SmCap Opp</b>
A+ Stock Index +8+13 +11 37.41n 0.38	\$ 44.9 bil 888-522-2388	\$ 351 mil 800-245-7311
A Value +9+14 +9 53.20n 0.39	D- Bond Deb +1 +4 +1 7.06 0.01	A+ Sm-Cap Opp +9+15 +14 24.55 0.25
Iotchkis and Wiley	B Flt Rte +2 +3 +2 8.18 0.01 D+Sh Dur +1 +2 +1 3.85 0.01	Old Westbury Fds \$ 42.2 bil 800-607-2200
A- Lg Cap Val +4+10 +8 42.23 0.19 Mid Cap Val -1 +6 +8 53.09 0.42	-M-N-O-	A+ All Cp Core         +10+14         +11         25.43n         0.31           E         Credit Inc         +0         +3         8.11n         0.01
A+ Sm Cap Val +0 +8 +9 76.36 0.90	MainStay Fds A	B LC Strat +9+13 +6 18.84n 0.20
A Value Opps +1 +9 +10 37.23 0.24	\$ 8.5 bil 800-624-6782	D Muni Bd +0 +1 +1 11.65n 0.02
FP US Equity Fund	C+ MK HY CB +1 +3 +1 5.16 0.01	E Sm&Md Cp St+3+10 +3 15.97n 0.14
5 1.9 bil 855-233-0437	A+ WMC End C +8+14 +9 37.08 0.38	Optimum Funds Inst
A- FranchPrtnr +5+11 +10 19.29 0.13	<b>A-</b> WMC Val +3 +7 +8 28.55 0.14	\$ 8.2 bil 800-914-0278
nvesco Funds A	<b>A+</b> Wnslw LCG +13+18 +11 10.16 0.17	E Fxd Inc +0 +2 0 8.17 0.02
3 116 bil 800-959-4246	MainStay Fds I	<b>A-</b> Lg Cp Gro +12+16 +10 22.37 0.31
A Cap Appr +16+20 +10 74.31 1.17	\$ 3.0 bil 800-624-6782	<b>A</b> Lg Cp Val +6+11 +8 18.51 0.10
A Charter +9+13 +7 18.51 0.19	A- Epoch GI Eq +5+10 +6 22.03 0.13	Osterweis Strat Income
A+ ComstockSlc +5+10 +8 33.84 0.20	A+ S&P500 ldx +8+13 +10 57.23 0.59	\$ 5.2 bil 866-236-0050
A+ Comstock +5+10 +8 28.76 0.22	Mairs&Power	B- Stratlncome +2 +4 +3 11.12n 0.01
C DiscvryMCG +14+20 +8 26.91 0.27	\$ 6.1 bil 800-304-7404	-P-Q-R-
A Div Inc +4 +9 +5 25.58 0.09 A- Dvsfd Div +5+10 +5 18.48 0.09	A+ &PowerGrowt+8+13+10 159.26n 1.56 Marsico Funds	PACE Funds CI P
A+ Energy +4 +7 +5 28.96 0.23	\$ 1.4 bil 888-860-8686	\$ 4.3 bil 800-647-1568
3 Eq & Income +4 +8 +5 10.48 0.05	<b>A+ Foc</b> +20+23 +14 26.48n 0.49	A+ Lg Co Gr +14+19 +12 18.03 0.28
A- Eq-Wtd 500 +5+11 +7 72.53 0.58	A- Grow +15+19 +13 23.49n 0.40	A Lg Co VI +4 +8 +6 20.15 0.11
B Global Fd +12+17 +7 100.21 1.75	Mass Mutual	Parnassus Fds
Global Opp -1 +8 0 50.23 0.46 Gr&Income +6+12 +6 21.49 0.13	\$ 3.2 bil 888-309-3539 <b>A</b> BI Ch +12+17 +11 22.30 0.35 MacMutatel Class	\$ 13.9 bil 800-999-3505 <b>A+</b> Core Eqty +8+12 +11 59.28n 0.58 Bendenfords
D- HY Mun +1 +3 +2 8.58 0.01 Main SAC +10+14 +10 25.18 0.27	MassMutual Select \$ 12.4 bil 888-309-3539	Paydenfunds \$ 3.1 bil 800-572-9336 A Fatulace -7-12 - ( 17.50 - 0.00
A- Main St MC +7+12 +6 28.51 0.22 A Main Street +9+14 +8 54.41 0.61	A         Eq Op         +4 +7         +9         17.87         0.09           A         Fnd V         +6+12         +8         8.97         0.07           B-         MCG         +8+16         +7         21.48         0.26	A- Eqty Inc +7+12 +6 17.59n 0.08 Pear Tree
) Muni Income +1 +2 +2 12.07 0.01 A+ Rising Div +8+12 +9 24.94 0.19	A+ S&P500 +8+13 +11 16.55 0.17	\$ 4.4 bil 800-326-2151 C- Foreign V +1 +8 +3 23.32 0.05
) RO Muni Opp +1 +4 +3 6.92 0.02	Matthews Asian Funds	Perm Port Funds
)+ Ro NY Mun +1 +3 +3 15.44 0.04	\$ 2.8 bil 800-789-2742	\$ 3.0 bil 800-531-5142
Le S&P 500 Idy -9.13 -10 54.47 0.56	A India +7+10 +7 28.18n 0.19	B+ Perm +4 +8 +7 53.33n 0.43
A+ S&P 500 ldx +8+13 +10 54.47 0.56	A India +/+10 +/ 28.18n 0.19	<b>B+</b> Perm +4 +8 +7 53.33n 0.43
A+ SC Value +8+17 +11 21.86 0.20	Mercury Funds A	<b>PGIM Funds A</b>
A+ SP MUP AL 12:14 4 7.08 0.00	\$ 207 mil 888-456-9518	\$ 16.8 bil 800-225-1852
A+SPMLPAI +12+14 +4 7.08 0.00 A+SPMLPIN +11+12 +6 5.57-0.01 Invesce Funds P	<ul> <li>\$ 207 IIII 888-490-9918</li> <li>A HouseGrowth+13+18+12 74.37n 1.18</li> <li>Metropolitan West</li> </ul>	\$ 16.8 011 800-225-1852 E Tot Rtn Bnd +0 +3 0 12.00 0.02 PGIM Jenn Funds A
<b>nvesco Funds P</b> 5 2.6 bil 800-959-4246 3 <b>Summit</b> +14+20 +11 25.90n 0.45	\$ 59.2 bil 800-241-4671 E Total Rtn -1 +2 0 9.07 0.01	\$ 16.8 bil 800-225-1852 <b>A-</b> Jenn Blend +9+15 +8 24.30 0.24
3 <b>Summit</b>	D+ Uncons Bd +1 +3 +1 10.31 0.02 MFS Funds A	<b>A-</b> Jenn Brend +9+15 +8 24.30 0.24 <b>A+</b> JennDvsfdGr+17+22 +11 18.95 0.31 <b>A</b> Jenn Growth+15+20+12 58.95 0.99
22.3 D11 800-939-4246 E Dev Mkt +0 +5 0 38.58 0.27 C- <b>OppenitiGro</b> +6+12 +6 37.69 0.66	\$ 56.6 bil 800-225-2606 A Core Equity +8+13 +9 49.18 0.48	<b>A</b> Jenn HealthS+13+18 +7 40.77 0.31 <b>A</b> JennNtrlRes +0 +6 +7 51.10 0.80
V SP MLP SI +9+11 +6 8.30 -0.02	E Corp Bond +0 +3 0 12.32 0.02	<b>B</b> + JennUtility +2 +3 +3 13.20 0.09
VV Funds	C+ IntlIntrVal +6+10 +5 39.52 0.45	<b>A</b> Jenn Value +8+14 +6 21.59 0.11
\$ 28.3 bil 888-923-3355	A MassInvGro +7+10 +11 42.03 0.48	<b>PGIM Quant Funds A</b>
\+ Core Equity +10+15 +10 16.71 0.19	A Mass Inv Tr +8+13 +9 37.13 0.32	\$ 16.8 bil 800-225-1852
A- Glbl Growth +10+14 +7 34.40 0.36	D Muni Income +1 +3 +1 8.22 0.01	A+ Quant LCC +10+14 +9 20.41 0.22
A+ LargeCapGro +8+11 +14 35.31 0.35	A Technology +17+24 +11 61.19 1.33	PIMCO Fds Insti
C- MidCapGrowt+7+15 +10 32.35 0.38	E TotRetBond +0 +2 0 9.47 0.01	\$ 143 bil 800-927-4648
A- Science&Tec+18+26 +11 53.97 1.11	B- TotalReturn +2 +6 +4 19.46 0.08	C All Asset +1 +5 +3 11.16 0.02
A- Value Fund +5 +9 +6 17.30 0.05	MFS Funds I \$ 54.7 bil 800-225-2606	A- Comm RR Str +1 +3 +4 13.05 0.07 D Div Income +1 +3 +1 9.54 0.02
-J-K-L-	A+ Growth +15+19 +12 198.58 2.95	C- High Yield +1 +3 +2 7.95 0.01
lanus Henderson C	A- Intl Equity +5+10 +8 34.60 0.36	D+ HY Muni Bd +1 +4 +3 8.53 0.01
3 27.8 bil 877-335-2687	B MidCapGrowt+11+16 +9 31.99 0.38	D IntlBd(DH) +0 +2 +1 9.85 0.01
3 Balanced +6 +9 +6 44.15 0.35	A MidCapValue +6+12 +8 32.49 0.29	E Lng-TmCrBd -1 +3 +1 8.99 0.01
anus Henderson S	A Research +8+13 +10 59.84 0.62	E Long Dur TR -1 +3 0 7.29 0.00
\$ 27.8 bil 877-335-2687	A Value +6+10 +8 50.22 0.25	D Low Dur +1 +1 +1 9.18 0.01
A- Forty +12+17 +12 47.81 0.59	Morgan Stanley Inst	D+ MtgOpp&Bd +1 +3 +1 9.39 0.01
I <b>HF III DispVal</b>	\$ 171 bil 800-548-7786	D Real Return +0 +2 +2 10.06 0.00
33.0 bil 888-972-8696 A+ Ds Val +8+14 +8 23.93 0.20	A- GI Fr         +6 +9         +9         36.33         0.33           E Growth         +6+13         +4         36.31         0.45	A+ S+ Intl(DH) +8+11 +7 8.85 0.05 C Short-Term +1 +2 +1 9.62 0.00
A DVMC +6+13 +8 29.11 0.24	MorganStanleyPathway	C ShtAsstlnv +1 +2 +1 9.92 0.00
HITFunLgCpCorFd	\$ 5.2 bil 888-673-9950	A Stk+Abs Rtn +9+14 +9 12.02 0.13
5 2.8 bil 800-225-5291	E Core FI -1 +2 0 6.83n 0.01	A StocksPLUS +9+13 +10 12.52 0.13
A- HancockFdmn+5+9 +10 65.44 0.64	A Lg Cap Eq +8+12 +9 23.60n 0.22	E Tot Rtn +0 +2 0 8.59 0.01
l <b>ohn Hancock</b> 5 23.9 bil 800-225-5291 5 Ukuwad Baud A. 2 4 10 50 0.00	Muhlenkmp \$ 226 mil 800-860-3863	A- TRENDS MFS +1 +4 +5 10.91 -0.03 <b>PIMCO Funds A</b>
HancockBond+0 +2 +1 13.50 0.02	A+ Fund +4+10 +10 64.51n 0.61	\$ 30.9 bil 800-927-4648
- HancockClsc +3 +9 +7 35.91 0.27	Munder Funds	<b>A</b> RAE PLUS +8+15 +6 18.02 0.22
- Con Ap	\$ 2.5 bil 800-539-3863	<b>PIMCO Funds 12</b>
A Cap Ap +15+20+13 15.96 0.27 A- GISYd +5 +9 +5 11.34 0.08 D- IntG +7+11 +5 26.39 0.19	D+ Intl SmCp +4+10 +5 15.14 0.15 Munder Funds CI A	\$ 68.9 bil 888-877-4626 E Inv Grd Cr +0 +3 +1 8.92 0.01
lohn Hancock Class 1	\$ 810 mil 800-539-3863	C Low Dur Inc +2 +3 +2 7.99 0.00
3 23.6 bil 800-344-1029	A+ Multi-Cap +10+16 +9 52.12 0.54	<b>PIMCO Funds Insti</b>
A- BC Gro +13+17 +9 53.81 0.85	Nationwide Fds R6	\$ 90.8 bil 888-877-4626
B- MM Ls Ag +6+12 +7 13.92 0.13	\$ 1.4 bil 800-848-0920	A+ Comm+ Strat +5 +7 +6 6.89 0.03
C+ MM Ls Bl +4 +8 +5 12.96 0.08	<b>A</b> BNYM DUSC +8+13 +11 14.92 0.16	D+ Dynmc Bd +1 +3 +1 9.81 0.02
3- MM Ls Gr +5+10 +6 13.55 0.11	<b>A</b> - MC Mkt Idx +7+14 +7 17.28 0.16	C- Income +1 +3 +1 10.60 0.02
ohn Hancock Funds A	Nationwide Funds	Pioneer Funds A
3 16.0 bil 800-225-5291	\$ 888 mil 800-848-0920	\$ 16.0 bil 800-225-6292
B+ HancockBala +5 +9 +6 27.55 0.23	A+ S&P 500 +8+13 +11 24.62 0.25	<b>A-</b> Core Eqty +7+12 +8 22.25 0.15
PMorgan A Class	Natixis Funds	<b>A+</b> Disc Gro +9+14 +11 17.79 0.21
3 47.6 bil 800-480-4111	\$ 21.4 bil 800-225-5478	<b>A</b> + Fund +10+17 +11 40.17 0.61
C+ Inv Bal         +4  +7   +4    15.63   0.10	D- Inv GB +0 +3 +2 9.87 0.02	<b>A</b> - Mid Cap Val +2 +8 +6 23.68 0.15
C- Inv Csv Gr +2 +5 +2 12.38 0.05	<b>A+</b> LS Growth +11+17 +13 25.87 0.41	Pioneer Funds Y
B Inv Gr&Inc +5 +9 +6 18.87 0.15	<b>A+</b> 0akmark +5+12 +10 28.69 0.26	\$ 7.1 bil 800-225-6292
B+         Inv Growth         +7+11         +7         24.22         0.23           A-         Itl Val         +5         +8         +3         13.73         0.13	A US Eq Opp +8+14 +10 39.66 0.52 Neuberger Berman Fds	E Bond +0 +3 +1 8.22 0.01 D StratIncome +1 +4 +1 9.46 0.02
A US Value +5+10 +8 73.35 0.44	\$ 29.8 bil 800-366-6264	<b>Price Funds</b>
IPMorgan I Class	<b>B+</b> LngSh +2 +3 17.72 0.01	\$ 310 bil 800-638-5660
\$ 95.6 bil 800-480-4111 A+ Equity Idx +8+13 +11 77.50 0.80	A- Eqty Inc         +3 +8         +5         13.06         0.07           C+ LC Value         +3 +6         +8         42.61         0.28	C+ PriceQMUSSC+8+16 +7 44.15n 0.45 <b>A</b> AllCp Opp +12+16 +13 71.62n 0.89 P Patennet
A- Equity Inc +4 +9 +8 23.86 0.12 A+ Gro Advtg +13+18 +15 36.70 0.53	A Sus Eqty +9+15 +10 43.86 0.35	A- BlueChpGro +13+17 +10 168.81n 2.66
A+ LgCp Gro         +16+20 +15         69.57         1.08           A- LgCp Val         +4+10         +9         19.64         0.20	Neuberger Berman Inv \$ 7.4 bil 800-877-9700	C- Comm/Tech +14+18 +9 136.27n 1.76 A Div Gr +6+10 +10 75.33n 0.45
C+ MdCp Gro +9+16 +10 50.75 0.46	A+ Guardian +9+13 +14 27.16n 0.30	A- Eq Inc +5+10 +7 35.49n 0.24
C SmCp Eqty +4+11 +6 56.01 0.48	Neuberger Berman Tr	A+ EqIndex500 +8+13 +11 135.94n 1.41
A+ US Eq         +9+14+12         23.18         0.26           A+ US LCC +         +12+16+12         19.49         0.24           Vol Adutz         5-11         -7         27.20         0.10	\$ 6.0 bil 800-877-9700 C+ Genesis +3+10 +8 63.13 0.78	A- Financial +8+15 +10 38.04n 0.16 C+ Glbl Stck +12+17 +10 64.05n 1.01 C Clbl Teab +17 +10 64.05n 1.01
A Val Advtg +5+11 +7 37.38 0.19	New Covenant Funds	E Glb1 Tech +17+22 +8 18.39n 0.35
IPMorgan L Class	\$ 1.3 bil 877-835-4531	B GrowthStock+12+15 +9 96.57n 1.47
5 7.1 bil 800-480-4111 A- MdCp Val +6+11 +7 37.96 0.24	A Growth +7+12 +10 61.33n 0.60 Nicholas Group	B- Hith Sci +8+13 +7 94.81n 0.61 E Intl Disc +3 +9 +5 64.59n 0.46 B MdCo Crowth 0.15 -0.1000( 1.22
IPMorgan R Class	\$ 5.8 bil 800-544-6547	B MdCp Growth+8+15 +8 108.06n 1.23
5 55.5 bil 800-480-4111	<b>A</b> - Equity Inc +5 +9 +8 21.44n 0.11	A+ MdCp Val +8+15 +9 33.63n 0.32
5 Coro Bond - 10 12 11 10 23 0 01	<b>A</b> + Equity Inc +5 +9 -8 21.44n 0.78	A- Now Fra +3 +8 +5 38.31n 0.42
Core Bond +0 +2 +1 10.23 0.01 -Core PI Bd +0 +2 +1 7.21 0.02 High Vield +1 +4 +2 6.42 0.01	A+ Fund         +8+13 +12         93.94n         0.78           A- II         +7+14         +9         35.15         0.39           Northern Funde	A- New Era +3 +8 +5 38.31n 0.43 E NewHorizons +6+15 +8 59.61n 0.74 C OverseasSte +4 +9 +5 12.07a 0.14
C High Yield +1 +4 +2 6.42 0.01	Northern Funds	C+ OverseasStc +4 +9 +5 12.97n 0.14
- Mtge Secs +0 +2 +1 10.11 0.02	\$ 34.0 bil 800-595-9111	C 2010 +3 +6 +4 14.99n 0.07
- Sh Dur Pd +1 +2 +1 10.71 0.02	E. Bond Indox 1 + 2 = 0 = 0.17 = 0.01	C 2015 +2 +7 +4 12.41 0.07
0+ Sh Dur Bd +1 +2 +1 10.71 0.02	E Bond Index -1 +2 0 9.17n 0.01	C+ 2015 +3 +7 +4 12.41n 0.07
A+ US Res EnEq +9+13 +12 40.19 0.42	C HY Fxd Inc +1 +4 +2 5.97n 0.01	C+ 2020 +3 +7 +5 18.40n 0.10
audus Eunds	B Intl En Idy +6+10 +5 14.58e 0.18	C+ 2025 +4 +8 +5 16.31p 0.10
. <b>audus Funds</b>	B Intl Eq Idx +6+10 +5 14.58n 0.18	C+ 2025 +4 +8 +5 16.31n 0.10
5 2.1 bil 800-648-5300	A+ Lg Cp Core +10+14 +10 26.85n 0.30	B- 2030 +5 +9 +6 25.02n 0.18
5 Selectl of ap.+13+18 +11 - 23 99; -0-35	A- Mid Cap Idx +7+14 +7 21.34n 0.20	B- 2035 +5+10 +6 20.28n 0.17
A SelectLgCap+13+18+11 23.99n 0.35 .azard Instl \$ 16 3 bil 800-823-6300	A+ Stock Idx +8+13 +11 53.10n 0.55	B 2040 +6+11 +7 29.28n 0.27
\$ 16.3 bil 800-823-6300 C+ Emg Mkt Eq +3 +9 +2 17.73 0.16	Nuveen Funds A \$ 15.0 bil 800-257-8787 F All-Am Muni +1 +3 +1 10.24 0.02	B 2050 +7+12 +7 18.00n 0.18
1 U U U U U U U U U U U U U U U U U U U	E All-Am Muni +1 +3 +1 10.24 0.02 A Div Value +5+11 +4 14.54 0.09 Nuveen Funds I	B+ Sci&Tch +19+24 +11 47.80n 1.06
A+ GILstdInfr +3 +3 +6 15.69 0.14 C+ Int Str Eq +6+12 +4 16.47 0.16	I NUVEED FUIDS I	D+ SmCp Stk +3+12 +7 59.94n 0.57 C- SmCp Val +1 +8 +6 52.33n 0.32
C+ Int Str Eq +6+12 +4 16.47 0.16 .egg Mason I S 4.6 bil 877-721-1926	\$ 9.1 bil 800-257-8787	
C+ Int Str Eq +6+12 +4 16.47 0.16 egg Mason I 5 4.6 bil 877-721-1926 C- Intl Gro +9+14 +6 66.50 1.09 A Value Trust +5+11 +10 122.29 1.25	\$ 9.1 bil 800-257-8787 D HY Muni +2 +4 +3 15.04 0.03 D+ IntDurMuni +1 +2 +2 8.91 0.01	A- DE +7+12 +8 24.92n 0.24 D SpectrumInc +0 +3 +1 11.26n 0.02
c+         htt Str Eq         +6+12         +4         16.47         0.16           egg Mason I	\$ 9.1 bil 800-257-8787 D HY Muni +2 +4 +3 15.04 0.03 D+ IntDurMuni +1 +2 +2 8.91 0.01 D+ LtdTrmMuni +1 +2 +2 10.94 0.01 A MidCpValue +4+10 +8 54.18 0.22	A- DE         +7+12         +8         24,92n         0.24           D SpectrumInc +0 +3         +1         11.26n         0.02           D SumtMuniInt +0 +2         +2         11.43n         0.02           A Tot Eq Mk         +8+13+11         55.17n         0.57
2+ Int Str Eq         +6+12         +4         16.47         0.16           egg Mason I         -         0.10         -	\$ 9.1 bil 800-257-8787 D HY Muni +2 +4 +3 15.04 0.03 D+ IntDurMuni +1 +2 +2 8.97 0.01 D+ LtdTrmMuni +1 +2 +2 10.94 0.01 A MidCpValue +4+10 +8 54.18 0.22 A MultCapVal +3 +8 +9 48.62 0.30 <b>Oak Associates Funds</b>	$ \begin{array}{cccccccccccccccccccccccccccccccccccc$
c+         Int Str Eq         +6+12         +4         16.47         0.16           egg Mason I	\$ 9.1 bil 800-257-8787 D HY Muni +2 +4 +3 15.04 0.03 D+ IntDurMuni +1 +2 +2 8.91 0.01 D+ LtdTrmMuni +1 +2 +2 10.94 0.01 A MidCpValue +4+10 +8 54.18 0.22 A MultiCapVal +3 +8 +9 48.62 0.30 Oak Associates Funds \$ 1.2 bil 888-462-5386 A+ OakTechnole+13+18+12 44.66m 0.77	A- DE         +7+12         +8         24,92n         0.24           D SpectrumInc         +0         +3         +1         11.26n         0.02           D SumtMuniInt         +0         +2         +2         11.36n         0.02           A Tot Eq MK         +8+13         +11         55.17n         0.57           A Tx-EFEq         +12+16         +12         64.07n         0.91           D Tx-FF HY         +2         4         11.02n         0.57           A USER         +10+14         +12         51.08n         0.57
:+ Int Str Eq         +6+12         +4         16.47         0.16           .egg Mason I	\$ 9.1 bil 800-257-8787 D HY Muni +2 +4 +3 15.04 0.03 D+IntDurMuni +1 +2 +2 8.91 0.01 D+LtdTrmMuni +1 +2 +2 10.94 0.01 A MidCpValue +4+10 +8 54.18 0.22 A MultiCapVal +3 +8 +9 48.62 0.30 <b>Oak Associates Funds</b> \$ 1.2 bil 888-462-5386	$ \begin{array}{c ccccccccccccccccccccccccccccccccccc$

## How To Read IBD Mutual Fund Tables

IBD tables have funds with 36-Month Performance Rating A+, A or A-, at least \$200 mi plus funds ranked by assets regardless of their performance. All other mutual funds a www.investors.com/ibd-data-tables. + denotes independent fund not part of fa above. Each 36-Month Rating, vs. all other mutual funds, is recalculated monthly return basis. Dividends and capital gains included. Daily accrual fund returns are on a monthly basis. A+ = Top 5%, A = Top 10%, A- = Top 15%, B+ = Top 20%, B = B-=Top 30%, C+ =Top 35%, C = Top 40%, C- = Top 45%, D+ = Top 50%, D = Top 60% 70%, E = Below 70%. A+, A, A- and B+ 36-Month Ratings are boldfaced. Top 2% of performance yesterday are boldfaced. Performance of income funds may be compar income funds. b = assets used to pay 12(b)(1) plan distribution costs, r=redemption of apply, n=no initial load and appears after Net Asset Value, m=multiple fees, p=prev quote, s=split, x=ex-dividend or capital gains distribution. 5-Yr After Tax Rtn=5 yea return assuming average income tax rate of 35% on dividends and 15% long-term ca rate.NAVChg is calculated vs. the prior session.

8.11n 0.01 18.84n 0.20	36 Mo YTD 12Wk 5Yr Net	36 Mo YTD 12Wk 5 Yr Net	36 Mo YTD 12WK 5 Yr Net	36 Mo YTD 12Wk 5 Yr Net	A Strat Eqty +6+14 +9 C- Tgt Ret Inc +2 +5 +3
11.65n 0.02	Performance % % After Asset NAV Rating   Fund   Chg   Chg   Tax Rtn  Value   Chg	Performance % % After Asset NAV Rating   Fund   Chg   Chg   Tax Rtn  Value   Chg	Performance % % After Asset NAV Rating   Fund   Chg   Chg   Tax Rtn  Value   Chg	Performance % % After Asset NAV Rating   Fund   Chg   Chg   Tax Rtn  Value   Chg	C Tgt Ret2020 +2 +5 +4
15.97n 0.14	Price Funds Advisor	D TRSInfIPSI +0 +2 +2 10.25n 0.00	\$ 445 mil 800-697-3863	D+ Ext MI +5+13 +7 130.81n 1.16	C+ Tgt Ret2025 +3 +7 +5 B- Tgt Ret2030 +4 +8 +5
	\$ 11.3 bil 800-225-5132 <b>A-</b> Cap App +4 +8 +8 34.69 0.20	SEI Inst F \$ 22.2 bil 800-858-7233	A Tocq Fd +7+13 +9 44.94n 0.67 Torray Fund	A- Finl Indx +7+13 +8 49.48n -0.01 C FTSE xUS +4 +9 +4 36.38n 0.37	B- Tgt Ret2035 +4 +8 +6
8.17 0.02 22.37 0.31	Price Funds I	E CoreFxdInc -1 +2 0 9.55 0.01	\$ 329 mil 855-753-8174	A- GI Min Vol +7 +9 +4 30.19n 0.16	B Tgt Ret2040 +5 +9 +7
18.51 0.10	\$ 310 bil 800-638-5660 B Flt Rate +2 +3 +3 9.48 0.00	<b>A+</b> Lg Cap Gro +11+16 +13 44.09 0.63 <b>A-</b> Lg Cap Val +5+10 +6 25.77 0.16	A Fund +9+13 +6 53.75n 0.39 Tortoise Capital	E GNMA -1 +2 0 9.21n 0.02 <b>A+</b> Gro & Inc +10+15 +11 99.63n 1.10	<b>B+</b> Tgt Ret2045 +5+10 +7 <b>B+</b> Tgt Ret2050 +6+10 +7
	A- I LC Cor Gr +13+17 +10 67.77 1.07	<b>A+</b> S&P 500 +8+13 +11 92.23 0.95	\$ 2.6 bil 855-822-3863	<b>A+</b> Gro Idx +10+14+14 176.48n 2.43	B+ Tgt Ret2055 +6+10 +7
11.12n 0.01	B I MCEq Gr +8+15 +8 68.01 0.79 D+ I SC Stk +3+11 +7 27.52 0.26	A Tx-Mgd LgCp +6+10 +9 35.50 0.35	A+ MLP&EnInc +5 +8 +6 7.90 0.01 A+ MLP&Pipe +7 +9 +5 15.03 0.03	A Health Care +5+10 +7 92.50n 0.72	<b>B+</b> Tgt Ret2060 +6+10 +7 C TotIntIStk +4 +9 +4
R–	<b>A-</b> LgCp Gro +12+16 +12 73.51 1.01	A- USMgdVltlty +5 +8 +5 14.80 0.05 SEI Inst Intl F	Touchstone Family Fd	D+ Hi YId TxEx +1 +3 +3 10.73n 0.02 <b>A-</b> HIth Cr Idx +7+12 +8 134.56n 0.69	Victory Funds
-	A- LgCp Val +5+11 +8 23.64 0.14 PRIMECAP Odyssey Fds	\$ 22.2 bil 800-858-7233	\$ 7.4 bil 800-543-0407	C HY Corp +0 +3 +2 5.38n 0.00	\$ 13.2 bil 800-539-3863
18.03 0.28	\$ 19.2 bil 800-729-2307	C+ Intl Eq +4 +9 +5 12.03 0.11 Selected Funds	A- Focused +5 +8 +11 65.88 0.49 Touchstone Funds Gro	A+ Indus Idx +8+14 +9 121.69n 1.04 D Infl-Prot +0 +2 +1 23.02n -0.02	A+ Dvsd Stock +11+16 +10 A RS Growth +13+17 +9
20.15 0.11	D+ OdysseyAgGr +3+10 +6 44.18n 0.46	\$ 1.7 bil 800-243-1575	\$ 4.1 bil 800-543-0407	<b>A+</b> InfoTch Idx +10+15 +19 271.48n 4.65	A RSLgCpAlpha+8+12 +6
	<b>B+</b> OdysseyGrow+4+11 +8 38.31n 0.32 <b>A</b> OdysseyStoc +8+13 +9 37.86n 0.28	A- AmericanShs+10+18 +8 42.28n 0.43 Shelton Funds	A Mid Cap +8+14 +9 56.17 0.51 Touchstone Strategic	E Int Trs +0 +1 0 19.84n 0.03 E Int-T B -1 +2 +1 10.24n 0.02	B Sm Co Opp +1 +8 +7
59.28n 0.58	Principal Funds A	\$ 1.1 bil 800-955-9988	\$ 2.3 bil 800-543-0407	D- Int-Tm Inv +0 +3 +1 8.59n 0.02	Victory:Estab Val \$ 21.7 bil 800-539-3863
	\$ 57.5 bil 800-222-5852 A+ Cap App +10+15 +10 72.84 0.74	A Eqty Income +7+10 +7 17.19n 0.11 A+ S&P 500 Id +8+13 +11 73.25n 0.75	A Lrg Cp Foc +5 +8 +10 62.38 0.48 A Value +6+12 +8 11.56 0.12	E Int-Tm Trs +0 +2 0 9.89n 0.02 D+ Int-Tm TxEx +0 +2 +2 13.71n 0.02	A Estab Val +6+11 +10
17.59n 0.08	A MidCap +8+14+10 39.76 0.34	Sit Funds	Trust for Professional Manager	E Intl Gro +6+11 +7 108.18n 1.55	Victory:Global En Tran \$ 21.7 bil 800-539-3863
	B- SAM Bal +5 +9 +4 16.04 0.11 Principal Funds Inst	\$ 1.4 bil 800-332-5580 <b>A</b> DividendGro +6+10 +10 15.80 0.13	\$ 7.9 bil 866-273-7223 <b>A+</b> Rock Qlt LC +6+10 +11 22.21 0.11	A+ Lg-Cp I +8+13 +11 119.46n 1.23 E Lq-Tm Inv -1 +2 0 7.94n 0.01	A+ GlobalEnTra +3 +7 +11
23.32 0.05	\$ 57.5 bil 800-222-5852	SmeadFds	D- TrStratBond +1 +3 +1 19.72 0.02	E Lg-Tm Trs $-2 + 2 - 2.0 = 8.51$ n 0.00	Victory:Integ SMCV
20.02 0.00	C Hi In +1 +4 +2 8.22 0.01 A+ LC S&P500 +8+13 +11 25.26 0.26	\$ 4.1 bil 877-807-4122 A+ Value +5+14 +12 80.38 0.55	Tweedy Browne Fds	D Lg-Tm Tx-Ex +0 +2 +3 10.96n 0.02 D+ Ltd-Tm TxEx +0 +1 +2 10.84n 0.00	\$ 21.7 bil 800-235-8396 A- Integ SMCV +5+12 +8
53.33n 0.43	<b>A-</b> LCG I +10+16+11 19.13 0.27	<b>Spirit of America</b>	\$ 6.7 bil 800-432-4789 B Intl Val +2 +5 +4 27.82n -0.04	B- MCGI +6+14 +9 100.49n 1.12	Victory:Integrity SCV
JJ.JJII 0.4J	<b>A-</b> LCV III +5+10 +7 18.93 0.14 C+ LT 2030 +4 +8 +5 13.96 0.08	\$ 473 mil 800-452-4892	Ultimus	<b>A-</b> MCVI +5+10 +7 78.59n 0.56	\$ 21.7 bil 800-539-3863
12.00 0.02	C+ LT 2030 +4 +8 +5 13.96 0.08 B LT 2040 +5+10 +6 15.97 0.12	A+ Energy +8+11 +2 13.31 0.09 SSgA Funds	\$ 1.0 bil 888-884-8099 A US Val Eqty +7+16 +8 24.59 0.14	<b>B+</b> Md-Cp I +5+12 +8 303.72n 2.73 <b>A-</b> Mtris Idx +4+11 +9 100.91n 1.35	A- IntegritySC +1 +9 +7 Victory:RS Global
12.00 0.02	<b>B+</b> LT 2050 +6+11 +7 16.88 0.15	\$ 1.5 bil 800-997-7327	A- Qual Val +4 +8 +7 13.66 0.08	D+ NJ Lng-Trm +0 +2 +3 11.47n 0.02	\$ 21.7 bil 800-539-3863
24.20 0.24	A MCVI +6+12 +8 17.41 0.14 B Real Est -2 +4 +4 27.25 0.04	A+ SSS&P500Ind +8+13 +11 244.35n 2.53 State Street Institu	<b>UM Funds</b> \$ 3.2 bil 800-480-4111	D NY Lng-Trm +0 +2 +2 10.95n 0.01 D PA Lng-Trm +0 +2 +3 10.89n 0.02	A RS Global +7+12 +10 Victory:RS Partners
24.30 0.24 18.95 0.31	A- SCV II +0 +8 +7 12.17 0.10	\$ 1.3 bil 800-242-0134	<b>A-</b> Beh Val +2 +9 +8 81.61 0.54	D+ Pac Stk +5+11 +4 94.12n 0.56	\$ 21.7 bil 800-539-3863
58.95 0.99	D+ Sp Prf Sl +3 +5 +2 8.99 0.02 ProFunds Inv Class	A+ US Equity +10+15 +12 12.44 0.13 TCW Funds	<b>USAA Aggressive Gr</b> \$ 68.6 bil 800-235-8396	A PRIMECAP +7+12 +10 167.34n 1.45 B- RE Idx -2 +5 +3 122.97n 0.08	A- RS Partners +5+11 +9
40.77 0.31 51.10 0.80	\$ 2.2 bil 888-776-3637	\$ 5.7 bil 800-248-4486	A AggressiveG+14+19 +10 59.98n 0.89	B- S-C Id +5+13 +7 107.08n 0.96	Victoryll:Mkt Neu I \$ 21.7 bil 800-539-3863
13.20 0.09	A+ UltraNASDAQ+16+28+24 94.37n 2.84 Prospector Funds	E EmMktsIncom+1+5 -1.0 6.45n 0.02 A+ SelectEquit +14+18 +12 30.44n 0.45	USAA GIbi Mgd Vol	D- SC G Id +7+15 +6 90.74n 0.92 A- SC V I +3+10 +7 79.85n 0.63	C Mkt Neu I -2 -2
21.59 0.11	\$ 268 mil 877-734-7862	E TotalReturn $+0 +3 -1.0$ 7.96n 0.02	\$ 68.6 bil 800-235-8396 <b>A-</b> GlbIMgdVol +6+10 +6 10.64 0.12	D Sh-Tm B $+0 +1 +1 10.06n 0.01$	Virtus Equity Trust
	A- Opportunity +6+10 +8 27.13n 0.12	Third Avenue	USAA Group	D Sh-Tm Fed +0 +1 +1 10.06n 0.01	\$ 3.7 bil 800-243-1574 E KAR Sm-Cp G +2 +9 +8
20.41 0.22	Putnam Funds Class A \$ 39.9 bil 800-225-1581	\$ 1.2 bil 800-443-1021 <b>A+</b> Value +4+11 +10 67.15 0.74	\$ 68.6 bil 800-235-8396 A+ 500 Index +8+13 +11 65.80n 0.67	D+ Sh-Tm Inv +0 +2 +1 10.20n 0.01 D Sh-Tm Trs +0 +1 0 9.83n 0.01	VirtusFunds
	A-DAAG +8+12 +6 19.48 0.19	Thivent Funds A	A CapitalGrow +9+14 +7 13.20n 0.17	C- Sh-Tm Tx-Ex +0 +1 +2 15.76n 0.01	\$ 5.3 bil 800-243-1574 A- Cer LC Val +4+10 +6
11.16 0.02 13.05 0.07	A GIHealthCr +7+12 +8 61.95 0.57 A+ GrowthOppty+12+16+13 60.89 0.90	\$ 6.7 bil 800-847-4836 <b>A-</b> G Stk +7+12 +6 27.59 0.30	A- Cornerstone +6+11 +6 16.65n 0.16 C+ Cornerstone +4 +8 +4 26.78n 0.18	D+ST Corp Bd +0 +2 +1 21.01n 0.02 D ST Trs +0 +1 +1 19.36n 0.02	A- Cer MC Val +7+12 +5
9.54 0.02	A+ LargeCpVal +8+12 +9 33.12 0.14	A LC Gro +12+17 +12 16.74 0.28	A+ Growth&Inc +9+13 +8 25.34n 0.24	B+ TM Bal +4 +7 +6 42.87n 0.24	A+ Silvant FG +14+18 +13
7.95 0.01	A+ Research +10+14 +10 49.34 0.55 A Sstnbl Ldrs +13+17 +11 122.06 1.21	Thivent Funds S \$ 5.6 bil 800-847-4836	A Growth +12+17 +11 35.72n 0.52 A+ IncomeStock +7+12 +7 19.57n 0.12	<b>A+</b> TM Cp App +8+13 +11 267.49n 2.69 C- TM SmCp +0 +9 +6 87.77n 0.70	A- ZvnbrgnTech+15+21+13 VirtusFunds CI I
8.53 0.01 9.85 0.01	Putnam Funds Class Y	A LC Val +5+11 +9 29.17n 0.17	A+ NASDAQ-100I +9+14 +17 45.81n 0.71	E Tot Bd -1 +2 0 9.59n 0.01	\$ 8.5 bil 800-243-1574
8.99 0.01	\$ 22.7 bil 800-225-1581 C+ UltShtDurl +1 +2 +1 10.10 0.00	A- MC Stk +8+15 +8 36.99n 0.31 Thornburg Fds	A- SustainWorl +8+12 +8 28.66n 0.33	D- Tot Intl BI +0 +2 0 19.62n 0.02 A TSM Idx +8+13 +11 124.59n 1.25	A+ KAR SmCp Cr +6+11 +13
7.29 0.00 9.18 0.01	Russell Funds S	\$ 16.3 bil 800-847-0200	D Tax-ExInt-T +0 +2 +2 12.60n 0.01 D Tax-ExLng-T +0 +2 +2 12.14n 0.02	B- US Growth +12+18 +12 164.71n 2.60	C- NwfleetMSST+1 +3 +1 Voya Fds
9.39 0.01	\$ 15.9 bil 800-787-7354 A- Global Eq +7+12 +8 9.95 0.11	A- Inc Bldr +3 +7 +4 24.40 0.18 D+ Ltd Inc +1 +2 +1 12.84 0.02	A Value +7+12 +7 19.53n 0.12	A Val Idx +6+11 +8 61.80n 0.36 C Wellesley +1 +4 +4 60.82n 0.17	\$ 7.1 bil 800-992-0180
10.06 0.00 8.85 0.05	D+ Tax Ex Bond $+0 +2 +2 22.10 0.02$	D Ltd Muni +0 +1 +1 13.64 0.00	<b>USAA Income</b> \$ 68.6 bil 800-235-8396	<b>B+</b> Wellington +4 +8 +7 74.38n 0.55	A- GIHiDivLwVo +5 +8 +4 E Intmdt Bd +0 +2 0
9.62 0.00	A TM US Lg Cp +8+12 +10 76.14 0.84	TIAACREF Inst \$ 138 bil 877-518-9161	D- Income +0 +3 +1 11.45 0.01	A Windsor II +6+11 +10 80.54n 0.72 A Windsor +2 +7 +9 74.18n 0.61	A+ Large-CapGr+15+19 +11
9.92 0.00 12.02 0.13	Rydex Dynamic Fds \$ 1.1 bil 800-820-0888	E Bond Indx $+0 +2$ 0 9.58 0.02	<b>USAA IntmTerm Bd</b> \$ 68.6 bil 800-235-8396	Vanguard Funds Ins	Wasatch
12.52 0.13	A+ NASDAQ 2x +16+28 +25 475.70 14.2	E Core Bond +0 +2 0 9.12 0.01	D- Intm-TermBd+0 +3 +1 9.18 0.01	\$ 908 bil 800-662-7447	\$ 5.5 bil 800-551-1700 B- Core Gro +5+14 +10
8.59 0.01 10.91 -0.03	A+ S&P 500 2x +16+24 +16 276.67 5.53 Rvdex Investor Class	A Eq Idx +8+13 +11 36.32 0.36 B- Intl Eq +8+13 +6 13.99 0.20	-V-W-X-	<b>A+</b> Rus 1000 GI +10+15 +15 662.67 9.33 <b>A+</b> Rus 1000 Id +8+13 +11 454.31 4.60	WCM Focus Funds
10.71 -0.03	\$ 2.3 bil 800-820-0888	B Itl Eq Ix +6+10 +5 23.08 0.29	Value Line Funds	A- Rus 1000 VI +5+11 +7 298.41 1.58	\$ 17.5 bil 888-988-9801
10.00 0.00	<b>A+</b> NASDAQ-100 +9+14 +15 77.00n 1.19 <b>A+</b> Nova Fund +12+19 +12 124.66n 1.88	C+ LC ld 2020 +3 +6 +5 19.08 0.10 C+ LC ld 2025 +3 +7 +5 21.30 0.13	\$ 2.3 bil 800-243-2729 A- LineAsstAll +5 +8 +8 42.60n 0.25	<b>A</b> Rus 3000 ld +8+13 +11 443.80 4.45 C ST IPSI +1 +2 +2 23.98 0.01	B- FocusedItIG +13+18 +9 Weitz Funds
18.02 0.22	-S-T-U-	B LC ld 2035 +4 +8 +6 25.75 0.19	A+ LineMdCpFoc +7+13 +12 34.51n 0.36	Vanguard Funds InsP	\$ 4.5 bil 888-859-0698
0.00.0.04	Schwab Funds	<b>B+</b> LC ld 2040 +5+10 +7 27.79 0.23 <b>B+</b> LC ld 2045 +6+10 +8 29.10 0.26	A+ LineSelGro +8+13 +12 37.00n 0.21 Vanguard Funds Adm	\$ 908 bil 800-662-2739 <b>A+</b> Instl Indx +8+13 +11 426.62 4.41	A Value +6+10 +11 WesMark Funds
8.92 0.01 7.99 0.00	\$ 295 bil 800-345-2550	A+ LCG ldx +10+15 +14 57.27 0.81	\$ 2291 bil 800-662-2739	Vanguard Funds Inst	\$ 791 mil 800-864-1013
	A+ Core Eqty +8+12 +9 21.63n 0.27 A- Div Eq +5 +9 +6 14.82n 0.06	<b>A LCG</b> +11+16 +12 26.25 0.46 <b>A-</b> LCV ldx +5+11 +7 24.28 0.13	A+ 500 ldx +8+13 +11 477.03n 4.92 B Bal ldx +5 +8 +6 46.61n 0.31	\$ 908 bil 800-662-7447 <b>A+</b> FTSE Soc +9+13 +12 35.40 0.40	A- LargeCompan+7+12+10
6.89 0.03	<b>B+</b> Fdm Itl LCl +4 +8 +6 10.89n 0.10	A LCV +6+12 +9 21.24 0.12	D+ CA Intm-Trm +0 +2 +2 11.45n 0.02	E LT Trs -2 +2 -2.0 25.56 0.00	Western Asset \$ 52.8 bil 877-721-1926
9.81 0.02	A+ Fdm US LCI +6+11 +11 25.65n 0.19 B FdmUSSmCol +1 +9 +7 16.71n 0.12	B Lfcy 2040 +6+10 +7 10.77 0.09 A- MCV +5+11 +5 17.32 0.12	D CA Lng-Tm +0 +2 +3 11.55n 0.02	<b>A-</b> S&P MC400 +7+14 +8 400.79 3.85 C- S&P SC600 +0 +9 +6 397.82 3.19	E Core Bond -1 +2 0
10.60 0.02	A Health Care +8+13 +7 27.38n 0.28	<b>B+</b> Qnt SCE +6+15 +7 18.71 0.14	A Cap Opp +8+13 +10 192.76n 1.65 A Cnsmr Stp +5 +9 +8 99.34n 0.59	<b>A-</b> T WIdStk +6+11 +8 223.28 2.25	E CorePlusBon -1 +2 0
	B Intl Idx +6+10 +5 23.81n 0.29	C Real Est -1 +5 +3 17.40 0.01	B- Dev Mkt +4+10 +5 16.09n 0.19	E Tot Bd II -1 +2 0 9.47 0.01	D ManagedMuni+1+2 +2 E SMAShSeries -1 +3 -3.0
22.25 0.15 17.79 0.21	<b>A+</b> Lg-Cap Gro +12+15 +13 31.01n 0.46 <b>A-</b> MktTrk AI E +5+11 +8 23.06n 0.21	A+ S&P500 ldx +8+13 +11 56.43 0.58 D SCB ldx +3+12 +5 23.40 0.19	A Div A I +6 +9 +10 48.78n 0.29 E EM St I +2 +6 +2 34.83n 0.16	Vanguard Funds InstP \$ 908 bil 800-662-2739	Williamsburg Invst T
40.17 0.61	A+ S&P 500 ldx +8+13 +11 79.25n 0.82	A Soc Ch Eq +8+14 +11 27.89 0.24	A+ Energy Idx +4 +9 +8 61.22n 0.52	A Ins T StMk +8+13 +11 88.84 0.89	\$ 1.0 bil 800-281-3217
23.68 0.15	D SC ldx +3+12 +5 33.51n 0.27 A- Sm-Cap Eq +4+13 +6 20.77n 0.15	TIAACREF Retail \$ 8.7 bil 877-518-9161	A+ Energy +2 +5 +3 88.59n 0.55 A Equity Inc +4 +9 +8 87.57n 0.47	Vanguard Funds Inv \$ 1431 bil 800-662-2739	A- SmCp Focus +6+13 +12 Wilmington Funds
	A Tot Stk Mkt +8+13 +11 87.40n 0.89	A+ Gro & Inc +12+17 +11 24.73n 0.28	<b>B+</b> Euro S +4 +9 +6 83.96n 1.32	A- Div Eqty +8+14 +10 47.53n 0.55	\$ 14.5 bil 800-836-2211
8.22 0.01	A+ 1000 Index +8+13 +11 110.89n 1.15	Tocqueville Funds	C+ Explorer +6+14 +8 109.19n 1.03	A Div Gro +5 +8 +10 39.06n 0.17	A+ LC Str +8+13 +11
9.46 0.02	36 Mo YTD 12Wk 5 Yr Net Performance % % After Asset NAV	36 Mo YTD 12Wk 5 Yr Net Performance % % After Asset NAV	36 Mo YTD 12Wk 5 Yr Net Performance % % After Asset NAV	36 Mo YTD 12Wk 5 Yr Net Performance % % After Asset NAV	36 Mo YTD 12Wk 5 Performance % % Aft
44.15 0.45	Rating   Fund   Chg   Chg   Tax Rtn   Value   Chg	Rating   Fund   Chg   Chg   Tax Rtn   Value   Chg	Rating   Fund   Chg  Chg Tax Rtn  Value  Chg	Rating   Fund   Chg  Chg Tax Rtn  Value  Chg	Rating   Fund   Chg  Chg Tax
44.15n 0.45 71.62n 0.89			TED STATES DISTRICT COU		
26.47n 0.20			THE DISTRICT OF COLORA		
168.81n 2.66 136.27n 1.76		ndividually and On Behalf of A	Il Others Similarly Situated,	Civil Action No. 1:22-cv	-00453-PAB-KLM
75.33n 0.45	Plaintiff,			SUMMARY NOTICE	
35.49n 0.24 135.94n 1.41	V.	TEDUEN ODD BOODD IOU			
38.04n 0.16		GTEPHEN ORR, ROGER JOH GOR GONZALES, KARL HAN	NSON, PHILIP PYLE, JANICE NNEMAN, DAVID PEAT,		
64.05n 1.01 18.39n 0.35		and DANIEL MUÑIZ QUINTA			
96.57n 1.47	Defendants.				
94.81n 0.61					

36 Mo YTD 12Wk 5 Yr Net Performance % % After Asset N Rating   Fund   Chg   Chg   Tax Rtn  Value  C	
\$ 445 mil 800-697-3863	D+ Ext MI +5+13 +7 130.81n 1.
<b>A</b> Tocq Fd +7+13 +9 44.94n 0.0	
Torray Fund	C FTSE xUS +4 +9 +4 36.38n 0.
\$ 329 mil 855-753-8174	A- GI Min Vol +7 +9 +4 30.19n 0.
A Fund +9+13 +6 53.75n 0.3	
Tortoise Capital	<b>A+</b> Gro & Inc +10+15 +11 99.63n 1.
\$ 2.6 bil 855-822-3863	A+ Gro Idx +10+14 +14 176.48n 2.
<b>A+</b> MLP&EnInc +5 +8 +6 7.90 0.1 <b>A+</b> MLP&Pipe +7 +9 +5 15.03 0.1	
A+ MLP APIpe +7 +9 +5 15.05 0.1 Touchstone Family Fd	<b>A-</b> Hith Cr Idx +7+12 +8 134.56n 0.
\$ 7.4 bil 800-543-0407	C HY Corp +0 +3 +2 5.38n 0.
A- Focused +5 +8 +11 65.88 0.4	
Touchstone Funds Gro	D Infl-Prot +0 +2 +1 23.02n -0.
\$ 4.1 bil 800-543-0407	A+ InfoTch Idx +10+15 +19 271.48n 4.
A Mid Cap +8+14 +9 56.17 0.1	
Touchstone Strategic	E Int-TB -1 +2 +1 10.24n 0.
\$ 2.3 bil 800-543-0407	D- Int-Tm Inv +0 +3 +1 8.59n 0. 48 E Int-Tm Trs +0 +2 0 9.89n 0.
A Lrg Cp Foc +5 +8 +10 62.38 0.4 A Value +6+12 +8 11.56 0.7	
Trust for Professional Manager	E Intl Gro +6+11 +7 108.18n 1.
\$ 7.9 bil 866-273-7223	A+ Lq-Cp I +8+13 +11 119.46n 1.
A+ Rock QIt LC +6+10 +11 22.21 0.1	11 E Lg-Tm Inv -1 +2 0 7.94n 0.
D- TrStratBond +1 +3 +1 19.72 0.1	
Tweedy Browne Fds	D Lg-Tm Tx-Ex +0 +2 +3 10.96n 0.
\$ 6.7 bil 800-432-4789	D+ Ltd-Tm TxEx +0 +1 +2 10.84n 0.
B Intl Val +2 +5 +4 27.82n -0.1	
<b>Ultimus</b> \$ 1.0 bil 888-884-8099	A- MC V I +5+10 +7 78.59n 0. B+ Md-Cp I +5+12 +8 303.72n 2.
<b>A</b> US Val Eqty +7+16 +8 24.59 0.1	
<b>A-</b> Qual Val +4 +8 +7 13.66 0.1	
UM Funds	D NY Lng-Trm +0 +2 +2 10.95n 0.
\$ 3.2 bil 800-480-4111	D PALng-Trm +0 +2 +3 10.89n 0.
<b>A-</b> Beh Val +2 +9 +8 81.61 0.4	
USAA Aggressive Gr	A PRIMECAP +7+12 +10 167.34n 1.
\$ 68.6 bil 800-235-8396	B- RE ldx -2 +5 +3 122.97n 0. B- S-C ld +5+13 +7 107.08n 0.
<b>A</b> AggressiveG+14+19 +10 59.98n 0.1 <b>USAA GIbI Mgd Vol</b>	D- SC G Id +7+15 +6 90.74n 0.
\$ 68.6 bil 800-235-8396	<b>A-</b> SC V I +3+10 +7 79.85n 0.
<b>A-</b> GIbIMgdVol +6+10 +6 10.64 0.1	
USAA Group	D Sh-Tm Fed +0 +1 +1 10.06n 0.
\$ 68.6 bil 800-235-8396	D+ Sh-Tm Inv +0 +2 +1 10.20n 0.
A+ 500 Index +8+13 +11 65.80n 0.0	
<b>A</b> CapitalGrow +9+14 +7 13.20n 0. <b>A-</b> Cornerstone +6+11 +6 16.65n 0.	
C+ Cornerstone +4 +8 +4 26.78n 0.1	
A+ Growth&Inc +9+13 +8 25.34n 0.1	
A Growth +12+17 +11 35.72n 0.	
A+ IncomeStock +7+12 +7 19.57n 0.1	
<b>A+</b> NASDAQ-100I +9+14 +17 45.81n 0.1	D T I I I DI D D D D 10 10 0
A- SustainWorl +8+12 +8 28.66n 0.3	
D Tax-ExInt-T +0 +2 +2 12.60n 0.1	
D Tax-ExLng-T +0 +2 +2 12.14n 0.1 A Value +7+12 +7 19.53n 0.1	
USAA Income	C Wellesley +1 +4 +4 60.82n 0.
\$ 68.6 bil 800-235-8396	B+ Wellington +4 +8 +7 74.38n 0.
D- Income +0 +3 +1 11.45 0.1	01 A Windsor II +6+11 +10 80.54n 0.
USAA IntmTerm Bd	A Windsor +2 +7 +9 74.18n 0.
\$ 68.6 bil 800-235-8396	Vanguard Funds Ins
D- Intm-TermBd+0 +3 +1 9.18 0.1	
-V-W-X-	A+ Rus 1000 GI +10+15 +15 662.67 9. A+ Rus 1000 Id +8+13 +11 454.31 4.
Value Line Funds	A- Rus 1000 VI +5+11 +7 298.41 1.
\$ 2.3 bil 800-243-2729	A Rus 3000 ld +8+13 +11 443.80 4.
<b>A-</b> LineAsstAll +5 +8 +8 42.60n 0.1	25 C ST IPSI +1 +2 +2 23.98 0.
A+ LineMdCpFoc +7+13 +12 34.51n 0.3	
A+ LineSelGro +8+13 +12 37.00n 0.3	
Vanguard Funds Adm	A+ Insti Indx +8+13 +11 426.62 4.
\$ 2291 bil 800-662-2739	Vanguard Funds Inst 92 \$ 908 bil 800-662-7447
A+ 500 ldx +8+13 +11 477.03n 4. B Bal ldx +5 +8 +6 46.61n 0.3	
D+ CA Intm-Trm +0 +2 +2 11.45n 0.1	
D CA Lng-Tm +0 +2 +3 11.55m 0.1	-
A Cap Opp +8+13 +10 192.76n 1.4	65 C- S&P SC600 +0 +9 +6 397.82 3.
A CnsmrStp +5 +9 +8 99.34n 0.	59 A-TWIdStk +6+11 +8 223.28 2.
B- Dev Mkt +4+10 +5 16.09n 0.	
A DivAl +6 +9 +10 48.78n 0.1	A 000 L 11 000 //0 0700
E EM St I +2 +6 +2 34.83n 0.1 A = Eporgy Idv - 4 +0 +8 61.22n 0.1	
A+ Energy Idx +4 +9 +8 61.22n 0.4 A+ Energy +2 +5 +3 88.59n 0.4	··· ··· ···
A+ Energy +2 +5 +3 88.59n 0.4 A Equity Inc +4 +9 +8 87.57n 0.4	A 4404 1 1 000 440 0000
<b>B+</b> Euro S +4 +9 +6 83.96n 1.3	32 <b>A-</b> Div Eqty +8+14 +10 47.53n 0.
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are found at	A GI Cap Cyc +2 +6 +10 12.51n 0.12 B- GIbI Eqty +7+13 +7 34.90n 0.40
mily listed	C+ Intl Val +4 +9 +5 41.80n 0.39
y on a total	C- LS Cons Gro +2 +5 +3 20.82n 0.10
e calculated = Top 25%,	B LS Growth +5 +9 +6 43.47n 0.36
- Top 25%, %, D- = Top	D LS Income +1 +4 +2 15.30n 0.05 C+ LS Mod Gro +4 +7 +5 31.53n 0.21
funds in %	D MA Tax-Ex +0 +2 +2 10.23n 0.02
red to other	C- Mid-CapGrth+10+18 +6 25.51n 0.33
charge may	A+ Mkt Neut +3 +5 13.65n -0.02
evious day's ar after-tax	A PrmCp Cre +8+13 +10 34.25n 0.26 A+ Sel Value +4+10 +9 29.95n 0.23
apital gains	C+ STAR +4 +8 +6 27.87n 0.21
	A- Str SC Eq +4+14 +8 39.01n 0.34
12Wk 5Yr Net	A Strat Eqty +6+14 +9 36.43n 0.31
% After Asset NAV Chg Tax Rtn  Value  Chg	C- Tgt Ret Inc +2 +5 +3 13.24n 0.05 C Tgt Ret2020 +2 +5 +4 27.48n 0.12
	C+ Tgt Ret2025 +3 +7 +5 18.95n 0.11
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+2 0 9.21n 0.02 +15 +11 99.63n 1.10	<b>B+</b> Tgt Ret2050 +6+10 +7 46.91n 0.42
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+3 +2 5.38n 0.00	\$ 13.2 bil 800-539-3863
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⊦13 +11 124.59n 1.25	C- NwfleetMSST+1+3+1 4.49 0.00
+18 +12 164.71n 2.60	Voya Fds
+11 +8 61.80n 0.36 +4 +4 60.82n 0.17	\$ 7.1 bil 800-992-0180
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+15 +15 662.67 9.33 +13 +11 454.31 4.60	B- Core Gro +5+14 +10 90.18n 0.71 WCM Focus Funds
+13 +11 434.31 4.60	\$ 17.5 bil 888-988-9801
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+13 +11 426.62 4.41	WesMark Funds
t 17	\$ 791 mil 800-864-1013
47 +13 +12 35.40 0.40	A- LargeCompan+7+12+10 23.18n 0.22
+2 -2.0 25.56 0.00	Western Asset \$ 52.8 bil 877-721-1926
+14 +8 400.79 3.85	E Core Bond -1 +2 0 10.64 0.02
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t <b>P</b>	E SMAShSeries -1 +3 -3.0 6.21n 0.01 Williamsburg Invst T
39 ⊦13 +11 88.84 0.89	\$ 1.0 bil 800-281-3217
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+14 +10 47.53n 0.55 +8 +10 39.06n 0.17	\$ 14.5 bil 800-836-2211 A+ LC Str +8+13 +11 29.74 0.30
12Wk 5Yr Net	36 Mo YTD 12Wk 5 Yr Net
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TO: All Persons and entities that (i) during the period from December 9, 2020 and January 25, 2022, both inclusive (the "Class Period"), purchased or otherwise acquired Gatos common stock listed on the NYSE, or, in domestic transactions, purchased or otherwise acquired publicly traded call options on Gatos common stock, and/or sold publicly traded put options on Gatos common stock, and were damaged thereby; or (ii) purchased or otherwise acquired Gatos common stock pursuant or traceable to the 2020 Registration Statement or the 2021 Registration Statement, in domestic transactions or on the NYSE, and were damaged thereby (the "Settlement Class").

THIS NOTICE WAS AUTHORIZED BY THE COURT. IT IS NOT A LAWYER SOLICITATION. PLEASE READ THIS NOTICE CAREFULLY AND IN ITS ENTIRETY. YOUR RIGHTS WILL BE AFFECTED BY A CLASS ACTION LAWSUIT PENDING IN THIS COURT.

YOU ARE HEREBY NOTIFIED, pursuant to an Order of the United States District Court for the District of Colorado (the "Court") and Rule 23 of the Federal Rules of Civil Procedure, that a hearing will be held on May 31, 2024, at 10:00 a.m. (Mountain Time), before the Honorable Philip A. Brimmer, at the Alfred A. Arraj United States Courthouse, in Courtroom A701, 901 19th Street, Denver, CO 80294, for the purpose of determining: (1) whether the proposed settlement of the claims in the above-captioned litigation (the "Litigation") for the sum of \$21,000,000 in cash (the "Settlement") should be approved by the Court as fair, reasonable, and adequate; (2) whether a Settlement Class should be certified for purposes of the Settlement; (3) whether, thereafter, this Litigation should be dismissed with prejudice pursuant to the terms and conditions set forth in the Amended Stipulation of Settlement dated September 12, 2023 (the "Stipulation"); (4) whether the proposed Plan of Allocation is fair, reasonable, and adequate and therefore should be approved; and (5) the reasonableness of the application of Lead Counsel for the payment of attorneys' fees and expenses incurred in connection with this Litigation together with the interest earned thereon (and any payment to Plaintiffs pursuant to the Private Securities Litigation Reform Act of 1995 in connection with their representation of the Settlement Class). The Court may change the date of this hearing, or hold it remotely, without providing another notice. You do NOT need to attend the hearing to receive a distribution from the Net Settlement Fund.

The Litigation has been preliminarily certified as a class action on behalf of a Settlement Class of all Persons or entities that (a) from December 9, 2020 through January 25, 2022, both inclusive, purchased or otherwise acquired Gatos common stock listed on the NYSE, or, in domestic transactions, purchased or otherwise acquired publicly traded call options on Gatos common stock or sold publicly traded put options on Gatos common stock, and were damaged thereby; or (b) in domestic transactions or on the NYSE, purchased or otherwise acquired Gatos common stock pursuant or traceable to the 2020 Registration Statement or the 2021 Registration Statement, and were damaged thereby, except for certain Persons or entities excluded from the Settlement Class, as defined in the full Long-Form Notice of Pendency and Proposed Settlement of Class Action ("Long-Form Notice"), which is available as described below. If the Settlement is approved, it will resolve all claims in the Litigation. Capitalized terms that are not otherwise defined herein shall have the meanings ascribed to them in the Long-Form Notice and/ or Stipulation

A detailed description of the Litigation, including important information about your rights and options, is in the detailed Long-Form Notice available at www.GatosSecuritiesLitigation.com or by contacting the Claims Administrator at: Gatos U.S. Securities Litigation, Claims Administrator, P.O. Box 5768, Portland, OR 97228-5768, or 877-757-6172.

If you are a Settlement Class Member, in order to share in the distribution of the Net Settlement Fund, you must submit a Proof of Claim and Release form ("Proof of Claim") online at www.GatosSecuritiesLitigation.com or by mail postmarked no later than June 19, 2024. Failure to timely submit a Proof of Claim will subject your claim to possible rejection and may preclude you from receiving any payment from the Settlement.

If you desire to be excluded from the Settlement Class, you must submit a request for exclusion electronically submitted or postmarked by May 5, 2024, in the manner and form explained in the detailed Long-Form Notice referred to above. All Members of the Settlement Class who do not timely and validly request exclusion from the Settlement Class will be bound by any judgment entered in the Litigation pursuant to the terms and conditions of the Stipulation.

Any objection to the Settlement, Lead Counsel's Fee and Expense Application, and/or the proposed Plan of Allocation must be mailed or delivered to the Clerk of Court and counsel for the Parties at the addresses below such that it is received no later than May 10, 2024:

Court:

Clerk of the Court UNITED STATES DISTRICT COURT DISTRICT OF COLORADO Alfred A. Arraj United States Courthouse, Room A105 901 19th Street Denver, CO 80294-3589

Counsel for Plaintiffs:

Joseph A. Fonti BLEICHMAR FONTI & AULD LLP Times Square Tower 7 Times Square, 27th Floor New York, NY 10036 gatossettlement@bfalaw.com

Counsel for Gatos and the Individual Defendants:

Michael S. Flynn DAVIS POLK & WARDWELL LLP 450 Lexington Avenue New York, NY 10017

Counsel for the Underwriter Defendants:

Audra J. Soloway PAUL, WEISS, RIFKIND, WHARTON & GARRISON LLP 1285 Avenue of the Americas New York, NY 10019

PLEASE DO NOT CONTACT THE COURT OR THE CLERK'S OFFICE REGARDING THIS NOTICE. If you have any questions about the Settlement, you may contact counsel for Plaintiffs at the address listed above, email gatossettlement@bfalaw.com, call (888) 879-9418, or go to the following website: www.GatosSecuritiesLitigation.com.

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# Bleichmar Fonti & Auld LLP Announces Proposed Class Action Settlement Involving Purchasers of Gatos Common Stock and Purchasers and Sellers of Gatos Options

NEWS PROVIDED BY Bleichmar Fonti & Auld LLP → 11 Mar, 2024, 08:00 ET

DENVER, March 11, 2024 /PRNewswire/ --

UNITED STATES DISTRICT	COURT
FOR THE DISTRICT OF COL	ORADO

MICHAEL BILINSKY, Individually and On
Behalf of All Others Similarly Situated,

Plaintiff,

V.

GATOS SILVER, INC., STEPHEN ORR, ROGER JOHNSON, PHILIP PYLE, JANICE STAIRS, ALI ERFAN, IGOR GONZALES, KARL HANNEMAN, DAVID PEAT, CHARLES HANSARD, and DANIEL MUÑIZ QUINTANILLA,

Defendants.

Civil Action No. 1:22-cv-00453-PAB-KLM

SUMMARY NOTICE

#### Case No. 1:22-cv-00453-PAB-KAS Document 91-4 filed 04/26/24 USDC Colorado pg 24

TO: All Persons and entities that (i) during the period from December 9, 2020 and January 25, 2022, both inclusive (the "Class Period"), purchased or otherwise acquired Gatos common stock listed on the NYSE, or, in domestic transactions, purchased or otherwise acquired publicly traded call options on Gatos common stock, and/or sold publicly traded put options on Gatos common stock, and were damaged thereby; or (ii) purchased or otherwise acquired Gatos common stock pursuant or traceable to the 2020 Registration Statement or the 2021 Registration Statement, in domestic transactions or on the NYSE, and were damaged thereby (the "Settlement Class").

# THIS NOTICE WAS AUTHORIZED BY THE COURT. IT IS NOT A LAWYER SOLICITATION. PLEASE READ THIS NOTICE CAREFULLY AND IN ITS ENTIRETY. YOUR RIGHTS WILL BE AFFECTED BY A CLASS ACTION LAWSUIT PENDING IN THIS COURT.

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Case No. 1:22-cv-00453-PAB-KAS Document 91-4 filed 04/26/24 USDC Colorado pg 25 The Litigation has been preliminarily certified as a class action on behalf of a Settlement Class of all Persons or entities that (a) from December 9, 2020 through January 25, 2022, both inclusive, purchased or otherwise acquired Gatos common stock listed on the NYSE, or, in domestic transactions, purchased or otherwise acquired publicly traded call options on Gatos common stock or sold publicly traded put options on Gatos common stock, and were damaged thereby; or (b) in domestic transactions or on the NYSE, purchased or otherwise acquired Gatos common stock pursuant or traceable to the 2020 Registration Statement or the 2021 Registration Statement, and were damaged thereby, except for certain Persons or entities excluded from the Settlement Class, as defined in the full Long-Form Notice of Pendency and Proposed Settlement of Class Action ("Long-Form Notice"), which is available as described below. If the Settlement is approved, it will resolve all claims in the Litigation. Capitalized terms that are not otherwise defined herein shall have the meanings ascribed to them in the Long-Form Notice and/or Stipulation.

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## Counsel for Plaintiffs:

Joseph A. Fonti BLEICHMAR FONTI & AULD LLP Times Square Tower 7 Times Square, 27th Floor New York, NY 10036 gatossettlement@bfalaw.com

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Counsel for the Underwriter Defendants:

Audra J. Soloway PAUL, WEISS, RIFKIND, WHARTON & GARRISON LLP 1285 Avenue of the Americas New York, NY 10019 Case No. 1:22-cv-00453-PAB-KAS Document 91-4 filed 04/26/24 USDC Colorado pg 27 **PLEASE DO NOT CONTACT THE COURT OR THE CLERK'S OFFICE REGARDING THIS NOTICE.** If you have any questions about the Settlement, you may contact counsel for Plaintiffs at the address listed above, email <u>gatossettlement@bfalaw.com</u>, call (888) 879-9418, or go to the following website: <u>www.GatosSecuritiesLitigation.com</u>.

URL: www.GatosSecuritiesLitigation.com

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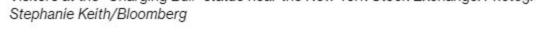
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# Five Things You Need to Know to Start Your Day: Americas



If you purchased Gatos common stock or traded in Gatos options between December 9, 2020 and January 25, 2022,





## By Sofia Horta e Costa

March 11, 2024 at 6:30 AM EDT

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Good morning. The booming US stock market is making some people nervous, but maybe the Magnificent Seven aren't so expensive after all. Plus, there's a big bet riding on market calm and unstoppable crypto markets may score a win in London. Here's what people are talking about. – Sofia Horta e Costa

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# Bubble anxiety

There's so much debate over whether the US stock market is overheating that my colleagues Alexandra Semenova and Matt Turner dug into the data to see what the evidence suggests. Some of their charts may dispel concerns of a bubble forming, namely one showing an equal-weighted version of the S&P 500 just hit a record

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# Five Things You Need to Know to Start Your Day: Americas



you could receive a payment from a Class Action Settlement.

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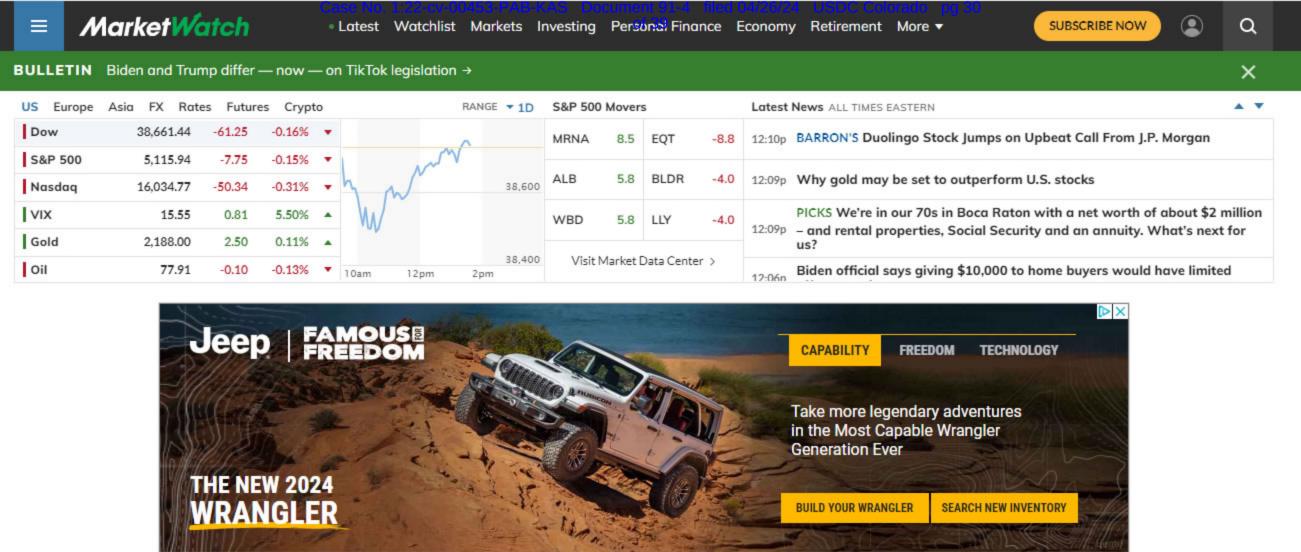
Good morning. The booming US stock market is making some people nervous, but maybe the Magnificent Seven aren't so expensive after all. Plus, there's a big bet riding on market calm and unstoppable crypto markets may score a win in London. Here's what people are talking about. – <u>Sofia Horta e Costa</u>

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# Dow industrials losing ground as Wall Street awaits consequential inflation data



- Expect 'plenty of handwringing about hotter inflation' this week
- Bond yields mixed as uncertain jobs report gives way to CPI data



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- Nvidia's stock completes dramatic reversal lower not seen in almost seven years
- This isn't a bull market it's a 'duck' market. Here's why.
- The 'Magnificent Seven' stocks are actually undervalued vs. the rest of the market, JPMorgan says

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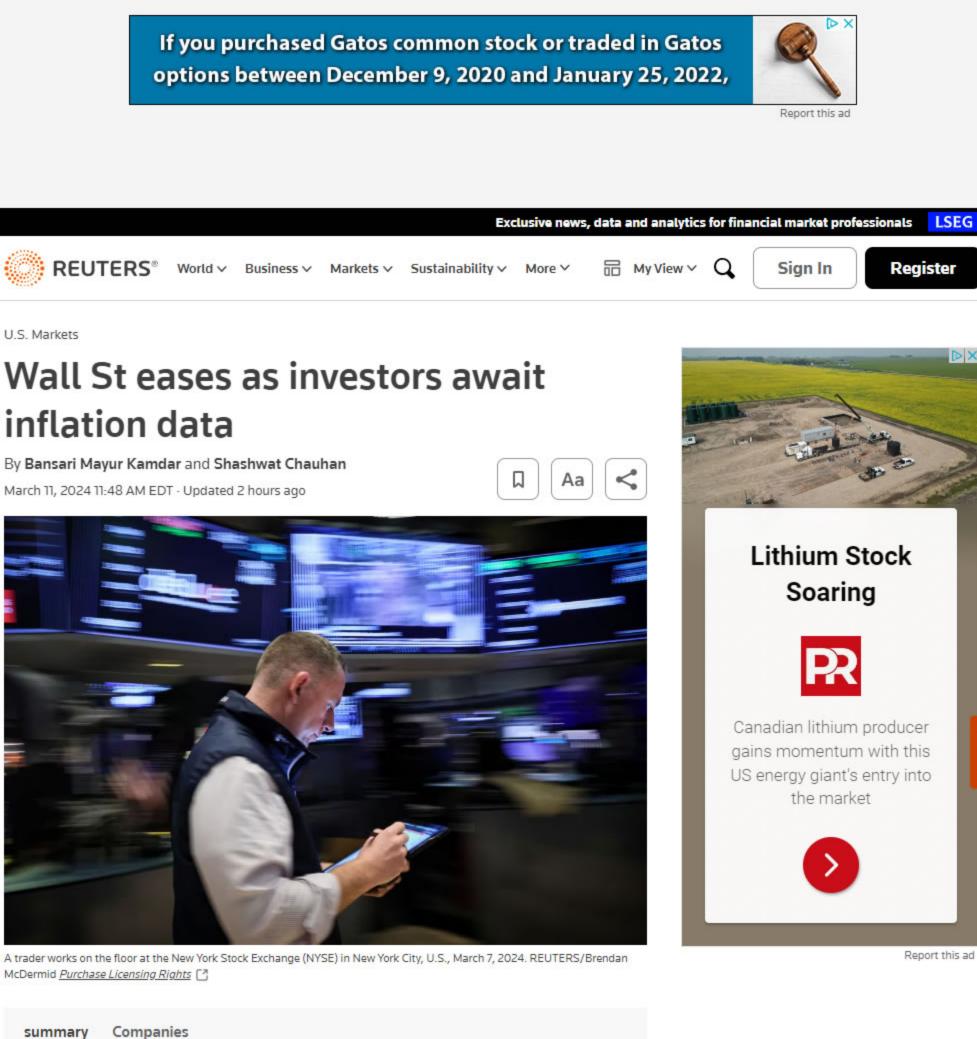
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- Chip stocks extend losses
- Boeing down as justice dept probes MAX blowout
- Equitrans Midstream up as EQT to buy back firm
- Indexes down: Dow 0.36%, S&P 0.38%, Nasdaq 0.33%

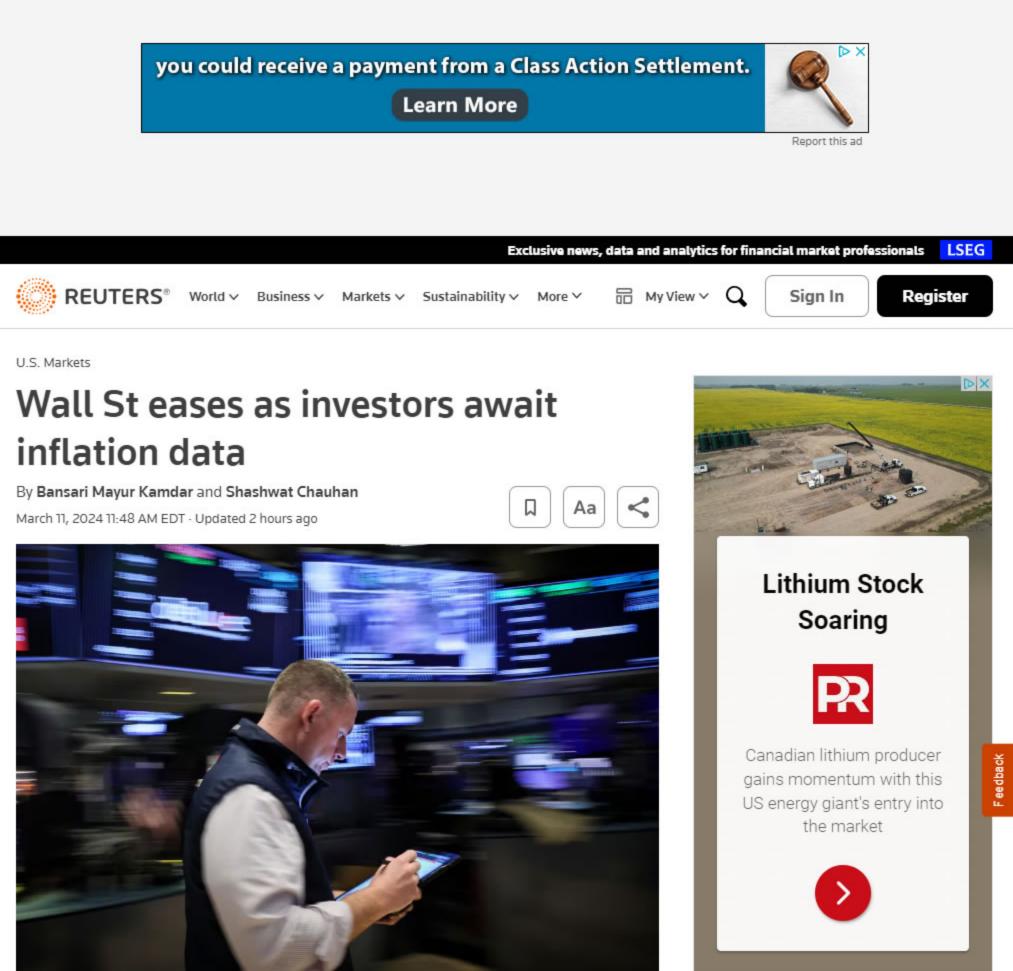
March 11 (Reuters) - Wall Street's main stock indexes slipped on Monday, as investors awaited key inflation data this week that could offer clues about the U.S. Federal Reserve's monetary policy path following last week's mixed jobs report.

All three major U.S. stock indexes had ended the week lower on Friday, with the S&P 500 and the Nasdaq coming off record highs as high-flying chip stocks fell and a labor market report showed more new jobs than expected, while the unemployment rate rose unexpectedly.

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A trader works on the floor at the New York Stock Exchange (NYSE) in New York City, U.S., March 7, 2024. REUTERS/Brendan McDermid Purchase Licensing Rights

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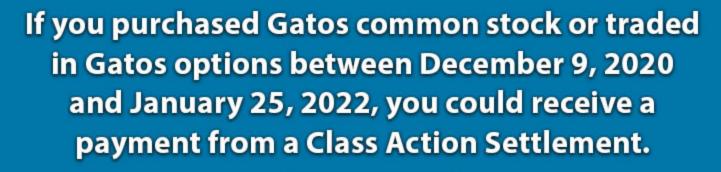
- Chip stocks extend losses
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S&P 500 inches lower ahead of latest inflation data



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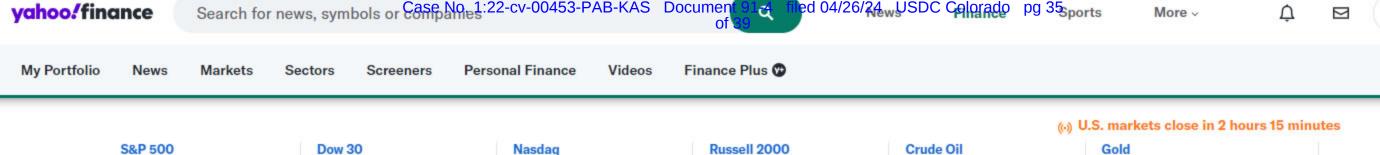
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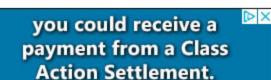
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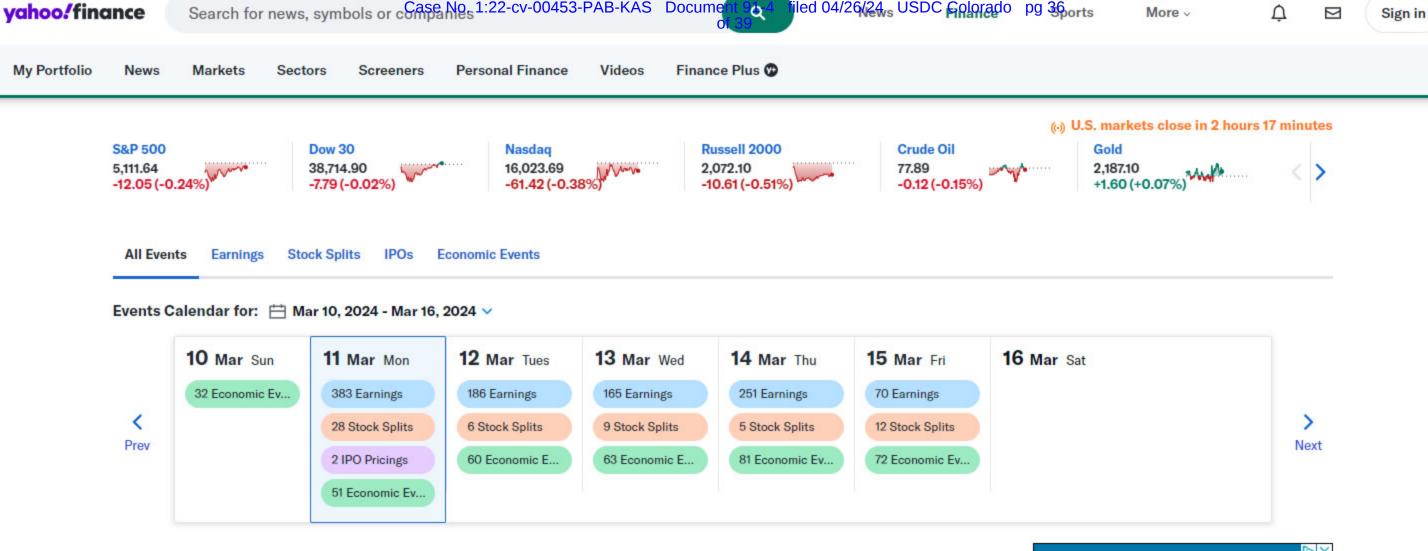


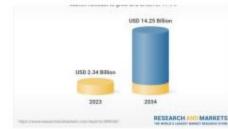
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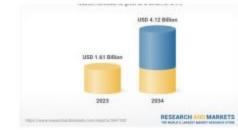
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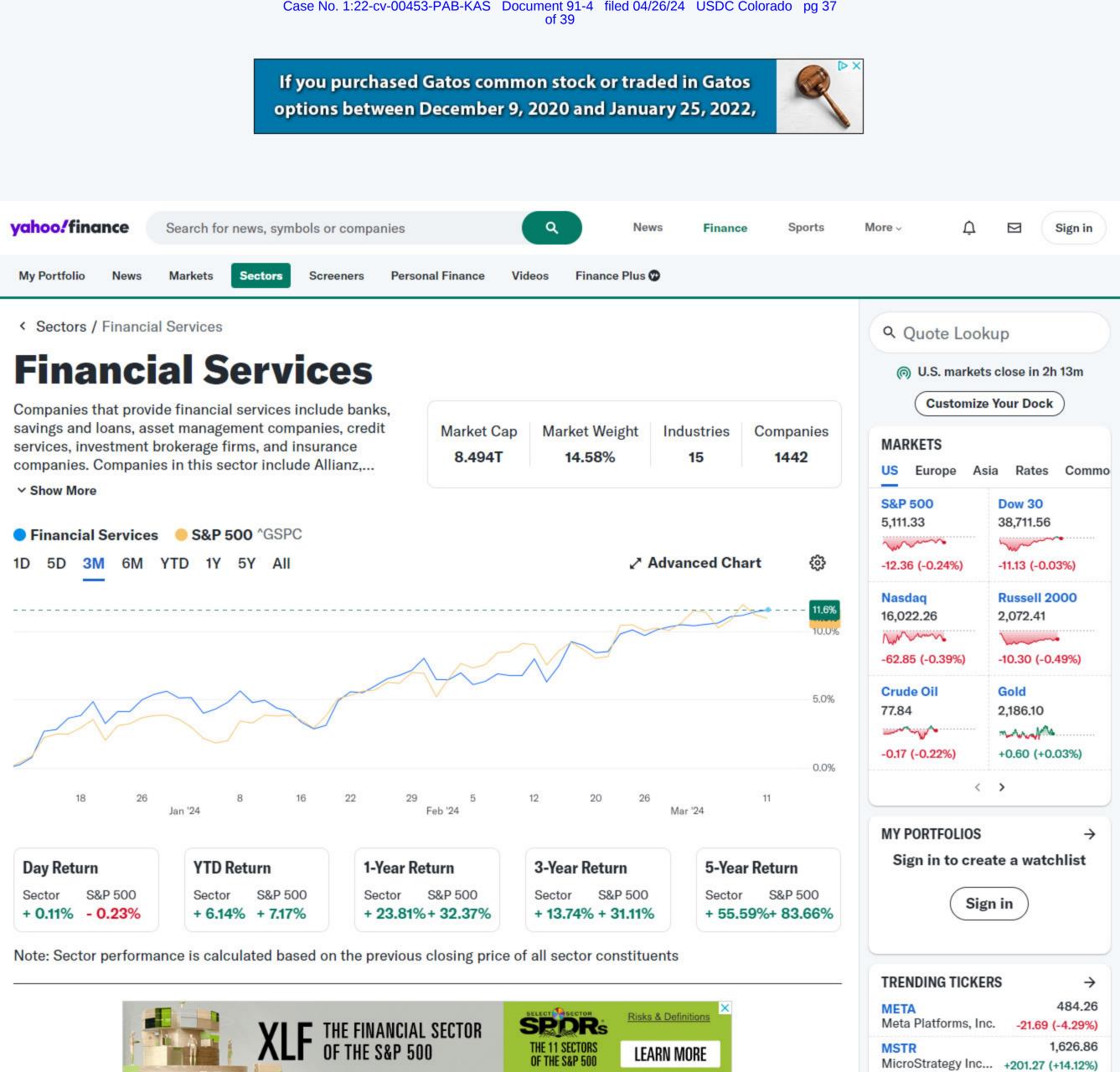






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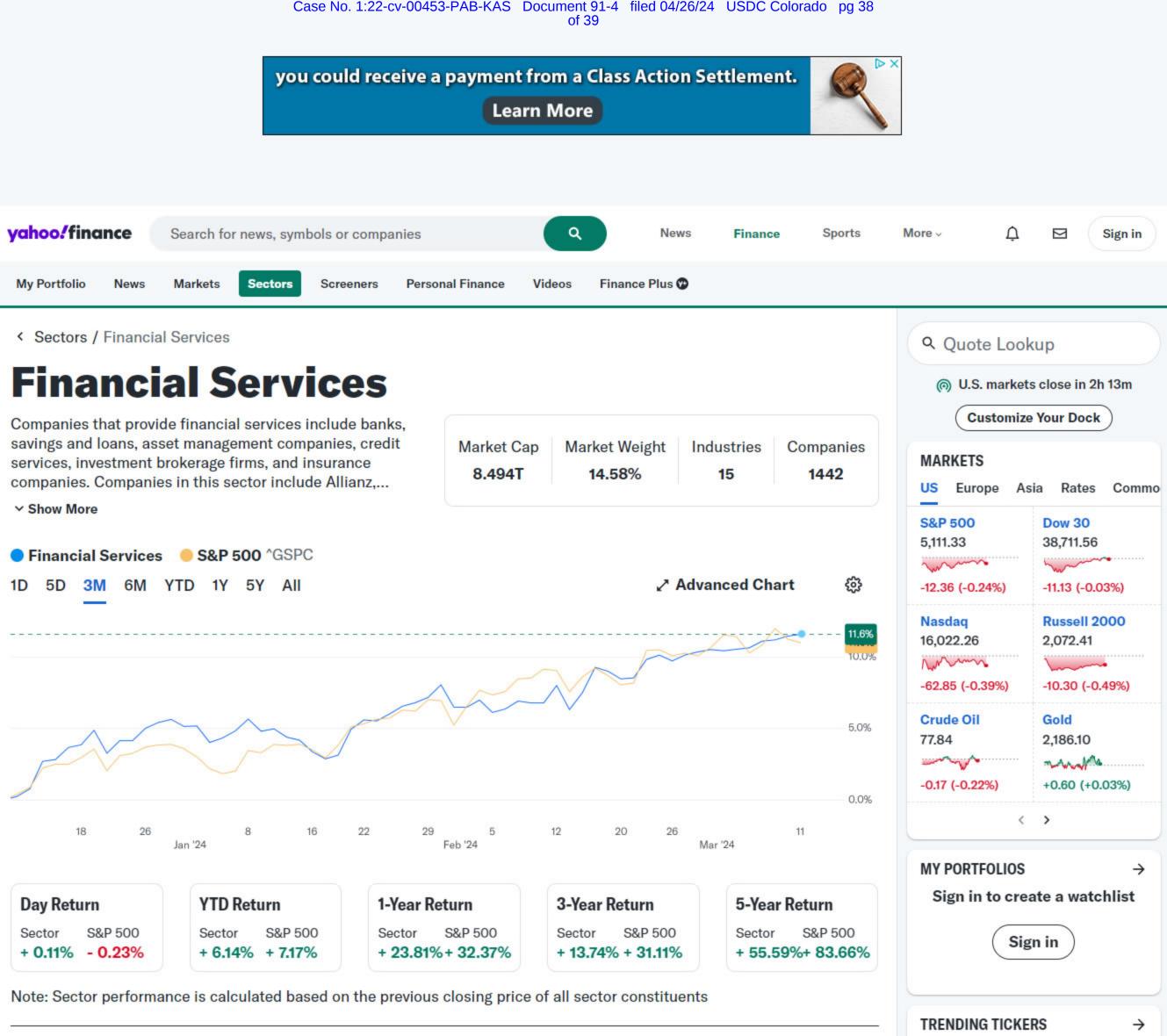
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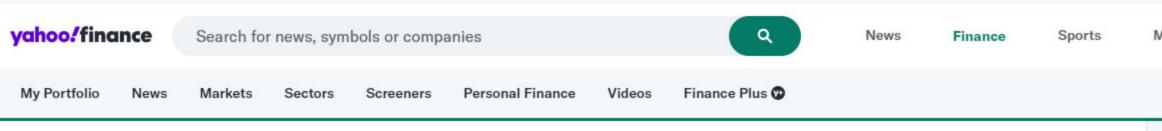
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