



South Texas Project Electric Generating Station P.O. Box 289 Wadsworth, Texas 77483

Withhold Enclosure 1 From Public Disclosure in
Accordance With 10CFR2.390 – Forms contain
~~Personally Identifiable Information~~

September 17, 2014
NOC-AE-14003178
10 CFR 95.17 (a)(1)
10 CFR 2.390
File No: D43.02
STI: 33941045

U. S. Nuclear Regulatory Commission
Document Control Desk
Washington, DC 20555-0001
ATTN: J. Keith Everly, Jr. (MS O-2D-15)

South Texas Project
Units 1 & 2
Docket Nos. STN 50-498, STN 50-499
Update Foreign Ownership, Control, or Influence (FOCI)

This submittal provides updated information regarding Foreign Ownership, Control, or Influence (FOCI) for STP Nuclear Operating Company (STPNOC) for one of the three owners of South Texas Project, Units 1 and 2 in accordance with 10 CFR 95.17.

Enclosure 1 provides updated forms that identify the Owners, Officers, Directors, and Executive Personnel (OODEPs) for NRG. Enclosure 2 provides an updated Standard Form 328, "Certificate Pertaining to Foreign Interests" (SF 328) for NRG.

Enclosure 1 contains OODEP forms that include Personally Identifiable Information. STPNOC requests that the OODEP forms be withheld from public disclosure in accordance with 10 CFR 2.390.

There are no commitments in this letter.

If there are any questions, please contact Robyn Savage at (361) 972-7438.

Buddy Eller
General Manager, Corporate
Communications & External Affairs

- Enclosures:
1. Owners, Officers, Directors, and Executive Personnel (OODEP) Forms for NRG Energy, Inc., NRG South Texas LP, Texas Genco GP, LLC, Texas Genco Holdings, Inc. (*Withhold per 10 CFR2.390*)
 2. SF-328, Certificate Pertaining to Foreign Interests
 3. Supplemental Information for Certificate Pertaining to Foreign Interests (with Attachments 1-4)

M006
N5IR08

cc:

(paper copy w/o attachments)

(electronic copy w/o attachments)

Regional Administrator, Region IV
U. S. Nuclear Regulatory Commission
1600 East Lamar Boulevard
Arlington, TX 76011-4511

John Ragan
Chris O'Hara
Jim von Suskil
NRG South Texas LP

Balwant K. Singal
Senior Project Manager
U.S. Nuclear Regulatory Commission
One White Flint North (MS 8B1)
11555 Rockville Pike
Rockville, MD 20852

Steve Frantz
Morgan, Lewis & Bockius LLP

Balwant K. Singal
U. S. Nuclear Regulatory Commission

NRC Resident Inspector
U. S. Nuclear Regulatory Commission
P. O. Box 289, Mail Code: MN116
Wadsworth, TX 77483

Kevin Pollo
Cris Eugster
L. D. Blaylock
CPS Energy

C. Mele
John Wester
City of Austin

Peter Nemeth
Crain Caton & James, P.C.

Richard A. Ratliff
Texas Department of State Health
Services

Robert Free
Texas Department of State Health
Services

RMS w/ attachments

ENCLOSURE 2

Certificate Pertaining to Foreign Interests

(Standard Form SF-328)

CERTIFICATE PERTAINING TO FOREIGN INTERESTS

(Type or print all answers)

OMB No. 0704-0194
OMB approval expires
May 31, 2011

PLEASE DO NOT RETURN YOUR FORM TO THE ORGANIZATION IN THE PARAGRAPH BELOW, RETURN COMPLETED FORM TO YOUR RESPECTIVE COGNIZANT SECURITY OFFICE.

The public reporting burden for this collection of information is estimated to average 70 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Washington Headquarters Services, Executive Services Directorate, Information Management Division, 1155 Defense Pentagon, Washington, DC 20301-1155 (0704-0194). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB number.

PENALTY NOTICE

Failure to answer all questions or any misrepresentation (by omission or concealment, or by misleading, false or partial answers) may serve as a basis for denial of clearance for access to classified information. In addition, Title 18, United States Code 1001, makes it a criminal offense, punishable by a maximum of five (5) years imprisonment, \$15,000 fine

or both, knowingly to make a false statement or representation to any Department or Agency of the United States, as to any matter within the jurisdiction of any Department or Agency of the United States. This includes any statement made herein which is knowingly incorrect, incomplete or misleading in any important particular.

PROVISIONS

1. This report is authorized by the Secretary of Defense, as Executive Agent for the National Industrial Security Program, pursuant to Executive Order 12829. While you are not required to respond, your eligibility for a facility security clearance cannot be determined if you do not complete this form. The retention of a facility security clearance is contingent upon your compliance with the requirements of DoD 5220.22-M for submission of a revised form as appropriate.

2. When this report is submitted in confidence and is so marked, applicable exemptions to the Freedom of Information Act will be invoked to withhold it from public disclosure.

3. Complete all questions on this form. Mark "Yes" or "No" for each question. If your answer is "Yes" furnish in full the complete information under "Remarks."

QUESTIONS AND ANSWERS

	YES	NO
1. (Answer 1a. or 1b.) a. (For entities which issue stock): Do any foreign person(s), directly or indirectly, own or have beneficial ownership of 5 percent or more of the outstanding shares of any class of your organization's equity securities?		X
b. (For entities which do not issue stock): Has any foreign person directly or indirectly subscribed 5 percent or more of your organization's total capital commitment?		
2. Does your organization directly, or indirectly through your subsidiaries and/or affiliates, own 10 percent or more of any foreign interest?	X	
3. Do any non-U.S. citizens serve as members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials?	X	
4. Does any foreign person(s) have the power, direct or indirect, to control the election, appointment, or tenure of members of your organization's board of directors (or similar governing body) or other management positions of your organization, or have the power to control or cause the direction of other decisions or activities of your organization?		X
5. Does your organization have any contracts, agreements, understandings, or arrangements with a foreign person(s)?	X	
6. Does your organization, whether as borrower, surety, guarantor or otherwise have any indebtedness, liabilities or obligations to a foreign person(s)?	X	
7. During your last fiscal year, did your organization derive: a. 5 percent or more of its total revenues or net income from any single foreign person?		X
b. In the aggregate 30 percent or more if its revenues or net income from foreign persons?		X
8. Is 10 percent or more of any class of your organization's voting securities held in "nominee" shares, in "street names" or in some other method which does not identify the beneficial owner?	X	
9. Do any of the members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials hold any positions with or serve as consultants for, any foreign person(s)?	X	
10. Is there any other factor(s) that indicates or demonstrates a capability on the part of foreign persons to control or influence the operations or management of your organization?		X

REMARKS (Attach additional sheets, if necessary, for a full detailed statement.)

Please see attached.

CERTIFICATION

I CERTIFY that the entries made by me above are true, complete, and correct to the best of my knowledge and belief and are made in good faith.

WITNESSES:

September 10, 2014

(Date Certified)

Ch A Moser

(Signature of Authorized Contractor Representative)

NRG Energy, Inc.

(Typed Name of Contractor)

Senior Vice President

(Title of Authorized Contractor Representative)

211 Carnegie Center, Princeton, NJ 08540

(Address)

NOTE: In case of a corporation, a witness is not required but the certificate below must be completed. Type or print names under all signatures.

NOTE: Contractor, if a corporation, should cause the following certificate to be executed under its corporate seal, provided that the same officer shall not execute both the Agreement and the Certificate.

CERTIFICATE

I, Brian Corei, certify that I am the Corporate Secretary

of the corporation named as Contractor herein; that Christopher S. Moser

who signed this certificate on behalf of the Contractor, was then Senior Vice President

of said corporation; that said certificate was duly signed for and in behalf of said corporation by authority of its governing body, and is within the scope of its corporate powers.

(Corporate Seal)

[Signature]

(Signature and Date)

ENCLOSURE 3

Supplemental Information for Certificate Pertaining to Foreign Interests
SF-328

(with Attachments 1-4)

**NRG Energy, Inc.,
NRG Texas, LLC,
and
NRG South Texas LP**

**Supplemental Information for
Certificate Pertaining to Foreign Interests**

SF 328

September 10, 2014

**Supplemental Information for
Certificate Pertaining to Foreign Interests For**

NRG Energy, Inc., NRG Texas, LLC, and NRG South Texas LP

Question 1:

Do any foreign person(s), directly or indirectly, own or have beneficial ownership of 5% or more of the outstanding shares of any class of your organization's equity securities?

No.

Question 2:

Does your organization directly or indirectly through your subsidiaries and/or affiliates, own 10% or more of any foreign interest?

Yes. Attachment 1 provides a listing of NRG Energy, Inc.'s ("NRG Energy") foreign interests as of September 10, 2014, by name, country, and percentage owned or units held. In addition, Attachment 2 provides a listing of NRG personnel who act as officers or directors of the foreign entities.

Question 3:

Do any non-U.S. citizens serve as members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials?

Yes. Mauricio Gutierrez, NRG's Executive Vice President and Chief Operating Officer, is a citizen of Mexico and recently became a citizen of the United States.

In addition, Glen Mackey, NRG's Chief Risk Officer, is a citizen of Canada, and is a resident alien of the United States.

Question 4:

Does any foreign person(s) have the power, direct or indirect, to control the election, appointment, or tenure of members of your organization's board of directors (or similar governing body) or other management positions of your organization, or have the power to control or cause the direction of other decisions or activities of your organization?

No.

Question 5:

Does your organization have any contracts, agreements, understandings, or arrangements with a foreign person(s)?

All foreign operations represent approximately 0.1% of the company's total operating revenues and approximately 1.0% of its gross income. The largest source of revenue and income from any single foreign country was the company's operations in Australia, which represent approximately 0.05% of operating revenue (December 31, 2013) and approximately 0.9% of gross income.

NRG's subsidiary Nuclear Innovation North America, LLC (NINA) is a joint venture that is approximately 9.252% owned by Toshiba America Nuclear Energy Corporation (TANE), which is owned by Toshiba Corporation, a Japanese company. TANE is part of a consortium along with Stone & Webster Inc. (a Louisiana corporation which is wholly owned by The Shaw Group, Inc.) that has contracted to construct a two unit commercial nuclear power plant at the South Texas Project known as STP 3&4. TANE has provided a \$500 million credit facility to NINA in connection with the construction and Stone & Webster Inc. has provided a \$100 million credit facility to NINA.

Because the efforts at the South Texas Project involve controlled nuclear information, NINA has entered into contractual arrangements and obtained additional assurances in order to ensure compliance with the applicable export control requirements in 10 CFR Part 810.

In addition, NRG Energy has entered into miscellaneous contracts for work and/or services in the United States from various companies that may be foreign owned.

Question 6:

Does your organization, whether as borrower, surety, guarantor or otherwise have any indebtedness, liabilities or obligations to a foreign person(s)?

Yes. NRG Energy maintains equity and debt ratios in the range of approximately 45% or more equity and 55% or less debt. However, the precise ratio varies from time to time. NRG Energy currently has debt in the range of \$19.0 billion, with approximately \$8.6 billion held pursuant to the terms of a Credit Agreement (approx. \$2.0 billion) and Indenture (approximately \$6.6 billion) described in further detail below. The remaining debt includes project level financings that include foreign debt secured by assets located outside of the United States. However, none of these financings individually involves 5% or more of the total debt of NRG Energy. Overall, NRG Energy's debt is held by more than 400 separate debt holders, domestic and foreign. Based upon a reasonable review of lender and bondholder lists, NRG Energy estimates that all foreign debt is less than 15% of total debt, and we have not identified any single foreign lender or group under common control that holds 5% or more of the company's debt.

NRG Energy is indebted to lenders under an Amended and Restated Credit Agreement, dated as of July 1, 2011, among NRG Energy, the lending institutions parties thereto (the "Lenders"), and Citicorp North America Inc. ("Citicorp"). Citicorp is the administrative agent under the Credit Agreement. As such, Citicorp has been irrevocably designated and appointed by each Lender to act as administrative agent under the Credit Agreement. Each Lender has irrevocably authorized Citicorp to take such action on its behalf under the provisions of the Credit Agreement and to exercise such powers and perform such duties as are expressly delegated to the administrative agent by the terms of the Credit Agreement, along with such other powers as are reasonably incidental thereto. Citicorp is domiciled in the United States. Portions of the loans under the Credit Agreement may from time to time be held by foreign persons. The loan is secured by NRG Energy's equity interests in substantially all of its domestic and foreign subsidiaries, with certain exceptions. The Credit Agreement contains reporting, ratio and other standard covenants. A listing of lenders as of May 30, 2014 is provided as Attachment 3A and 3B. Attachment 3A reflects the term loan and Attachment 3B reflects the revolver.

NRG Energy is an issuer of the notes issued under an Indenture, dated as of February 2, 2006 (as amended or supplemented from time to time, the "Indenture"), among NRG Energy, each of the guarantors party thereto and Law Debenture Trust Company of New York ("Law Debenture") as trustee. As trustee under the Indenture, Law Debenture is authorized to exercise such powers and perform such duties as are expressly delegated to the trustee by the terms of the Indenture. Law Debenture is domiciled in the United States. Portions of the notes issued under the Indenture may from time to time be held by foreign persons. The notes are unsecured obligations of NRG Energy, and the Indenture contains reporting and other standard covenants. A listing of bondholders as of June 2014 is provided as Attachment 4A and the lists of bondholders from bond issuances in August 2014 are included as Attachments 4B and 4C.

NRG's subsidiary Nuclear Innovation North America, LLC (NINA) is a joint venture that is approximately 9.252% owned by Toshiba America Nuclear Energy Corporation (TANE), which is owned by Toshiba Corporation, a Japanese company. TANE is part of a consortium along with Stone & Webster Inc. (a Louisiana corporation which is wholly owned by The Shaw Group, Inc.) that has contracted to construct a two unit commercial nuclear power plant at the South Texas Project known as STP 3&4. TANE has provided a \$500 million credit facility to NINA in connection with the construction and Stone & Webster Inc. has provided a \$100 million credit facility to NINA.

Because the efforts at the South Texas Project involve controlled nuclear information, NINA has entered into contractual arrangements and obtained additional assurances in order to ensure compliance with the applicable export control requirements in 10 CFR Part 810.

Question 7:

During your last fiscal year, did your organization derive:

a. 5% or more of its total revenues or net income from any single foreign person.

No.

b. In the aggregate 30% or more of its revenues or net income from foreign persons?

No.

Question 8:

Is 10% or more of your organization's securities held in "nominee shares," in "street names" or in some other method which does not disclose the beneficial owner?

Yes. T. Rowe Price Associates, Inc. and Capital Research Global Investors are both institutional investors that have disclosed holding 10% or more of the voting share. No investor has attempted to, or has exerted any control or influence over, appointments to management positions or influenced the policies of NRG Energy.

Question 9:

Do any of the members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials hold any positions with, or serve as consultants for, any foreign person(s)?

Yes, please see Attachment 2.

In addition:

- NRG Energy Director Paul Hobby, a United States citizen, reports serving as a director of Saracen Energy Offshore Ltd., an offshore hedge fund incorporated in the Cayman Island, with operations in the United States.
- NRG Energy Director Spencer Abraham, a United States citizen, reports serving as a director of Sindicatum Sustainable Resources, a developer, owner and operator of clean energy projects worldwide and a producer of sustainable products from natural resources and waste, located in Singapore.
- NRG Energy Director Edward Muller, a United States citizen, reports serving as a director of Transocean Ltd., a Swiss company that is one of the world's largest offshore drilling contractors.
- NRG Energy Director Lawrence S. Coben, a United States citizen, reports serving as a non-executive chairperson of Cascade Hydro Limited, a wholly-owned

subsidiary of Rurelec, PLC with a portfolio of over 300MW of greenfield hydro-electric projects under development in Peru.

Question 10:

Is there any other factor(s) that indicates or demonstrates a capability on the part of foreign persons to control or influence the operations or management of your organization?

No.

ATTACHMENT 1

Name of NRG Foreign Entity	Domestic	Name of Owner	Type	Owner Jurisdiction	Ownership
Lambique Beheer B.V.	Netherlands	NRGenerating German Holdings GmbH	Entity	Switzerland	100.00
Mirant AP Investments Limited	Virgin Islands, British	Mirant Asia-Pacific Ventures, LLC	Entity	Delaware	100.00
Mirant (Bermuda), Ltd.	Bermuda	GenOn Energy Services, LLC	Entity	Delaware	100.00
Mirant (Navotas II) Corporation	Philippines	Mirant AP Investments Limited	Entity	Virgin Islands	100.00
Mirant Asia Pacific Construction Limited (Hong Kong)	Hong Kong	Mirant AP Investments Limited	Entity	Virgin Islands	100.00
Mirant Navotas Corporation	Philippines	Mirant AP Investments Limited	Entity	Virgin Islands	100.00
NRG Caymans Company	Cayman Islands	NRGenerating German Holdings GmbH	Entity	Switzerland	100.00
NRG Caymans-C	Cayman Islands	NRGenerating German Holdings GmbH	Entity	Switzerland	100.00
NRG Caymans-P	Cayman Islands	NRGenerating German Holdings GmbH	Entity	Switzerland	100.00
NRG Gladstone Operating Services Pty Ltd	Australia	NRG Victoria I Pty Ltd	Entity	Australia	100.00
NRG Victoria I Pty Ltd	Australia	NRGenerating International B.V.	Entity	Netherlands	100.00
NRGenerating German Holdings GmbH	Switzerland	NRGenerating Luxembourg (No. 1) S.a.r.l.	Entity	Luxembourg	100.00
NRGenerating International B.V.	Netherlands	NRG International LLC	Entity	Delaware	100.00
NRGenerating Luxembourg (No. 1) S.a.r.l.	Luxembourg	NRGenerating International B.V.	Entity	Netherlands	100.00
NRGenerating Luxembourg (No. 2) S.a.r.l.	Luxembourg	NRGenerating Luxembourg (No. 1) S.a.r.l.	Entity	Luxembourg	100.00
Sachsen Holding B.V.	Netherlands	NRGenerating International B.V.	Entity	Netherlands	100.00
Sunshine State Power (No.2) BV	Netherlands	NRGenerating International B.V.	Entity	Netherlands	100.00
Sunshine State Power BV	Netherlands	NRGenerating International B.V.	Entity	Netherlands	100.00
Gladstone Power Station Joint Venture	Australia	Sunshine State Power(No.2); Sunshine State Power B.V.	Entity	Netherlands; Netherlands	17.50;20.00
Beheer-en Beleggingsmaatschappij Plogema B.V.	Netherlands	Mission Energy Holdings International, LLC	Entity	Delaware, United States	100.00
Caresale Services Limited	United Kingdom	NRG First Power Holdings I;Mission Energy Holdings International, LLC	Entity	United Kingdom;Delaware, United	51.00;49.00
Doga Enerji Uretim Sanayi ve Ticaret L.S.	Turkey	MEC Esenyurt B.V.	Entity	Netherlands	80.00
Doga Isi Satis Hizmetleri ve Ticaret L.S.	Turkey	MEC Esenyurt B.V.	Entity	Netherlands	80.00
Doga Isletme ve Bakim Ticaret L.S.	Turkey	MEC Esenyurt B.V.	Entity	Netherlands	80.00
EME Finance UK Limited	United Kingdom	Mission Energy Holdings International, LLC	Entity	Delaware, United States	100.00
EME Generation Holdings Limited	Cayman	NRG Energy Holdings Inc.	Entity	Delaware, United States	100.00
Maplekey Holdings Limited	United Kingdom	NRG First Power Holdings II	Entity	United Kingdom	100.00
Maplekey UK Finance Limited	United Kingdom	NRG First Power Holdings II	Entity	United Kingdom	100.00
Maplekey UK Limited	United Kingdom	NRG First Power Holdings II	Entity	United Kingdom	100.00
MEC Esenyurt B.V.	Netherlands	Beheer-en Beleggingsmaatschappij Plogema B.V.	Entity	Netherlands	100.00
MEC San Pascual B.V.	Netherlands	Mission Energy Holdings International, LLC	Entity	Delaware, United States	100.00
Midwest Generation Holdings Limited	Cayman	Mission Midwest Coal, LLC	Entity	Delaware, United States	100.00
NRG First Power Holdings I	United Kingdom	NRG First Power Holdings II	Entity	United Kingdom	100.00
NRG First Power Holdings II	United Kingdom	Mission Energy Holdings International, LLC	Entity	Delaware, United States	100.00
NRG First Power Limited	Guernsey	Caresale Services Limited;Maplekey UK Limited	Entity	United Kingdom;United Kingdom	65.00;35.00
San Pascual Cogeneration Company International B.V.	Netherlands	MEC San Pascual B.V.	Entity	Netherlands	50.00

ATTACHMENT 2

Name of NRG Foreign Entity	NRG Energy, Inc. Personnel Name	Position
Lambique Beheer B.V.	Mauricio Gutierrez	Director, Supervisory Board Member
	Mauricio Gutierrez	Supervisory Board Member
Mirant AP Investments Limited	*	*
Mirant (Bermuda), Ltd.	*	*
Mirant (Navotas II) Corporation	*	*
Mirant Asia Pacific Construction Limited (Hong Kong)	*	*
	*	*
Mirant Navotas Corporation	*	*
NRG Caymans Company	Kevin P. Malcarney	Director
NRG Caymans-C	Kevin P. Malcarney	Director
NRG Caymans-P	Kevin P. Malcarney	Director
NRG Gladstone Operating Services Pty Ltd	Michael Alvarado	Director
NRG Victoria I Pty Ltd	Michael Alvarado	Director
NRGenerating German Holdings GmbH	Kevin P. Malcarney	Director
NRGenerating International B.V.	Kevin P. Malcarney; Kevin P. Malcarney	President; Managing Director, Class B; Manager
NRGenerating Luxembourg (No. 1) S.a.r.l.	By NRGenerating International B.V.	Managing Director, B
NRGenerating Luxembourg (No. 2) S.a.r.l.	By NRGenerating International B.V.	Managing Director, B
Sachsen Holding B.V.	Kevin P. Malcarney	Managing Director
Sunshine State Power (No.2) BV	Kevin P. Malcarney; Michael Alvarado	Director B; Director B
Sunshine State Power BV	Kevin P. Malcarney; Michael Alvarado	Director B; Director B
Gladstone Power Station Joint Venture	Michael Alvarado; Michael McClaughlin	Management Committee Member; Management Committee Member (Alternate)
Beheer-en Beleggingsmaatschappij Plogema B.V.	Michael Alvarado	Director
Caresale Services Limited	Daniel Keane; G. Gary Garcia; Brian Curci	Director; Director; Director
Doga Enerji Uretim Sanayi ve Ticaret L.S.	*	*
Doga Isi Satis Hizmetleri ve Ticaret L.S.	*	*
Doga Isletme ve Bakim Ticaret L.S.	*	*
EME Finance UK Limited	Daniel Keane; G. Gary Garcia; Brian Curci	Director; Director; Director
EME Generation Holdings Limited	G. Gary Garcia	Director
Maplekey Holdings Limited	Daniel Keane; G. Gary Garcia; Brian Curci	Director; Director; Director
Maplekey UK Finance Limited	Daniel Keane; G. Gary Garcia; Brian Curci	Director; Director; Director
Maplekey UK Limited	Daniel Keane; G. Gary Garcia; Brian Curci	Director; Director; Director
MEC Esenyurt B.V.	Michael Alvarado	Director
MEC San Pascual B.V.	Michael Alvarado	Director
Midwest Generation Holdings Limited	G. Gary Garcia	Director
NRG First Power Holdings I	Daniel Keane; G. Gary Garcia; Brian Curci	Director; Director; Director
NRG First Power Holdings II	Daniel Keane; G. Gary Garcia; Brian Curci	Director; Director; Director
NRG First Power Limited	Daniel Keane; G. Gary Garcia	Director; Director
San Pascual Cogeneration Company International B.V.	*	*

*NRG Energy acquired these companies and assignment of NRG Energy, Inc. Personnel to each of these entities is still pending approval.

Citibank N.A
Investor Contact Report (OC Report)
As Of : 25-JUN-2014
Tranche Ref No : 031BTTPR131570001
Reference Date : 05/30/2014

Tranche Ref No : 031BTTPR131570001

Tranche Name : NRG ENERGY TL B SENIOR

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
058787	SARATOGA CLO I, LIMITED (INVESCO SENIOR SECURED MGMT, INC)	AMCSAR	INVESCO SENIOR SECURED	KY1L014366	KY1L014366	Investor Address: P.O.BOX 1093GT GEORGE TOWN KY-11102	1	OC1254	MYRTA CALVILLO	7134836224	7134378190	17314378190@TLS.LDSPROD.COM	USD	0.06	1,285,847.17	1,285,847.17	0.00	1,285,847.17
058817	HEWETT'S ISLAND CLO I-R, LTD. (HIGHLAND CAPITAL MANAGEMENT L P)	HWTISLCLO	HIGHLAND CAPITAL MANG FM	KY1L005257	KY1L005257	Investor Address: UGLAND HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC058817	MAX WAGENBERG	2126242763	2018223744	12018223744@TLS.LDSPROD.COM	USD	0.02	486,337.50	486,337.50	0.00	486,337.50
059287	AOZORA BANK LTD	GPAOZ	AOZORA BANK, LTD.	JP1L008277		Investor Address: 1-3-1, KUDAN-MINAMI CHIYODA-KU, TOKYO JP-22	1	OC059287AA	KEI KAJIMURA	01181345202410	01181332399577	K.KAJIMURA@AOZORABANK.CO.JP	USD	1.46	29,243,791.60	29,243,791.60	0.00	29,243,791.60
059451	RACE POINT III CLO (FKA) RACE POINT III CLO LIMITED	AARP3	SANKATY ADVISORS, LLC	IE1L010386	IE1L010386	Investor Address: AIB INTERNATIONAL CENTRE IFSC DUBLIN IE-1	1	OC0510AGY	PATRICK MITCHELL	3123327333	8669403858	RACEPOINT.III.CLO.NOTICES@USBANK.COM	USD	0.25	4,997,334.38	4,997,334.38	0.00	4,997,334.38
059478	BABSON CLO LTD 2005-I (BABSON CAPITAL)	CAPB05	BABSON CAPITAL MANAGEMENT	KY1L005133	KY1L005133	Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC059478	AMANDA LASKEY	4122348373	2018223712	AMANDA.LASKEY@BNYMELLON.COM	USD	0.18	3,506,685.12	3,506,685.12	0.00	3,506,685.12
059493	LCM IV LTD. (LYON CAPITAL MANAGEMENT LLC)	LCMIVLTD	LCM ASSET MANAGEMENT	KY1L018953		Investor Address: BOUNDARY HALL, CRICKET SQUARE GEORGE TOWN KY-	1	OC1236	CLO ADMINISTRATION	7142476551	8667199298	CLO.ADMINISTRATION@DB.COM	USD	0.05	972,675.00	972,675.00	0.00	972,675.00
059502	CENTURION CDO 9 LIMITED	CHCEN9	COLUMBIA MANG INV ADV LLC	KY1L014911		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC4500AGY	BRYAN PATRICK	7134836365	2815827975	12815827975@DOCS.LDSPROD.COM	USD	0.31	6,259,980.50	6,259,980.50	0.00	6,259,980.50
059554	VERITAS CLO II, LTD (ALCENTRA LIMITED)	LPV2	Alcentra NY, LLC	KY1L029778	KY1L029778	Investor Address: WALKER HOUSE MARY STREET GEORGETOWN KY-	1	OC059554A	NANCY WAYNE	6176036533	8663509162	NANCY.WAYNE@USBANK.COM	USD	0.12	2,431,687.50	2,431,687.50	0.00	2,431,687.50
059632	NAUTIQUE FUNDING LTD (INVESCO SENIOR SECURED MGMT, INC)	ACSNF	INVESCO SENIOR SECURED	KY1L021643	KY1L021643	Investor Address: WALKER HOUSE, MARY STREET GEORGE TOWN KY-	1	OC1111	RAMON ZOLETA	7134836358	2815827373	12815827373@TLS.LDPROD.COM	USD	0.12	2,397,353.17	2,397,353.17	0.00	2,397,353.17
059716	BABSON CLO LTD 2005-II (BABSON CAPITAL)	SJB052	BABSON CAPITAL MANAGEMENT	KY1L001793	KY1L001793	Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC1111	JESSICA HANSEN	4122348322	2815827927	JESSICA.HANSEN@BNYMELLON.COM	USD	0.05	975,112.79	975,112.79	0.00	975,112.79
059751	APIDOS CDO III	ACCAP3	CVC CREDIT PARTNERS	KY1L005158		Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0113AGY	JASON CALLEJA	7134836708	2815827937	12815827937@TLS.LDSPROD.COM	USD	0.05	972,675.00	972,675.00	0.00	972,675.00
059755	ROCKWALL CDO LTD (HIGHLAND)	ROCK100207	HIGHLAND CAPITAL MANG FM	KY1L012717	KY1L012717	Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0101AGY	DATA TEAM	9724192526	2145404776	HIGHLANDROCKWALL@TLS.LDSPROD.COM	USD	0.24	4,863,375.00	4,863,375.00	0.00	4,863,375.00
059759	EATON VANCE CDO VII PLC	059759USD	Eaton Vance	IE1L014503		Investor Address: 5 HARBOURMASTER PLACE, I.F.S.C. DUBLIN 1, IRELAND IE-	1	OC0000AGY	LOUISE SEYMOUR	2079648866	2815827935		USD	0.18	3,520,910.19	3,520,910.19	0.00	3,520,910.19
059762	NANTUCKET CLO I LTD	HNAN	BNP ASSET MANAGEMENT US	KY1L000647	KY1L000647	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1234	SYNDICATED LOAN SERVICING	9724018543	9724018555	BnyAssetSolutions-CDOGroup@bankofny.com	USD	0.15	2,922,900.56	2,922,900.56	0.00	2,922,900.56
059800	CENT CDO XI LIMITED	CHCE11	COLUMBIA MANG INV ADV LLC	KY1L014721		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC4511AGY	LETICIA LICONA	7134837070	2815827943	12815827943@DOCS.LDSPROD.COM	USD	0.36	7,111,875.50	7,111,875.50	0.00	7,111,875.50
059832	PACIFICA CDO V LTD (ALCENTRA LIMITED)	PACV082707	Alcentra NY, LLC	KY1L003625	KY1L003625	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0147AGY	NATE HALL	7134836239	2815827939		USD	0.12	2,324,864.76	2,324,864.76	0.00	2,324,864.76

NRG Energy, Inc. - SF-328
Attachment 3A

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC_CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
059844	CARLYLE HIGH YIELD PARTNERS IX, LTD (CARLYE PARTNERS)	ACHY	CARLYLE INVESTMENT	KY1L006453		Investor Address: WALKER HOUSE 87 GEORGE TOWN KY-	1	OC0111AGY	KARI LICHMAN	7134836481	2815827948	KARI.M.LICHMAN@BANKOFNY.COM	USD	0.17	3,310,516.47	3,310,516.47	0.00	3,310,516.47
059861	FRASER SULLIVAN CLO I LTD	FRASERS	3rd Debt Management US LLC	KY1L041690		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC789	PATRICK MITCHELL	3123327333	8669400415	FRASERSULLIVAN.CLO1.NOTICES@USBANK.COM	USD	0.23	4,668,840.00	4,668,840.00	0.00	4,668,840.00
059862	VENTURE V CDO LTD	AMCVV	MJX ASSET MANAGEMENT	KY1L000589	KY1L000589	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC059862	CHRISTINE XU	2127055340	2815829020	CREDIT@MJXAM.COM	USD	0.10	1,945,350.00	1,945,350.00	0.00	1,945,350.00
059897	ACA CLO 2006-1, LIMITED	ACAC2	CVC CREDIT PARTNERS	KY1L004250		Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1234	JASON CALLEJA	7134836708	2816579036	JASON.CALLEJA@BNYMELLON.COM	USD	0.06	1,167,210.00	1,167,210.00	0.00	1,167,210.00
059902	FOUR CORNERS CLO II, LTD	ALFC2	LASALLE BANK	KY1L040445	KY1L040445	Investor Address: WALKER HOUSE, MARY STREET GEORGE TOWN KY-	1	OC05990201	PATRICK MITCHELL	3123327333	8669403530	FOUR.CLO2@USBANK.COM	USD	0.10	1,946,568.89	1,946,568.89	0.00	1,946,568.89
059906	1776 CLO I LTD	SJ1776	W.R. HUFF ASSET	KY1L004946		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-11102	1	OC1111	CHRIS CONRADY	4122348242	2815827961	CHRISTOPHER.J.CONRADY@BNYMELLON.COM	USD	0.46	9,242,856.41	9,242,856.41	0.00	9,242,856.41
059907	KINGSLAND II LTD	ACSKL2	KINGSLAND CAPITAL	KY1L001033		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC007	KRISTOPHER KUEHL	7134836707	2815827938	12815827938@TLS.LDSPROD.COM	USD	0.10	1,980,000.00	1,980,000.00	0.00	1,980,000.00
059908	NOB HILL CLO LTD	HONOB	NEWFLEET * SA	KY1L023375		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC2887AGY	SARAH PRUCHA	7134836106	2815827466	12815827466@TLS.LDSPROD.COM	USD	0.11	2,188,518.75	2,188,518.75	0.00	2,188,518.75
059923	DUANE STREET CLO II, LTD	ACDS2	NAPIER PARK GLOBL CAP LLC	KY1L004094		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC059923A	GRANT BARFUSS	7134836720	2815827970	GRANT.BARFUSS@BNYMELLON.COM	USD	0.06	1,215,843.75	1,215,843.75	0.00	1,215,843.75
059963	WG HORIZONS CLO I	WGHOR92907	WEST GATE HORIZONS	KY1L000043		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0123AGY	ANDREA DENISEVICH	2136213731	2815829071	ADENISEVICH@WESTGATEHORIZONS.COM	USD	0.05	1,021,308.75	1,021,308.75	0.00	1,021,308.75
060011	BAKER STREET FUNDING CLO 2005-I LTD	HBBSF	Seix Advisors	KY1L004417	KY1L004417	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0003AGY	JEFF HARRISON	4122348219	2815829023	SEIX_ADVISORS_BNYMELLON_TEAM@BANKOFNY.COM	USD	0.23	4,571,572.50	4,571,572.50	0.00	4,571,572.50
060021	JERSEY STREET CLO, LTD	EMJS	Massachusetts Financial	KY1L018391		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC5566	TRACY HING	7134836174	0000000000	TRACY.HING@BNYMELLON.COM	USD	0.12	2,474,266.87	2,474,266.87	0.00	2,474,266.87
060026	LANDMARK VII CDO LTD (SOUND HARBOR PARTNERS)	AMLVII	Aladdin Capital	KY1L555160	KY1L555160	Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0927AGY	CHRISTINA KWAN	7134837614	2815829066	CHRISTINA.KWAN@BNYMELLON.COM	USD	0.10	1,945,350.00	1,945,350.00	0.00	1,945,350.00
060029	HAMLET II, LTD (OCTAGON CREDIT INVESTORS)	ACCHM2	OCTAGON CREDIT INVESTORS	KY1L036963	KY1L036963	Investor Address: QUEENGATES HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0000AGY	ELIZABETH MATTHEWS	617-603-6522	866-350-3142		USD	0.10	1,980,000.00	1,980,000.00	0.00	1,980,000.00
060037	EATON VANCE CDO VIII, LTD (EATON VANCE)	ARAEV8	Eaton Vance	KY1L014515		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGETOWN KY-	1	OC3326	JOHN DANIEL	4122341685	3475778438		USD	0.31	6,140,072.04	6,140,072.04	0.00	6,140,072.04
060038	CARLYLE HIGH YIELD PARTNERS VIII, L	CHYP883007	CARLYLE INVESTMENT	KY1L003559		Investor Address: WALKER HOUSE, MARY STREET GEORGE TOWN KY-	1	OC0122AGY	KARI LICHMAN	7134836481	2815829046	KARI.M.LICHMAN@BANKOFNY.COM	USD	0.11	2,126,272.32	2,126,272.32	0.00	2,126,272.32
060039	ROSEDALE CLO LTD	AMCROS	PRINCETON ADVISORY	KY1L012808		Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC0123456	ANDREA MABASA	7132434017	7047150290	ANDREA.MABASA@WELLSFARGO.COM	USD	0.13	2,674,856.25	2,674,856.25	0.00	2,674,856.25
060044	DRYDEN XI - LEVERAGED LOAN CDO 2006 (PRUDENTIAL)	060044USD	PRUDENTIAL INSURANCE	KY1L034802	KY1L034802	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC6908AGY	MICHAEL LUEHRING	3128278662	2816673990	12816673990@TLS.LDSPROD.COM	USD	0.23	4,693,156.88	4,693,156.88	0.00	4,693,156.88
060049	LIGHTPOINT CLO V, LTD (NEUBERGER BERMAN)	ACSL5	NEUBERGER BER FXED INCOM	KY1L019894	KY1L019894	Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0566AGY	PHILIP BENEDICT	3123326712	2015108189	LIGHTPOINT.CLO5.NOTICES@USBANK.COM	USD	0.15	3,015,292.50	3,015,292.50	0.00	3,015,292.50

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC_CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
060054	MOUNTAIN CAPITAL CLO V LTD (CARLYLE INVESTMENT MANAGEMENT LLC)	ARBMO5	CARLYLE INVESTMENT	KY1L028697	KY1L028697	Investor Address: 3RD FLOOR ROYAL BANK OF CANADA BUILDING, SHEDDEN ROAD GEORGE TOWN KY-	1	CC01	LINDA PACE	2128134946	2128134950	LINDA.PACE@CARLYLE.COM	USD	0.08	1,507,646.25	1,507,646.25	0.00	1,507,646.25
060064	BRIDGEPORT CLO LTD (CIBC DEERFIELD)	AMCLTD	CIBC ASSET MANAGEMENT	KY1L039256	KY1L039256	Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GRAND CAYMAN KY-	1	OC01	NORA SWITTHENBANK	7325782614	8665673567	NORA.SWITTHENBANK@DB.COM	USD	0.12	2,454,706.98	2,454,706.98	0.00	2,454,706.98
060068	NACM CLO I	AANC101007	ALLIANZ GLOBAL US-FKA	KY1L005885		Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC4500AGY	MARY PETERS	7134836073	2815825355	12815825355@TLS.LDSPROD.COM	USD	0.15	2,915,587.22	2,915,587.22	0.00	2,915,587.22
060094	SUMITOMO MITSUI TRUST BANK LTD-NEW YORK-NY BRANCH	ACTB	SUMITOMO MITSUI BANKING	JP1L174996		Investor Address: 5-33 KITAHAMA 4-CHOME CHUO-KU OSAKA 540-8639 JP-	1	OC0000AGY	CRAIG BUSKA	2123260528	2124184899	BUSKA_CRAIG@SMTB.JP	USD	0.34	6,877,500.00	6,877,500.00	0.00	6,877,500.00
060095	PHOENIX CLO I, LTD (FKA AVENUE CLO IV, LTD)	ACSAC4	ING INVESTMENTS	KY1L005794	KY1L005794	Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0314AGY	AUDREY BAILEY	7134836382	2816673402	AUDREY.BAILEY@BNYMELLON.COM	USD	0.10	1,950,362.65	1,950,362.65	0.00	1,950,362.65
060096	RED RIVER CLO LTD	REDUSD	HIGHLAND CAPITAL MANG FM	KY1L009838	KY1L009838	Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0927AGY	TRAVIS PUCKETT	9725605327	2145404769	HIGHLAND@FCSOFT.COM	USD	0.29	5,836,050.00	5,836,050.00	0.00	5,836,050.00
060113	GALAXY VI CLO, LTD	AAGVI	PINEBRIDGE INVESTMENTS	KY1L027624		Investor Address: 113 SOUTH CHURCH ST, QUEENSGATE HOUSE GEORGE TOWN KY-	1	OC5	AGENT NOTICES	7134836191	2815825345	12815825345@DOCS.LDSPROD.COM	USD	0.02	483,893.59	483,893.59	0.00	483,893.59
060118	HALCYON S.A.M. LS/SU 2007-1 LTD. FKA HALCYON S.A.M. LS/SU CLO II LTD	HHSL	HALCYON RESTRUCTURING	KY1L002031		Investor Address: C/O WALKERS SPV LIMITED, WALKER HOUSE, 87 MARY STREET GEORGE TOWN, GRAND CAYMAN KY-KY1-9002	1	OC0302AGY	MALIA BAYNES	3123327323	8669407621	HALCYONLONGSHORT2 CLO NOTICES@USBANK.COM	USD	0.17	3,385,512.21	3,385,512.21	0.00	3,385,512.21
060124	BLACK DIAMOND CLO 2006-1 (CAYMAN) L (BLACK DIAMOND CAPITAL MGMT)	AMSD6102	BLACK DIAMOND CAPITAL	KY1L035452	KY1L035452	Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC444AGY	LOAN ADMINISTRATOR	8476159000	4694402989	14694402989@TLS.LDSPROD.COM	USD	0.54	10,879,886.26	10,879,886.26	0.00	10,879,886.26
060143	PROSPERO CLO II B V. (ALCENTRA LIMITED)	PROZCH	Alcentra NY, LLC	NL1L051625	NL1L051625	Investor Address: FREDERIK ROESKESTRAAT 123 AMSTERDAM NL-1076EE	1	OC1245	RAWZABA BOUDIAB	7134836228	2816673411	RAWZABA.N.BOUDIAB@BANKOFNY.COM	USD	0.05	1,069,942.50	1,069,942.50	0.00	1,069,942.50
060148	LANDMARK VIII CLO LTD (SOUND HARBOR PARTNERS)	ESLD8	SOUND HARBOR PARTNERS	KY1L555178	KY1L555178	Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GRAND CAYMAN KY-	1	OC2222	SIU MAN LUIE	6176036459	8663508443	SIU.LUIE@USBANK.COM	USD	0.10	1,945,350.00	1,945,350.00	0.00	1,945,350.00
060153	JAY STREET MARKET VALUE CLO I LTD	DJSM	DIMAIO AHMAD CAPITAL, LLC	KY1L004235		Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GRAND CAYMAN KY-	1	OC0005AGY	JAVELLE HOUSTON	2123287927	0000000000	12815829014@TLS.LDSPROD.COM	USD	0.20	3,967,305.05	3,967,305.05	0.00	3,967,305.05
060155	PACIFICA CDO VI LTD (ALCENTRA LIMITED)	PVI082807	Alcentra NY, LLC	KY1L001686	KY1L001686	Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0147AGY	JAY KWAN	7134836332	2815825283	JAY.KWAN@BNYMELLON.COM	USD	0.32	6,419,655.00	6,419,655.00	0.00	6,419,655.00
060160	NYLIM FLATIRON CLO 2006-1 LTD. (NEW YORK LIFE INVESTMENT MGMT, LLC)	INFL	NEW YORK LIFE INSURANCE	KY1L024324	KY1L024324	Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC556	JAN PIRTLE	7134836105	2815825578	12815825578@TLS.LDSPROD.COM	USD	0.39	7,777,143.00	7,777,143.00	0.00	7,777,143.00
060182	PIMCO FUNDS: GIS PLC GLOBAL INVESTM GRADE CREDIT FUND(PIMCO)	GPPG	PIMCO	IE1L147873	IE1L147873	Investor Address: NATIONS HOUSE, 1ST FLOOR 103 WIGMORE STREET GB-ZZ	1	OC1245	BANK LOAN SETTLEMENTS	9499323005	6173303748	PIMCO-03683@STATSTREET.COM	USD	0.40	7,909,843.06	7,909,843.06	0.00	7,909,843.06
060221	TRIMARAN CLO VI LTD	GPTC6	TRIMARAN ADVISORS, L.L.C.	KY1L003211		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1111	VAN NGHIEM	7134836188	2815825571	VAN.NGHIEM@BNYMELLON.COM	USD	0.10	1,945,350.00	1,945,350.00	0.00	1,945,350.00
060234	VOYA CLO II LTD (FKA ING INVESTMENT MANAGEMENT CLO II LTD)	ARRIN2	VOYA INVT MGT	KY1L021254	KY1L021254	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY111102	1	OC060234	CORPORATE TRUST SERVICES	6176036715	8663502099	CDO.NOTICES@USBANK.COM	USD	0.24	4,900,584.16	4,900,584.16	0.00	4,900,584.16
060235	VOYA CLO III LTD (FKA ING INVESTMENT MANAGEMENT CLO III LTD)	GPING3	VOYA INVT MGT	KY1L021262	KY1L021262	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY111102	1	OC1234	CORPORATE TRUST SERVICES	6176036735	8663508101	CDO.NOTICES@USBANK.COM	USD	0.10	1,949,006.67	1,949,006.67	0.00	1,949,006.67

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC_CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
060249	KINGSLAND III LTD	ARK3	KINGSLAND CAPITAL	KY1L004805		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC007	KRISTOPHER KUEHL	7134836707	2816673400	12816673400@TLS.LDSPROD.COM	USD	0.27	5,332,444.98	5,332,444.98	0.00	5,332,444.98
060253	LATITUDE CLO II LTD	ALC2	LUFKIN ADVISORS, LLC	KY1L015934		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH ST GEORGE TOWN KY-	1	OC4242	MICHAEL FRENETTE	6176036728	8663949323	MICHAEL.FRENETTE@USBANK.COM	USD	0.02	486,337.50	486,337.50	0.00	486,337.50
060260	GRAYSON CLO LTD	GCLOUDS	HIGHLAND CAPITAL MANG FM	KY1L033705	KY1L033705	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC5000AGY	DATA TEAM	9726284116	2145404771	DATATEAM@HCMLP.COM	USD	0.44	8,754,075.00	8,754,075.00	0.00	8,754,075.00
060300	COLUMBUSNOVA CLO LTD. 2006-I (CIFIC DEERFIELD)	ACSCCN	CIFIC ASSET MANAGEMENT	KY1L022161	KY1L022161	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0006AGY	KATHLEEN BROWNE	7733806598	8663507941	BLCLOSINGS@DEERFIELDCAPITAL.COM	USD	0.11	2,277,000.00	2,277,000.00	0.00	2,277,000.00
060347	ACAS CLO 2007-1 LTD (FKS ACAS CLO 2006-1)	ACS82107	AMERICAN CAPITAL	KY1L002759		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0101AGY	AUDREY BAILEY	7134836382	2816673428	12816673428@TLS.LDSPROD.COM	USD	0.24	4,863,375.00	4,863,375.00	0.00	4,863,375.00
060354	ONE WALL STREET CLO II LTD FKA OWS II LTD(ALCENTRA LIMITED)	AGWOS2	Alcentra NY, LLC	KY1L025529	KY1L025529	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0123456	SCOTT DUBICKI	7134836780	2816673995	SCOTT.DUBICKI@BNYMELLON.COM	USD	0.15	2,918,025.00	2,918,025.00	0.00	2,918,025.00
060362	APIDOS CDO IV	ACCAD4	CVC CREDIT PARTNERS	KY1L001819		Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STRE PO BOX 1093 GRAND CAYMAN KY-	1	OC0888AGY	CRAIG SCHILLING	7134836850	2816673429	12816673429@TLS.LDSPROD.COM	USD	0.12	2,402,532.67	2,402,532.67	0.00	2,402,532.67
060378	GULF STREAM - SEXTANT CLO 2006-I LT (APOLLO GLOBAL MANAGEMENT LLC)	060378USD	APOLLO GLOBAL MANAGEMENT	KY1L033267	KY1L033267	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0333AGY	COURTNEY DOWLING	6176036527	8663501887	CDO.NOTICES@USBANK.COM	USD	0.05	972,675.00	972,675.00	0.00	972,675.00
060389	SCHILLER PARK CLO LTD (CIFIC DEERFIELD)	SHLLRPRK	CIFIC ASSET MANAGEMENT	KY1L009432	KY1L009432	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0101AGY	JOANNA BENSIMON	2122509201	7325782614	JOANNA.BENSIMON@DB.COM	USD	0.15	2,970,000.00	2,970,000.00	0.00	2,970,000.00
060390	HARBOURVIEW CLO 2006-I	ACCHB6	Oppenheimer Funds	KY1L002544		Investor Address: WALKER HOUSE, MARY STREET GEORGE TOWN KY-	1	OC500	CLO ADMINISTRATION	7142476551	2144516436	CLO ADMINISTRATION@DB.COM	USD	0.25	4,950,000.00	4,950,000.00	0.00	4,950,000.00
060408	AIRLIE CLO 2006-1 LTD	HAIR6	NEUBERGER BER FXED INCOM	KY1L005869	KY1L005869	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GRAND CAYMAN KY-	1	OC3187AGY	PETER VUONG	7134836156	2816673417	12816673417@TLS.LDSPROD.COM	USD	0.15	3,015,292.50	3,015,292.50	0.00	3,015,292.50
060428	SILVERADO CLO 2006-II,LTD (NEW YORK LIFE INVESTMENT MGMT, LLC)	WLLSCPSLVRD	NEW YORK LIFE INSURANCE	KY1L001181	KY1L001181	Investor Address: WALKER HOUSE, MARY STREET GEORGE TOWN KY-	1	OC1111	CLO ADMINISTRATION	7142476551	2145416374	12144516374@TLS.LDSPROD.COM	USD	0.24	4,797,049.95	4,797,049.95	0.00	4,797,049.95
060469	EASTLAND CLO, LTD.	ECL	HIGHLAND CAPITAL MANG FM	KY1L020652	KY1L020652	Investor Address: WALKER HOUSE, MARY STREET GEORGE TOWN KY-	1	OC4672AGY	DATA TEAM	9724194427	9726284155	EASTLANDCLO@TLS.LDSPROD.COM	USD	0.68	13,617,450.00	13,617,450.00	0.00	13,617,450.00
060477	MOUNTAIN VIEW FUNDING CLO 2006-1, L	ALPMVF	Setx Advisors	KY1L004037	KY1L004037	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1245	DARA KOTZKER	2018022356	2013888701	BANKLOANS@SEIXADVISORS.COM	USD	0.27	5,349,712.50	5,349,712.50	0.00	5,349,712.50
060482	APIDOS CDO V	DYAPV	CVC CREDIT PARTNERS	KY1L005588		Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC12	SARAH PRUCHA	7134836106	2815825488	12815825488@TLS.LDSPROD.COM	USD	0.06	1,155,051.56	1,155,051.56	0.00	1,155,051.56
060484	WESTBROOK CLO LTD (SHENKMAN)	EKWEST	SHENKMAN CAPITAL	KY1L000019	KY1L000019	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0101AGY	MICHELLE HILL	3129920095	3122768843		USD	0.07	1,409,496.99	1,409,496.99	0.00	1,409,496.99
060496	WESTWOOD CDO I LTD (ALCENTRA LIMITED)	AWH082807	Alcentra NY, LLC	KY1L000027	KY1L000027	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0143AGY	JAY KWAN	7134836332	2816673449	JAY.KWAN@BNYMELLON.COM	USD	0.30	6,029,595.00	6,029,595.00	0.00	6,029,595.00
060501	CARLYLE VEYRON CLO LTD (FKA STANFIELD VEYRON CLO LTD)(CARLYLE INVESTMENT MANAGEMENT LLC)	AESSVC	CARLYLE INVESTMENT	KY1L000670		Investor Address: P O.BOX 1093GT, BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-11102	1	OC0123AGY	KHRISTOPHER KUEHL	7134836340	7135775265	DANIEL.DRAKE@BANKOFNY.COM	USD	0.23	4,601,235.09	4,601,235.09	0.00	4,601,235.09
060513	INWOOD PARK CDO LTD.	NINWP	BLACKSTONE DEBT ADVISORS	KY1L023169		Investor Address: WALKER HOUSE MARY STREET GEORGETOWN KY-	1	OC0101AGY	VIRTUS GROUP	7139934300	8669470742	INWOODPARK@VIRTUSLLC.COM	USD	0.14	2,779,071.56	2,779,071.56	0.00	2,779,071.56
060525	WHITEHORSE IV LTD (WHITEHORSE CAPITAL)	EMWHT4	H I G WHITEHORSE CAP LLC	KY1L562174	KY1L562174	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGETOWN KY-	1	OC060525	SAM L HUI	7134836122	2816579005	MIMI.M.SINGH@BNYMELLON.COM	USD	0.10	1,945,350.00	1,945,350.00	0.00	1,945,350.00

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
060538	NAVIGATOR CDO 2006, LTD	ACNA06	CIFC ASSET MANAGEMENT	KY1L001413	KY1L001413	Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-KY11102	1	OC0000AGY	THOMAS VICHOT	2037082704	2033563241	THOMAS.VICHOT@GE.COM	USD	0.15	2,970,000.00	2,970,000.00	0.00	2,970,000.00
060550	ARES XXI CLO LTD (ARES CLO MANAGEMENT) FKA CLYDESDALE CLO 2006 LTD)	CLYDSOL06	Ares Management, LLC	KY1L003872	KY1L003872	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC0000AGY	CYNTHIA YEN	212-867-9667	8667199290	NCRAMLLOPERATIONS@US.NOMURA.COM	USD	0.15	2,992,443.32	2,992,443.32	0.00	2,992,443.32
060552	VENTURE VII CDO LIMITED	ACSVT7	MJX ASSET MANAGEMENT	KY1L000993	KY1L000993	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1099AGY	JENNIFER BASSO	7134836102	2816579014		USD	0.05	987,487.31	987,487.31	0.00	987,487.31
060553	FOUR CORNERS CLO III LTD	FRCRNRSIII	MACQUARIE FUNDS GROUP	KY1L040460	KY1L040460	Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC01	CLO ADMINISTRATION	7142476041	8662481622	MARK.NGUYEN@DB.COM	USD	0.01	117,112.78	117,112.78	0.00	117,112.78
060554	GALLATIN CLO III 2007-1 LTD FKA GALLATIN CLO III 2006-1, LTD	GEG3	MP SENIOR CREDIT PARTNERS	KY1L027012		Investor Address: QUEENSGATE HOUSE, SOUTH CHURCH STRE GEORGE TOWN KY-	1	OC4600AGY1	ANTHONY STARK	2126019166	2816673438	12816673438@TLS.IDSPROD.COM	USD	0.29	5,836,050.00	5,836,050.00	0.00	5,836,050.00
060565	PHOENIX CLO II LTD (FKA AVENUE CLO V LTD)	AVENUECLO5	ING INVESTMENTS	KY1L225012	KY1L225012	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0333AGY	MYSTI FARRIS	7134836078	2816673448	12816673448@TLS.LDSPROD.COM	USD	0.18	3,687,193.91	3,687,193.91	0.00	3,687,193.91
060570	CLEAR LAKE CLO LTD (BABSON CAPITAL MANAGEMENT LLC)	QUICLE	BABSON CAPITAL MANAGEMENT	KY1L021866		Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC222	DONALD ADAMS	7132434027	7047150263	DONALD.ADAMS@WELLSFARGO.COM	USD	0.06	1,215,843.75	1,215,843.75	0.00	1,215,843.75
060572	HALCYON LOAN INVESTORS CLO I LTD ESTORS CLO I LTD	NALHAL	HALCYON RESTRUCTURING	KY1L005018		Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC060572	HANNAH BELK	7134836665	2144516406	12144516406@DOCS.LDSPROD.COM	USD	0.15	2,918,025.00	2,918,025.00	0.00	2,918,025.00
060583	BRENTWOOD CLO LTD (HIGHLAND CAPITAL MANAGEMENT)	BRENTWOOD	HIGHLAND CAPITAL MANG FM	KY1L039280	KY1L039280	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC001	DATA TEAM	9726284100	9726284155	BRENTWOOD@TLS.LDSPROD.COM	USD	0.15	2,918,025.00	2,918,025.00	0.00	2,918,025.00
060592	BURR RIDGE CLO PLUS LTD (CIFC DEERFIELD)	BRRRDGPLS	CIFC ASSET MANAGEMENT	KY1L036542	KY1L036542	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0000AGY	THORA FRIHART	7733801629	7325782614	PZAVALA@DEERFIELDCAPITAL.COM	USD	0.07	1,485,000.00	1,485,000.00	0.00	1,485,000.00
060599	CANNINGTON FUNDING LTD (SILVERMINE CAPITAL)	ACFL	SILVERMINE CAPITAL	KY1L006206		Investor Address: WALKER HOUSE, MARY STREET GEORGE TOWN KY-	1	OC1	MYRTALA CALVILLO	7134836224	2816579024	12816579024@TLS.LDSPROD.COM	USD	0.24	4,873,150.63	4,873,150.63	0.00	4,873,150.63
060623	KATONAH IX CLO LTD	GPKAT9	Trimaran Advisors, Katona	KY1L000233		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC231	JOHN DELANEY JR	6176036491	8663508427	NOTICESK9@KATONAHDEBTADVISORS.COM	USD	0.15	2,918,025.00	2,918,025.00	0.00	2,918,025.00
060627	TRALEE CDO I LTD	TRALEE1	PAR FOUR INVESTMENT	KY1L001520		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC9299AGY	KIMBERLY GIBSON	7134836053	2144516103	12144516103@DRFAX.LDSPROD.COM	USD	0.20	3,965,118.33	3,965,118.33	0.00	3,965,118.33
060636	OCEAN TRAILS CLO I	ACSOCE	WEST GATE HORIZONS	KY1L005315		Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC0246AGY	STACEY ALEXANDER	2136213731	2816673745	SALEXANDER@WESTGATEHORIZONS.COM	USD	0.14	2,865,357.25	2,865,357.25	0.00	2,865,357.25
060642	SAPPHIRE VALLEY CDO I, LTD. (BABSON CAPITAL)	CCISAP	BABSON CAPITAL MANAGEMENT	KY1L004649	KY1L004649	Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC1111	KEVIN CEDORCHUK	6176629749	6179370495	KEVIN.CEDORCHUK@IBTCO.COM	USD	0.05	972,675.00	972,675.00	0.00	972,675.00
060643	BABSON CLO LTD 2007-I (BABSON CAPITAL)	SMBC8	BABSON CAPITAL MANAGEMENT	KY1L005505	KY1L005505	Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC0128AGY	DAVID ELKINS	7048057223	4132263377	DELKINS@BABSONCAPITAL.COM	USD	0.09	1,837,629.23	1,837,629.23	0.00	1,837,629.23
060644	BABSON CLO LTD 2006-II (BABSON CAPITAL)	USB62	BABSON CAPITAL MANAGEMENT	KY1L000274	KY1L000274	Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC0332AGY	DAVID ELKINS	7048057223	4132263378	DELKINS@BABSONCAPITAL.COM	USD	0.10	1,947,787.79	1,947,787.79	0.00	1,947,787.79
060660	LIGHTPOINT CLO VII LTD. (NEUBERGER AND BERMAN)	ACSLP7	NEUBERGER BER FXED INCOM	KY1L019902	KY1L019902	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGETOWN KY-	1	OC06066001	PATRICK MITCHELL	3123327333	8669407745	LIGHTPOINT.CLO7.NOTICES@USBANK.COM	USD	0.08	1,556,280.00	1,556,280.00	0.00	1,556,280.00
060665	EATON VANCE CDO X PLC	GPEVX	Eaton Vance	IE1L014529		Investor Address: 85 MERRION SQUARE DUBLIN IE-22	1	OC12	VALMIR PRESSENDO	0000000000	2816579020		USD	0.32	6,312,734.06	6,312,734.06	0.00	6,312,734.06
060669	GALAXY VII CLO, LTD (PINEBRIDGE INVESTMENTS LLC)	AAGAL7	PINEBRIDGE INVESTMENTS	KY1L027756		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC12345	MANDY HO	7134836175	2816579029	12816579029@DOCS.LDSPROD.COM	USD	0.08	1,653,547.50	1,653,547.50	0.00	1,653,547.50
060674	DUANE STREET CLO III LTD	ACDUA	NAPIER PARK GLOBL CAP LLC	KY1L000746		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1111	GRANT BARFUSS	7134836720	2816579034	GRANT.BARFUSS@BNYMELLON.COM	USD	0.07	1,459,012.50	1,459,012.50	0.00	1,459,012.50

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
060686	LANDMARK IX CDO LTD (SOUND HARBOR PARTNERS)	AMLAN9	SOUND HARBOR PARTNERS	KY0M000CQ1	KY0M000CQ1	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1234	CHRISTINA KWAN	7134837614	2816579030	CHRISTINA.W.KWAN@BANKOFNY.COM	USD	0.10	1,945,350.00	1,945,350.00	0.00	1,945,350.00
060691	GRANT GROVE CLO LTD	060691USD	TALL TREE INVESTMENT	KY1L033317		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1111	JEFFREY STONE	6176036538	8667537754		USD	0.07	1,459,926.67	1,459,926.67	0.00	1,459,926.67
060703	RACE POINT IV CLO LIMITED	ACSRA4	SANKATY ADVISORS, LLC	KY1L012352	KY1L012352	Investor Address: WALKER HOUSE MARY STREET GEORGETOWN KY-	1	OC0033AGY	ROBERT COOK	4122348235	2144425203	SANKATY_PORTFOLIOADMINTEAM@SANKATY.COM	USD	0.38	7,603,216.37	7,603,216.37	0.00	7,603,216.37
060707	SHINNECOCK CLO 2006+1 LTD	AISC	Clinton Group	KY1L011396		Investor Address: QUEENSGATE HOUSE 113 SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0004AGY	SYNDICATED LOAN SERVICING	9724018543	8662188474	BNYASSETSOLUTIONS-CDOGROUP@BANKOFNY.COM	USD	0.10	1,987,462.36	1,987,462.36	0.00	1,987,462.36
060711	LIMEROCK CLO I (INVESCO SENIOR SECURED MGMT, INC)	CRCL1	INVESCO SENIOR SECURED	KY1L019951	KY1L019951	Investor Address: P.O.BOX 1093GT GEORGE TOWN KY-11102	1	OC555	MYRTA CALVILLO	7134836224	2816579023	12816579023@TLS.LDSPROD.COM	USD	0.11	2,148,030.16	2,148,030.16	0.00	2,148,030.16
060712	LATITUDE CLO III LTD	LFKNLATIII	LUFKIN ADVISORS, LLC	KY1L015942		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC11100	CLO ADMINISTRATION	7142476551	8663811885	CLO.ADMINISTRATION@DB.COM	USD	0.07	1,459,012.50	1,459,012.50	0.00	1,459,012.50
060717	TRIMARAN CLO VII LTD	ACSTA7	TRIMARAN ADVISORS, L.L.C.	KY1L002700		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1234	VAN NGHIEM	7134836188	2816579047	VAN.NGHIEM@BNYMELLON.COM	USD	0.20	3,925,350.00	3,925,350.00	0.00	3,925,350.00
060746	GREYWOLF CLO I, LTD	060746USD	Greywolf Capital	KY1L003344		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0821AGY	VIRTUS GROUP	7139934300	8882406289	GREYWOLFCLOI@VIRTUSLLC.COM	USD	0.39	7,781,400.00	7,781,400.00	0.00	7,781,400.00
060755	AMMC VII LTD	ACSAM7	American Money Management	KY1L008178		Investor Address: 4TH FLOOR BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-KY11102	1	OC0555AGY	VIRTUS GROUP LP	7139934300	8666678830	AMMCVII@VIRTUSLLC.COM	USD	0.10	1,934,324.72	1,934,324.72	0.00	1,934,324.72
060756	MOUNTAIN VIEW CLO II LTD	AGMV2	Seix Advisors	KY1L033572	KY1L033572	Investor Address: PO BOX 1093GT QUEENSGATE HOUSE GEORGE TOWN KY-	1	OC1245	DARA KOTZKER	2018022356	2815827955	12815827955@TLS.LDSPROD.COM	USD	0.33	6,640,177.50	6,640,177.50	0.00	6,640,177.50
060761	BAKER STREET CLO II LTD	ACBAK2	SEIX ADVISORS	KY1L000662	KY1L000662	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1254	DARA KOTZKER	2018022356	2013388701	BANKLOANS@SEIXADVISORS.COM	USD	0.21	4,279,770.00	4,279,770.00	0.00	4,279,770.00
060763	ACA CLO 2006-2 LTD	AGAC62	CVC CREDIT PARTNERS	KY1L000894		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC2222AGY	KHALID EL HEJJALI	7134836130	2816579008	KHALID.ELHEJJALI@BNYMELLON.COM	USD	0.06	1,167,210.00	1,167,210.00	0.00	1,167,210.00
060778	CARLYLE DAYTONA CLO LTD (FKA STANFIELD DAYTONA CLO LTD)(CARLYLE INVESTMENT MANAGEMENT LLC)	AESSDC	CARLYLE INVESTMENT	KY1L001736		Investor Address: P.O.BOX 1093, GT GEORGE TOWN KY-11102	1	OC123	AARON ALMARAZ	7134836320	2816579044	AARON.ALMARAZ@BNYMELLON.COM	USD	0.17	3,408,028.36	3,408,028.36	0.00	3,408,028.36
060782	PPM GRAYHAWK CLO LTD (PPM AMERICA)	EDPGC	PPM AMERICA, INC.	KY1L051426	KY1L051426	Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC125	LENA FIALKO	3128278588	2816579067	PPMABANKLOANOPS@PPMAMERICA.COM	USD	0.10	1,945,350.00	1,945,350.00	0.00	1,945,350.00
060783	VOYA CLO IV LTD (FKA ING INVESTMENT MANAGEMENT CLO IV LTD)	LPINGI	VOYA INVT MGT	KY1L021288	KY1L021288	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC6908AGY	CORPORATE TRUST SERVICES	6176036711	8663502099	CDO.NOTICES@USBANK.COM	USD	0.09	1,702,181.25	1,702,181.25	0.00	1,702,181.25
060789	KINGSLAND IV LTD	ARM5	KINGSLAND CAPITAL	KY1L002866		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC007	KRISTOPHER KUEHL	7134836707	2816579042	12816579042@TLS.LDSPROD.COM	USD	0.27	5,386,826.73	5,386,826.73	0.00	5,386,826.73
060790	OCEAN TRAILS CLO II	OTCLOII	WEST GATE HORIZONS	KY1L001959		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC01	ANDREA DENISEVICH	2136213758	2816579064	ADENISEVICH@WESTGATEHORIZONS.COM	USD	0.20	4,016,270.96	4,016,270.96	0.00	4,016,270.96
060801	CIFC FUNDING 2007-II FKA CIFC FUNDING 2006-III LTD (CIFC DEERFIELD)	060801USD1	CIFC ASSET MANAGEMENT	KY1L021460	KY1L021460	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0002AGY	GENE VLADIMIROV	3129920664	8669408229	CIFC FUNDING CLO3@BANKOFAMERICA.COM	USD	0.28	5,510,000.00	5,510,000.00	0.00	5,510,000.00
060808	MOUNTAIN VIEW CLO III LTD	MVCLO3	Seix Advisors	KY1L022112	KY1L022112	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1245	DARA KOTZKER	2018022356	2013388701	bankloans@seixadvisors.com	USD	0.29	5,738,782.50	5,738,782.50	0.00	5,738,782.50
060812	REGATTA FUNDING LTD	ACSREG	NAPIER PARK GLOBL CAP LLC	KY1L011594	KY1L011594	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0000AGY	MARC FORANT	6176036760	8667719471	NOTICES REGATTAFUNDING@VIRTUSLLC.COM	USD	0.10	1,945,350.00	1,945,350.00	0.00	1,945,350.00

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
060830	FOOTHILL CLO I, LTD (CARLYLE INVESTMENT MANAGEMENT LLC)	ACCFH	CARLYLE INVESTMENT	KY1L040213	KY1L040213	Investor Address: WALKER HOUSE 87 MARY STREET GEORGE TOWN KY-KY19002	1	OC4585	JESSICA KELLER	4108842140	7047150269	JESSICA.K.KELLER@WELLSFARGO.COM	USD	0.24	4,863,375.00	4,863,375.00	0.00	4,863,375.00
060832	MARLBOROUGH STREET CLO LTD	ACSMBS	Massachusetts Financial	KY1L026477		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC5566	TRACY HING	7134836174	2816579059	TRACY.HING@BNYMELLON.COM	USD	0.17	3,393,801.96	3,393,801.96	0.00	3,393,801.96
060836	MT WILSON CLO II LTD (WESTERN ASSET MANAGEMENT)	GPMW2	WESTERN ASSET MANAGEMENT	KY1L027004	KY1L027004	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0333AGY	CHRISTINE LEE	7132168762	2816579058		USD	0.07	1,461,481.21	1,461,481.21	0.00	1,461,481.21
060838	OHA PARK AVENUE CLO I LTD (OAK HILL)	FOHA	Oak Hill Credit Partners	KY1L000456	KY1L000456	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGETOWN KY-	1	OC1111	JASON J PEREZ	7134836232	2816579055		USD	0.24	4,901,301.98	4,901,301.98	0.00	4,901,301.98
060878	LCM V LTD	LCMVLT	LCM ASSET MANAGEMENT	KY1L018961		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0555AGY	CLO ADMINISTRATION	7142476551	8667199298	CLO.ADMINISTRATION@DB.COM	USD	0.36	7,152,536.68	7,152,536.68	0.00	7,152,536.68
060879	BLUEMOUNTAIN CLO III LTD	BLUACS	BLUEMOUNTAIN CAPITAL	KY1L002270	KY1L002270	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0001AGY	KIMBERLY REINA	2129053923	2816673712	12816673712@TLS.LDSPROD.COM	USD	0.15	2,970,000.00	2,970,000.00	0.00	2,970,000.00
060915	PIMCO FUNDS: GIS PLC DIVERSIFIED IN FUND	DDURAB	PIMCO	IE1L122256	IE1L122256	Investor Address: BLOCK D IVEAGH COURT HARCOURT RD IE-	1	OC0333AGY	BANK LOAN ACCOUNTING	9499323005	6173303777	PIMCO-04689@STATESTREET.COM	USD	0.35	6,962,330.45	6,962,330.45	0.00	6,962,330.45
060917	MAPS CLO FUND II LTD (GSO/BLACK STONE DEBT FUNDS MANAGEMENT LLC)	AMGMAP	BLACKSTONE DEBT ADVISORS	KY1L003146	KY1L003146	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0302AGY	MICHAEL CULLY	6176036521	8663508430	MICHAEL.CULLY@USBANK.COM	USD	0.22	4,494,962.22	4,494,962.22	0.00	4,494,962.22
060918	BRIDGEPORT CLO II LTD (CIBC DEERFIELD)	BRP	CIBC ASSET MANAGEMENT	KY1L039264	KY1L039264	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC3333AGY	CLO ADMINISTRATION	7142476551	7325782614	CLO.ADMINISTRATION@DB.COM	USD	0.10	1,931,569.20	1,931,569.20	0.00	1,931,569.20
060921	COA CAERUS CLO LTD. FKA APIDOS CDO VI (FRASER SULLIVAN)	AP6GP	3i Debt Management US LLC	KY1L002239		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1111	KORY BURLESON	7134836084	2816579037	KORY.BURLESON@BNYMELLON.COM	USD	0.11	2,285,786.25	2,285,786.25	0.00	2,285,786.25
060922	KATONAH X CLO LTD	FKX	Trimaran Advisors, Katona	KY1L000597		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0821AGY	JOHN DELANEY JR	6176036491	8665649300	NOTICESK10@KATONAHDEBTADVISORS.COM	USD	0.19	3,890,700.00	3,890,700.00	0.00	3,890,700.00
060924	CARLYLE HIGH YIELD PARTNERS X LTD	USCH10	CARLYLE INVESTMENT	KY1L006479		Investor Address: WALKER HOUSE MARY STREET GRAND CAYMAN KY-	1	OC0821AGY	TATIANA MARTINEZ	7134837396	2816673710	TATIANA.MARTINEZ@BANKOFNY.COM	USD	0.12	2,483,009.55	2,483,009.55	0.00	2,483,009.55
060927	SATURN CLO, LTD. (PINEBRIDGE INVESTMENTS LLC)	ACSAT	PINEBRIDGE INVESTMENTS	KY1L009416		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0222AGY	LEK CHOBUTHONG	7134836178	2816579029	LEK.K.CHOBUTHONG@BANKOFNY.COM	USD	0.14	2,820,757.50	2,820,757.50	0.00	2,820,757.50
060935	APIDOS QUATTRO CDO (FKA APIDOS QUATTRO CDO)	AAQCMG	CVC CREDIT PARTNERS	KY1L004066		Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-	1	OC0113AGY	SARAH PRUCHA	7134836106	2816579068	SARAH.PRUCHA@BNYMELLON.COM	USD	0.12	2,302,154.84	2,302,154.84	0.00	2,302,154.84
060939	CENT CDO 12 LTD	NCCDO	COLUMBIA MANG INV ADV LLC	KY1L014689	KY1L014689	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1111	CLO ADMINISTRATION	7142476551	8666114792	CLO ADMINISTRATION@DB.COM	USD	0.13	2,688,434.20	2,688,434.20	0.00	2,688,434.20
060942	MOUNTAIN CAPITAL CLO VI LTD (CARLYLE INVESTMENT MANAGEMENT LLC)	ACSMO6	CARLYLE INVESTMENT	KY1L028689	KY1L028689	Investor Address: 3RD FLOOR ROYAL BANK OF CANADA SHEDDEN ROAD GEORGE TOWN KY-11006	1	OC0821AGY	DAVID RAMSEY	7134836318	2816673714	DAVID.M.RAMSEY@BNYMELLON.COM	USD	0.10	1,993,983.75	1,993,983.75	0.00	1,993,983.75
060966	GREENS CREEK FUNDING LTD (SILVERMINE CAPITAL)	HBGCF	SILVERMINE CAPITAL	KY1L033549		Investor Address: 87 MARY ST WALKER HOUSE GEORGETOWN KY-19002	1	OC0123AGY	RONALD RAJEH	7134836227	2816673737		USD	0.29	5,855,576.76	5,855,576.76	0.00	5,855,576.76
060967	OCTAGON INVESTMENT PARTNERS XI LTD (OCTAGON CREDIT INVESTORS)	ACSO11	OCTAGON CREDIT INVESTORS	KY1L002395	KY1L002395	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GRAND CAYMAN KY-	1	OC0000AGY	JOSHUA OLF	6176036521	8668317970		USD	0.07	1,485,000.00	1,485,000.00	0.00	1,485,000.00
060991	CENT CDO 14 LTD	CENTURCDO14	COLUMBIA MANG INV ADV LLC	KY1L014697	KY1L014697	Investor Address: 113 SOUTH CHURCH QUEENSGATE HOUSE GEORGE TOWN KY-	1	OC0000AGY	CLO ADMINISTRATION	7142476551	8666114793	CLO.ADMINISTRATION@DB.COM	USD	0.11	2,180,001.67	2,180,001.67	0.00	2,180,001.67
060992	HARCH CLO III LIMITED (HARCH CAPITAL MGMT)	HRCHIII	HARCH	KY1L037102	KY1L037102	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC4701AGY	CLO ADMINISTRATION	7142476551	8666114795	CLO ADMINISTRATION@DB.COM	USD	0.08	1,638,735.19	1,638,735.19	0.00	1,638,735.19

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
061010	LIGHTPOINT CLO VIII LTD (NEUBERGER BERMAN)	GPLP83007	NEUBERGER BER FXED INCOM	KY1L019910	KY1L019910	Investor Address: WALKER HOUSE, 87 MARY STREET GEORGETOWN KY-19002	1	OC4500AGY	PATRICK MITCHELL	3123327333	8669407745	LIGHTPOINT.CLO.VIII.NOTICES@USBANK.COM	USD	0.15	3,015,292.50	3,015,292.50	0.00	3,015,292.50
061011	NORTHWOODS CAPITAL VIII LTD (ANGELO GORDON)	GNWCP	ANGELO, GORDON AND CO	KY1L115460	KY1L115460	Investor Address: QUEENSGATE HOUSE GEORGETOWN GRAND CAYMAN SHOUTH CHURCH STREET KY-	1	OC0821AGY	MYRTA CALVILLO	7134836224	2815822023		USD	0.53	10,686,100.01	10,686,100.01	0.00	10,686,100.01
061012	CIFC FUNDING 2007-1 LTD	CRCC7	CIFC ASSET MANAGEMENT	KY1L021494	KY1L021494	Investor Address: QUEENSGATE HOUSE SHOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0333AGY	MALIA BAYNES	3123327323	8669401009	CIFC0701.NOTICES@USBANK.COM	USD	0.15	2,970,000.00	2,970,000.00	0.00	2,970,000.00
061019	WESTCHESTER CLO LTD FKA AMHERST CLO, LTD	AMCCRC	HIGHLAND CAPITAL MANG FM	KY1L059643	KY1L059643	Investor Address: QUEENSGATE HOUSE SHOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0101AGY	DATA TEAM	9726284100	2149885967	12149885967@TLS.LDSPROD.COM	USD	0.58	11,672,100.00	11,672,100.00	0.00	11,672,100.00
061028	CARLYLE MCLAREN CLO LTD (FKA STANFIELD MCLAREN CLO LTD)(CARLYLE INVESTMENT MANAGEMENT LLC)	ARASTC	CARLYLE INVESTMENT	KY1L005497		Investor Address: P O BOX 1093, GT GEORGE TOWN KY-	1	OC0821AGY	CHARLES JANZ	7134836339	2816673735	CHARLES.JANZ@BANKOFNY.COM	USD	0.18	3,505,295.86	3,505,295.86	0.00	3,505,295.86
061033	PHOENIX CLO III LTD(FKA)AVENUE CLO VI LTD	AVENUEV	ING INVESTMENTS	KY1L224718	KY1L224718	Investor Address: P.O BOX 1093 GT GEORGE TOWN, KY-	1	OC4500AGY	GREGORY HANCOCK	7134836377	2816673740	GREGORY.HANCOCK@BANKOFNY.COM	USD	0.06	1,154,897.66	1,154,897.66	0.00	1,154,897.66
061034	SHASTA CLO I LTD	SHASTA1	CVC CREDIT PARTNERS	KY1L011347	KY1L011347	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0821AGY	RUBEN LUNA	7134836456	2816673732	12816673732@DOCS.LDSPROD.COM	USD	0.08	1,629,230.63	1,629,230.63	0.00	1,629,230.63
061058	LCM VI LTD	LCMVILT	LCM ASSET MANAGEMENT	KY1L018987		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1234AGY	CLO ADMINISTRATION	7142476551	8667199298	CLO.ADMINISTRATION@DB.COM	USD	0.39	7,798,053.96	7,798,053.96	0.00	7,798,053.96
061064	KATONAH 2007-1 CLO LTD. FKA BRIARCLIFF I CLO LTD.	FRBIC	Trinaran Advisors, Katona	KY1L001298		Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-	1	OC1245	JOHN DELANEY JR	6176036491	8666111216	GILLIGAN@KATONAHDEBTADVISORS.COM	USD	0.05	972,675.00	972,675.00	0.00	972,675.00
061098	STRATFORD CLO LTD	ARASCL	HIGHLAND CAPITAL MANG FM	KY1L031485	KY1L031485	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC4687AGY	DATA TEAM	9724194427	2145404818	DATATEAM@HCMLP.COM	USD	0.10	1,925,700.01	1,925,700.01	0.00	1,925,700.01
061103	GALE FORCE 3 CLO LTD	GALEF3	BLACKSTONE DEBT ADVISORS	KY1L027582	KY1L027582	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC6900AGY	SUSANNE MICKLES	2125032147	6179370566		USD	0.13	2,607,850.10	2,607,850.10	0.00	2,607,850.10
061110	APIDOS CINCO CDO	ACSACC	CVC CREDIT PARTNERS	KY1L000308		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC061110	MODUPE OYEDE	7134836989	2815827214	MODUPE.OYEDE@BNYMELLON.COM	USD	0.06	1,155,051.56	1,155,051.56	0.00	1,155,051.56
061144	ST. JAMES RIVER CLO, LTD (BABSON CAPITAL MANAGEMENT LLC)	RMKSTJ	BABSON CAPITAL MANAGEMENT	KY1L030008		Investor Address: WALKER HOUSE MARY STREET GEORGE TOWN KY-	1	OC0302AGY	BUCKNER TONEY	7132434027	7047150295	BUCKNER.T.TONEY@WELLSFARGO.COM	USD	0.02	486,337.50	486,337.50	0.00	486,337.50
061155	FLAGSHIP CLO VI (DEUTSCHE ASSET MGMT)	ACCF56	Deutsche Asset Mang-SYND	KY1L013756	KY1L013756	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0111AGY	LIZ DELGADO	2124541945	8668317981	ELIZABETH.DELGADO@DB.COM	USD	0.15	2,918,025.00	2,918,025.00	0.00	2,918,025.00
061156	CALLIDUS DEBT PRTRNS CLO FUND VI LT (GSO/BLACK STONE DEBT FUNDS MANAGEMENT LLC)	AMCDP6	BLACKSTONE DEBT ADVISORS	KY1L004276	KY1L004276	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC01	MICHAEL CULLY	6176036471	8668488554	MICHAEL.CULLY@USBANK.COM	USD	0.22	4,494,962.22	4,494,962.22	0.00	4,494,962.22
061165	EATON VANCE CDO IX LTD (EATON VANCE)	EDEV9	Eaton Vance	KY1L014499		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0927AGY	WILLIAM HAAS	4122341681	7132294922	17132294922@TLS.LDSPROD.COM	USD	0.13	2,577,588.75	2,577,588.75	0.00	2,577,588.75
061174	CANARAS SUMMIT CLO LIMITED	GPCANA	CANARAS CAPITAL	JE1L002779	JE1L002779	Investor Address: TEMPLAR HOUSE DON ROAD ST HELIER JE-JE12TR	1	OC0000AGY	CANARAS SUMMIT CLO LTD	2123727425	2815826156	12815826156@TLS.LDSPROD.COM	USD	0.25	4,924,012.49	4,924,012.49	0.00	4,924,012.49
061192	FLAGSHIP CLO V	RMKFL5	Deutsche Asset Mang-SYND	KY1L013749	KY1L013749	Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-	1	OC5621	LIZ DELGADO	2124541945	8663860152	ELIZABETH.DELGADO@DB.COM	USD	0.18	3,696,165.00	3,696,165.00	0.00	3,696,165.00
061194	FLATIRON CLO 2007-1 LTD	ARAFLT	NEW YORK LIFE INSURANCE	KY1L014200	KY1L014200	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC01	CLO ADMINISTRATION	7142476551	2145723374	CLO.ADMINISTRATION@DB.COM	USD	0.24	4,743,959.81	4,743,959.81	0.00	4,743,959.81
061199	ACA CLO 2007-1 LTD	ACSAC7	CVC CREDIT PARTNERS	KY1L004698		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC061199	AZRA ASHRAFI	7134837067	2816673741		USD	0.05	972,675.00	972,675.00	0.00	972,675.00
061215	VENTURE VIII CDO LTD	ARAV8	MJX ASSET MANAGEMENT	KY1L004797	KY1L004797	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0333AGY	KRYSTINA WU	2127055309	2127055390		USD	0.05	987,487.31	987,487.31	0.00	987,487.31

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
061230	GULF STREAM SEXTANT CLO 2007-1 LTD	ARAGU	APOLLO GLOBAL MANAGEMENT	KY1L033036	KY1L033036	Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-KY11102	1	OC555	TAMARA DAVY	6176036540	8668488557		USD	0.25	4,974,874.37	4,974,874.37	0.00	4,974,874.37
061240	KINGSLAND V LTD	ARKV	KINGSLAND CAPITAL	KY1L005232		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC007	KRISTOPHER KUEHL	7134836707	2815827810	12815827810@TLS LDSPROD.COM	USD	0.29	5,885,567.29	5,885,567.29	0.00	5,885,567.29
061249	VOYA CLO V LTD (FKA ING INVESTMENT MANAGEMENT CLO V LTD)	INGMCLV	VOYA INVT MGT	KY1L021296	KY1L021296	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC	CORPORATE TRUST	4804772225	8663502099	CDO.NOTICES@USBANK.COM	USD	0.10	1,989,949.75	1,989,949.75	0.00	1,989,949.75
061264	WESTWOOD CDO II, LTD (ALCENTRA LIMITED)	WCDO082807	Alcentra NY, LLC	KY1L000035	KY1L000035	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC061264A	JAY KWAN	7134836332	2815827216		USD	0.23	4,561,920.00	4,561,920.00	0.00	4,561,920.00
061272	MSIM PECONIC BAY LTD (INVESCO SENIOR SECURED MANAGEMENT)	MSIM	INVESCO SENIOR SECURED	KY1L002148	KY1L002148	Investor Address: QUEENSGATE HOUSE 113 SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC2001AGY	RAMON ZOLETA	7134836358	2816673719	RAMON.O.ZOLETA@BANKOFNY.COM	USD	0.08	1,682,550.86	1,682,550.86	0.00	1,682,550.86
061302	DUANE STREET CLO IV LTD	ARADS4	NAPIER PARK GLOBL CAP LLC	KY1L003112	KY1L003112	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1111	NOBLE KALLUKUZHYY	9727855298	2815827775	NOBLE.KALLUKUZHYY@BNYMELLON.COM	USD	0.11	2,188,518.75	2,188,518.75	0.00	2,188,518.75
061314	FORE CLO LTD 2007-I	FORECLO071	FORE RESEARCH	KY1L002577		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC6908AGY1	CLO ADMINISTRATION	7142476551	8666758279	FORE.CLO@FORERESEARCH.COM	USD	0.34	6,878,025.00	6,878,025.00	0.00	6,878,025.00
061345	BABSON MID-MARKET CLO LTD 2007-II (BABSON CAPITAL)	GPBM72	BABSON CAPITAL MANAGEMENT	KY1L002163	KY1L002163	Investor Address: WALKER HOUSE 87 MARY STREET GEORGE TOWN KY-	1	OC0102AGY	KEVIN CEDORCHUK	6179373520	6179370572	KEVIN.CEDORCHUK@STATESTREET.COM	USD	0.10	1,947,787.79	1,947,787.79	0.00	1,947,787.79
061346	PRIMUS CLO II LTD (CIFC DEERFIELD)	KSPC2	CIFC ASSET MANAGEMENT	KY1L051483	KY1L051483	Investor Address: BOUNDARY HALL CRICKET SQUARE WALKER HOUSE 87 MARY STREET GEORGE TOWN KY-	1	OC0111AGY	BURKE MALEK	6173719336	6173712290	PRIMUSCLOIFAX@VIRTUSLLC.COM	USD	0.14	2,703,831.57	2,703,831.57	0.00	2,703,831.57
061360	FRANKLIN CLO VI, LIMITED	FRANKC6	FRANKLIN FLOATING RATE	KY1L041252	KY1L041252	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0000AGY	JOAN MULIUFI	6503124068	6503123346	JMULIUFI@FRK.COM	USD	0.25	5,058,900.00	5,058,900.00	0.00	5,058,900.00
061422	CENT CDO 15 LTD	ACET15927	COLUMBIA MANG INV ADV LLC	KY1L014713	KY1L014713	Investor Address: 113 QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0314AGY	VIRTUS GROUP	7139934300	8666072494	CENTCDOXVFAX@VIRTUSLLC.COM	USD	0.13	2,688,804.51	2,688,804.51	0.00	2,688,804.51
061436	ARES XXII CLO LTD (FKA CLYDESDALE CLO 2007 LTD)	CDC07	Ares Management, LLC	KY1L000555	KY1L000555	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC0143AGY	CYNTHIA YEN	2126679667	8666758278	CLO.ADMINISTRATION@DB.COM	USD	0.17	3,491,183.88	3,491,183.88	0.00	3,491,183.88
061989	SAN GABRIEL CLO I LTD	EMSG1	CVC CREDIT PARTNERS	KY1L010059	KY1L010059	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC3187AGY	VIRTUS GROUP	7139934320	8663584774	SANGABRIELCLOIFAX@VIRTUSLLC.COM	USD	0.06	1,155,051.32	1,155,051.32	0.00	1,155,051.32
062127	MUIR GROVE CLO LTD	MUIR110807	TALL TREE INVESTMENT	KY1L021965		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1111	JEFFREY STONE	6176036538	8665888518		USD	0.22	4,413,211.12	4,413,211.12	0.00	4,413,211.12
067015	CARLYLE ARNAGE CLO LTD (FKA STANFIELD ARNAGE CLO LTD)(CARLYLE INVESTMENT MANAGEMENT LLC)	SUZJAIM	CARLYLE INVESTMENT	KY1L005141		Investor Address: P.O. BOX 1093, GT GEORGE TOWN KY-	1	OC1111	ELDAD SIMON	7134836208	2816673902		USD	0.20	3,943,488.38	3,943,488.38	0.00	3,943,488.38
067019	CIFC Funding 2007-III, LTD (CIFC DEERFIELD)	CIFC081307	CIFC ASSET MANAGEMENT	KY1L021502	KY1L021502	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC067019AG	JUSTIN MIHALINEC	2126241694	3122768111	LOANADMIN@CIFC.COM	USD	0.16	3,217,500.00	3,217,500.00	0.00	3,217,500.00
067177	COLUMBUSNOVA CLO IV LTD. 2007-II (CIFC DEERFIELD)	CNCLO407II	CIFC ASSET MANAGEMENT	KY1L022120	KY1L022120	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC0000AGY	VIRTUS GROUP	7139934315	8668735359	COLUMBUSNOVA2007-IIFAX@VIRTUSLLC.COM	USD	0.16	3,168,000.00	3,168,000.00	0.00	3,168,000.00
067308	VENTURE IX CDO LTD	067308USD	MJX ASSET MANAGEMENT	KY1L002486	KY1L002486	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC01	GATES WATEL	3123326312	2142914287	VENTURE.IX.NOTICES@USBANK	USD	0.10	1,974,974.62	1,974,974.62	0.00	1,974,974.62
087715	DRYDEN XVIII LEVERAGED LOAN 2007 LIMITED (PRUDENTIAL)	DRYXVIII07LT	PRUDENTIAL INSURANCE	IE1L034840	IE1L034840	Investor Address: 5 HARBOURMASTER PLACE DUBLIN IRELAND IE-	1	OC715	CLO ADMINISTRATION TEAM	9738027240	8666566898	CLO.ADMINISTRATION@DB.COM	USD	0.30	5,940,000.00	5,940,000.00	0.00	5,940,000.00

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC_CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
087878	ABS LOANS 2007 LIMITED	ABS081407	GOLDMAN SACHS ASSET	IE1L006244	IE1L006244	Investor Address: BLOCK D, IVEAGH COURT HARCOURT DUBLIN 2 IRELAND IE-	1	OC1111	HEATHER GRISWOLD	2122581650	2126512311	GSOFFWWSO@IMSI.COM	USD	0.21	4,110,981.20	4,110,981.20	0.00	4,110,981.20
089978	JFIN CLO 2007 LTD (BABSON CAPITAL)	JEFF090607	JEFFERIES FINANCE LLC	KY1L000886	KY1L000886	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC1122	KEVIN CEDORCHUK	6179373520	6179370586	KEVIN.CEDORCHUK@STATESTREET.COM	USD	0.10	1,980,000.00	1,980,000.00	0.00	1,980,000.00
091712	GULF STREAM-COMPASS CLO 2007 LTD (APOLLO GLOBAL MANAGEMENT LLC)	GULF81707	APOLLO GLOBAL MANAGEMENT	KY1L032558	KY1L032558	Investor Address: 4TH FLOOR BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-	1	OC124	CORY OLSEN	9174723972	2144591018	12144591018@TLS.LDSPROD.COM	USD	0.15	2,984,924.62	2,984,924.62	0.00	2,984,924.62
100379	GREENBRIAR CLO, LTD. (HIGHLAND CAPITAL MANAGEMENT)	HIGH1115	HIGHLAND CAPITAL MANG FM	KY1L032632	KY1L032632	Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-	1	OC1434AGY	DATA TEAM	9726284100	9726284155	GREENBRIAR@TLS.LDSPROD.COM	USD	0.10	1,945,350.00	1,945,350.00	0.00	1,945,350.00
102743	PORTOLA CLO, LTD.	POC	PIMCO	KY1L051327	KY1L051327	Investor Address: WALKER HOUSE 87 MARY STREET GEORGE TOWN KY-KY19002	1	OC111	BANKLOANACCOUNT ING	9498323005	6173303854	PIMCO-06820@STATESTREET.COM	USD	0.37	7,387,906.01	7,387,906.01	0.00	7,387,906.01
107865	ECP CLO 2008-1, LTD (SILVERMINE CAPITAL)	107865USD	SILVERMINE CAPITAL	KY1L014812		Investor Address: WALKER HOUSE 87 MARY STREET GEORGE TOWN KY-	1	OC10786501	KEISHA GRAY	7134836223	2815827202		USD	0.34	6,779,897.45	6,779,897.45	0.00	6,779,897.45
111974	ABERDEEN LOAN FUNDING, LTD. (HIGHLAND CAPITAL)	111974USD	HIGHLAND CAPITAL MANG FM	KY1L122805	KY1L122805	Investor Address: WALKER HOUSE 87 MARY STREET GEORGE TOWN KY-KY19002	1	OC11197401	TRAVIS PUCKETT	9724194427	2145404818	ROCKWALL3@TLS.LDSPROD.COM	USD	0.31	6,217,695.00	6,217,695.00	0.00	6,217,695.00
112414	STICHTING PENSIOENFONDS MEDISCHE SPECIALISTEN	112414USD	PIONEER INVESTMENT	NL1L180655	NL1L180655	Investor Address: PO BOX 85344 3508 AH UTRECHT NETHERLANDS NL-	1	OC11241401	PHILIP COLBURN	6174224565	2144614160	12144614160@TLS.LDSPROD.COM	USD	0.03	666,282.37	666,282.37	0.00	666,282.37
117506	GALAXY VIII CLO, LTD. (PINEBRIDGE INVESTMENTS LLC)	GALAXYVIII	PINEBRIDGE INVESTMENTS	KY1L027038		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC117506A	BRANDY ADKINS	7134836703	2816673748		USD	0.09	1,848,082.50	1,848,082.50	0.00	1,848,082.50
120596	HUDSON CANYON FUNDING II, LTD. (INVESCO SENIOR SECURED MGMT, INC)	120596USD	INVESCO SENIOR SECURED	KY1L036807	KY1L036807	Investor Address: WALKER HOUSE 87 MARY STREET GEORGETOWN KY-KY1-9002	1	OC120596	MALIA BAYNES	3123327323	8669407641	HUDSONCANYON.CLO.NOTICES@USBANK.COM	USD	0.09	1,893,418.92	1,893,418.92	0.00	1,893,418.92
135516	LLT LIMITED	LLTUSD	Loeb Capital Management	GB1L136041	GB1L136041	Investor Address: WASHINGTON MALL - PHASE 1 CHURCH STREET, 4TH FLOOR HAMILTON HM 11 VG-	1	OC1234	JO RUSSO	2124837052	2125742003	JRUSSO@LOEBCAP.COM	USD	0.01	210,934.67	210,934.67	0.00	210,934.67
165691	GLOBAL CREDIT RETURN FUND N.V (IN RELATION TO THE SERIES 2009-1 NOTES)(BNP PARIBAS)	HIGHHUSD	BNP PARIBAS EUR	NL1L206591		Investor Address: P.O BOX 990 AMSTERDAM NL-1000	1	OC1234	PATRICK DILLON-MALONE	01135315428101	2015796915	PATRICK.DILLON.MALONE@BNYMELLON.COM	USD	0.25	4,950,000.00	4,950,000.00	0.00	4,950,000.00
166814	RENAISSANCE TRUST 2009 (HIGHBRIDGE CAPITAL MANAGEMENT, LLC)	RENIASSUSD	HIGHBRIDGE CAPITAL	KY1L213703	KY1L213703	Investor Address: BUTTERFIELD HOUSE, 68 FORT STREET GEORGE TOWN KY-	1	OC12345	MARIA PENA	7134837077	2019172154	MARIA.E.PENA@BNYMELLON.COM	USD	0.79	15,769,267.76	15,769,267.76	0.00	15,769,267.76
167163	INNOVATION TRUST 2009	INNOVAT	Eaton Vance	KY1L193822	KY1L193822	Investor Address: BUTTERFIELD HOUSE 68 FORT STREET GEORGE TOWN KY-	1	OC0001	AMANDA LASKEY	4122348373	2019172153	12019172153@TLS.LDSPROD.COM	USD	1.65	33,119,644.70	33,119,644.70	0.00	33,119,644.70
167251	AMBITION TRUST 2009 (BABSON CAPITAL MANAGEMENT, LLC)	AMBITRU	BABSON CAPITAL MANAGEMENT	KY1L206798		Investor Address: BUTTERFIELD HOUSE, 68 FORT STREET GEORGE TOWN KY-	1	OC456	AMANDA LASKEY	4122348322	2019172155	AMANDA.LASKEY@BNYMELLON.COM	USD	0.42	8,411,135.83	8,411,135.83	0.00	8,411,135.83
180268	FRASER SULLIVAN CLO VII LTD. (FKA COA TEMPUS CLO LTD)	COATEMP	3i Debt Management US LLC	KY1L238031		Investor Address: CLIFTON HOUSE 75 FORT STREET GEORGE TOWN KY-KY11108	1	OC111	VIRTUS GROUP LP	7139934300	8668744474	NOTICES FRASERSULLIVANCLOVII@VIRTUSLLC.COM	USD	0.16	3,136,026.51	3,136,026.51	0.00	3,136,026.51
184548	GSO LOAN TRUST 2010 (BLACKSTONE DEBT ADVISORS)(GSO CAPITAL PARTNERS))	SSOUSD	BLACKSTONE DEBT ADVISORS	KY1L225616	KY1L225616	Investor Address: BUTTERFIELD HOUSE 68 FORT STREET GEORGE TOWN KY-	1	OC1111	SHUNTA CERF	7134836077	2018223619	12018223619@TLS.LDSPROD.COM	USD	0.71	14,254,597.67	14,254,597.67	0.00	14,254,597.67
191162	OCTAGON LOAN TRUST 2010 (OCTAGON CREDIT INVESTORS LLC)	OCTLTRST	OCTAGON CREDIT INVESTORS	KY1L246638		Investor Address: BUTTERFIELD HOUSE, 68 FORT STREET GEORGE TOWN KY-	1	OC001	ANNYE HUA	7134836378	2018127627	12018127627@DOCS.LDSPROD.COM	USD	1.47	29,452,500.00	29,452,500.00	0.00	29,452,500.00
194530	OCTAGON PAUL CREDIT FUND SERIES I LTD (OCTAGON CREDIT INVESTORS)	OCTAGON	OCTAGON CREDIT INVESTORS	KY0M000209		Investor Address: P.O BOX 1093, QUEENSGATE HOUSE GEORGE TOWN KY-11102	1	OC001	MICHAEL GUDAS	6179371887	6173303235	SSCMIZUHOBANKLOANS@STATESTREET.COM	USD	0.08	1,634,831.16	1,634,831.16	0.00	1,634,831.16
208365	OHA INTREPID LEVERAGED LOAN FUND LTD (OAK HILL ADVISORS LP)	OHAINUSD	OAK HILL CREDIT PARTNERS	KY1L294786	KY1L294786	Investor Address: P.O BOX 1093 GEORGE TOWN KY-11102	1	OC001	JASON PEREZ	7134836232	2018223694	JASON.J.PEREZ@BNYMELLON.COM	USD	0.08	1,594,329.47	1,594,329.47	0.00	1,594,329.47

NRG Energy, Inc. - SF-328
Attachment 3A

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC_CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
211567	VALIDUS REINSURANCE LTD (PINEBRIDGE INVESTMENTS)	VALREUSD	PINEBRIDGE INVESTMENTS	BM1L301718		Investor Address: SUITE 1790 48 PAR LA VILLE ROAD HAMILTON BM.	1	OC1	JAMIE SPENCER	7134836180	2018223719	12018223719@TLS.LDSPROD.COM	USD	0.26	5,127,029.54	5,127,029.54	0.00	5,127,029.54
215902	SOCIETE GENERALE GRAND CAYMAN BRANCH	SOGEUUSD	SOCIETE GENERALE	FR1L315759	FR1L315759	Investor Address: 1221 AVENUE OF THE AMERICAS NEW YORK FR-10020	1	OC1	COLLEEN MESSINA	2018398457	2018398116	COLLEEN.MESSINA@SGCIB.COM	USD	0.25	5,005,667.49	5,005,667.49	0.00	5,005,667.49
219931	CENTRAL PARK CLO LTD	CPCLO	BLACKSTONE DEBT ADVISORS	KY1L325077	KY1L325077	Investor Address: P.O. BOX 1093 GEORGE TOWN KY-11102	1	OC125	MIKE CAROZZA	6176629737	6174514906	MICHAEL.CAROZZA@STATESTREET.COM	USD	0.25	4,982,393.07	4,982,393.07	0.00	4,982,393.07
220132	BLUEMOUNTAIN CLO 2011-1 LTD (BLUEMOUNTAIN CAPITAL MANAGEMENT)	BCMILLUSD	BLUEMOUNTAIN CAPITAL	KY1L325135		Investor Address: P.O. BOX 1093 GEORGE TOWN KY-11102	1	OC123	KORY BURLESON	7134836084	2017165671	12017165671@TLS.LDSPROD.COM	USD	0.10	1,945,350.00	1,945,350.00	0.00	1,945,350.00
221860	AMBITION TRUST 2011 (BABSON CAPITAL MANAGEMENT LLC)	ATUSD	BABSON CAPITAL MANAGEMENT	KY1L328394	KY1L328394	Investor Address: BUTTERFIELD HOUSE 68 FORT STREET GEORGE TOWN KY-	1	OC123	RICHARD NAPOR	4122348372	2018223708	12018223708@TLS.LDSPROD.COM	USD	0.56	11,213,796.98	11,213,796.98	0.00	11,213,796.98
227751	GSO LOAN TRUST 2011 (BLACKSTONE DEBT ADVISORS (GSO CAPITAL PARTNERS)))	GLTUSD	BLACKSTONE DEBT ADVISORS	KY1L335878	KY1L335878	Investor Address: BUTTERFIELD HOUSE 68 FORT CAYMAN GEORGE TOWN KY-	1	OC125	KHALID EL HEJJALI	7134836130	2016390857	12016390857@TLS.LDSPROD.COM	USD	1.88	37,632,697.99	37,632,697.99	0.00	37,632,697.99
228897	INNOVATION TRUST 2011 (EATON VANCE MGMT)	INNKA	Eaton Vance	KY1L335092		Investor Address: BUTTERFIELD HOUSE 68 FORT STREET GEORGE TOWN KY-	1	OC2223	AMANDA LASKEY	4122348373	2017192475	12017192475@TLS.LDSPROD.COM	USD	0.39	7,800,902.25	7,800,902.25	0.00	7,800,902.25
229312	VOYA CLO 2011 1 LTD (FKA ING IM CLO 2011 1 LTD)	IIUSD	VOYA INVT MGT	KY1L335225	KY1L335225	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC123	GREGORY HANCOCK	7134836377	2017165670	12017165670@TLS.LDSPROD.COM	USD	0.07	1,492,462.32	1,492,462.32	0.00	1,492,462.32
231461	LCM IX LIMITED PARTNERSHIP	LLPUSD	LCM ASSET MANAGEMENT	KY1L345521	KY1L345521	Investor Address: QUEENSGATE HOUSE GRAND CAYMAN KY-11102	1	OC123	CLO ADMINISTRATION	7142476551	2018127903	CLO.ADMINISTRATION@DB.COM	USD	0.33	6,556,593.09	6,556,593.09	0.00	6,556,593.09
232596	RACE POINT V CLO LIMITED	RPCUSD	SANKATY ADVISORS, LLC	KY1L352212		Investor Address: WALKER HOUSE 87 MARY STREET GEORGE TOWN KY-	1	OC123	JASON SMALLWOOD	4122341441	2018127917	12018127917@TLS.LDSPROD.COM	USD	0.10	1,917,583.38	1,917,583.38	0.00	1,917,583.38
234467	CARLYLE GLOBAL MARKET STRATEGIES CLO 2011-1 LTD(CARLYLE INVESTMENT MANAGEMENT)	CARYLEE	CARLYLE INVESTMENT	KY1L352378		Investor Address: WALKER HOUSE 87 MARY STREET GEORGE TOWN KY-KY19002	1	OC2323	THOMAS CACCIOLA	6176629282	6173300362	CARLYLE-91F0@STATESTREET.COM	USD	0.25	5,029,004.82	5,029,004.82	0.00	5,029,004.82
236402	BABSON CLO LTD 2011-1 (BABSON CAPITAL MANAGEMENT LLC)	BAPPIPA	BABSON CAPITAL MANAGEMENT	KY1L354028		Investor Address: CLIFTON HOUSE 75 FORT STREET GEORGE TOWN KY-KY11108	1	OC2312	KEVIN CEDORCHUK	6179373520	6179370415	KEVIN.CEDORCHUK@IBTGO.COM	USD	0.39	7,855,662.41	7,855,662.41	0.00	7,855,662.41
240371	GALAXY XI CLO LTD	GALAKIS	PINEBRIDGE INVESTMENTS	KY1L027822		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC123	JAMIE SPENCER	7134836180	2018127929	12018127929@TLS.LDSPROD.COM	USD	0.02	467,868.99	467,868.99	0.00	467,868.99
242812	GOLUB CAPITAL PARTNERS CLO 10 LIMITED (GOLUB CAPITAL)	GOLUSD	GOLUB CAPITAL	KY1L330499		Investor Address: 90 NORTH CHURCH STREET STRATHVALE HOUSE GEORGE TOWN KY-KY11102	1	OC01	LESLIE HUNDLEY	7134836269	2017165679	12017165679@TLS.LDSPROD.COM	USD	0.13	2,621,025.00	2,621,025.00	0.00	2,621,025.00
245382	FALCON SENIOR LOAN FUND LTD	FSLUSD	APOLLO GLOBAL MANAGEMENT	KY1L400862	KY1L400862	Investor Address: UGLAND HOUSE GEORGE TOWN KY-KY1-1104	1	OC01	MICHAEL GUDAS	6176629729	6173300310	MIZUHOLT-MZL1@STATESTREET.COM	USD	0.29	5,905,176.51	5,905,176.51	0.00	5,905,176.51
245529	ALM VI LTD	ALMUSD	APOLLO GLOBAL MANAGEMENT	KY1L399841	KY1L399841	Investor Address: WALKER HOUSE 87 MARY STREET GEORGE TOWN KY-KY19002	1	OC01	VALERIE GUIMARES	6176036512	8667905326	CDO.ALM6W@CDO.USBANK.COM	USD	0.37	7,421,183.88	7,421,183.88	0.00	7,421,183.88
246170	AMMC CLO IX LIMITED (AMERICAN MONEY MANAGEMENT CORP)	AMMIKI	AMERICAN MONEY MANAGEMENT	KY1L399767		Investor Address: 4 TH FLOOR BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-	1	OC223	VIRTUS GROUP LP	7139934300	8663979847	NOTICES.AMMCCLOIX@VIRTUSLLC.COM	USD	0.25	4,945,187.77	4,945,187.77	0.00	4,945,187.77
246422	GSO JUPITER LOAN TRUST (BLACKSTONE DEBT ADVISORS(GSO CAPITAL PARTNERS))	GSOJUSD	BLACKSTONE DEBT ADVISORS	KY1L404948	KY1L404948	Investor Address: 38 MARKET STREET CANELLA COURT CAMANA BAY KY-	1	OC01	KHALID EL HEJJALI	7134836130	3475922851	13475922851@TLS.LDSPROD.COM	USD	0.40	8,025,733.92	8,025,733.92	0.00	8,025,733.92
252226	FRASER SULLIVAN CLO VI LTD (FRASER SULLIVAN INVESTMENT MANAGEMENT)	FSCUSD	3i Debt Management US LLC	KY1L409210		Investor Address: CLIFTON HOUSE 75 FORT STREET GEORGE TOWN KY-KY11108	1	OC01	VIRTUS GROUP LP	7139934300	8666979809	NOTICES.FRASERSULLIVANCLOVI@VIRTUSLLC.COM	USD	0.16	3,141,183.09	3,141,183.09	0.00	3,141,183.09
263595	JAMESTOWN CLO I LTD	FFSCUSD	3i Debt Management US LLC	KY1L549577	KY1L549577	Investor Address: CLIFTON HOUSE 75 FORT ST GEORGE TOWN KY-KY11103	1	OC01	STEPHEN GLORIA	7139934300	8665601070	NOTICES.FSCVICBNA@VIRTUSLLC.COM	USD	0.03	655,252.80	655,252.80	0.00	655,252.80
265457	LCM X LIMITED PARTNERSHIP (LCM ASSET)	LCMUSD	LCM ASSET MANAGEMENT	KY1L443706		Investor Address: QUEENSGATE HOUSE GRAND CAYMAN KY-KY11102	1	OC01	CLO ADMINISTRATION	7142476551	2145455378	CLO.ADMINISTRATION@DB.COM	USD	0.11	2,294,513.40	2,294,513.40	0.00	2,294,513.40

NRG Energy, Inc. - SF-328
Attachment 3A

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
265479	AMMC CLO X LIMITED	AMMUSD	AMERICAN MONEY MANAGEMENT	KY1L441833		Investor Address: BOUNDARY HALL CRICKET SQUARE GRAND CAYMAN KY-KY11102	1	OC125	VIRTUS GROUP LP	7139934300	8774795865	NOTICES.AMMCCLOX@VIRTUSLLC.COM	USD	0.17	3,426,799.68	3,426,799.68	0.00	3,426,799.68
267844	VOYA CLO 2012 1 LTD (FKA ING IM CLO 2012 1 LTD)	IMCUSD	VOYA INVT MGT	KY1L452863	KY1L452863	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC500	GREGORY HANCOCK	7134836377	2145455377	12145455377@TLS.LDSPROD.COM	USD	0.07	1,492,462.31	1,492,462.31	0.00	1,492,462.31
268307	BLUEMOUNTAIN CLO 2012 1 LTD	BLUMOO	BLUEMOUNTAIN CAPITAL	KY1L460502		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC12	KORY BURLESON	7134836084	2145723370	12145723370@TLS.LDSPROD.COM	USD	0.20	3,920,100.75	3,920,100.75	0.00	3,920,100.75
268554	BABSON CLO LTD 2012 I	BSOUSD	BABSON CAPITAL MANAGEMENT	KY1L464892	KY1L464892	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC500	CAITLIN FARREN	6176629760	6179370268	CAITLIN.FARREN@STATESTREET.COM	USD	0.10	1,980,000.00	1,980,000.00	0.00	1,980,000.00
268765	GALAXY XII CLO LTD	GXCUSD	PINEBRIDGE INVESTMENTS	KY1L440074		Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-KY11102	1	OC123	JAMIE SPENCER	7134836180	2145455080	12145455080@TLS.LDSPROD.COM	USD	0.07	1,470,037.78	1,470,037.78	0.00	1,470,037.78
269721	CARLYLE GLOBAL MARKET STRATEGIES CLO 2012 1 LTD	CGMUSD	CARLYLE INVESTMENT	KY1L466889		Investor Address: WALKER HOUSE 87 MARY STREET GEORGE TOWN KY-KY19002	1	OC123	WESLEY SULLIVAN	6176629304	6179889544	CARLYLE-9IF1@STATESTREET.COM	USD	0.14	2,774,640.85	2,774,640.85	0.00	2,774,640.85
279492	AGF FLOATING RATE INCOME FUND	AGFDC	Eaton Vance	CA1L483162		Investor Address: 66 WELLINGTON STREET WEST SUITE 3100 TORONTO CA-M5K1E9	1	OC500	RACHEL KIELY	0000000000	6173300226	EATONV-AGFA@STATESTREET.COM	USD	0.02	490,012.60	490,012.60	0.00	490,012.60
279849	ECP CLO 2012 3 LTD	ECDCT	SILVERMINE CAPITAL	KY1L484346		Investor Address: CLIFTON HOUSE 75 FORT STREET GEORGE TOWN, GRAND CAYMAN KY-KY1-1108	1	OC500	RAWZABA BOUDIAB	7134836228	2145562555	12145562555@TLS.LDSPROD.COM	USD	0.22	4,410,113.35	4,410,113.35	0.00	4,410,113.35
281276	LCM XI LIMITED PARTNERSHIP	LLCMUSD	LCM ASSET MANAGEMENT	KY1L484338		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC01	CLO ADMINISTRATION	7142476551	7145723806	12145723806@TLS.LDSPROD.COM	USD	0.17	3,480,069.44	3,480,069.44	0.00	3,480,069.44
281796	VENTURE X CLO LIMITED	VXDCT	MUX ASSET MANAGEMENT	KY1L482928	KY1L482928	Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-KY11102	1	OC500	CHRISTINE XU	2127055340	2145723587	12145723587@TLS.LDSPROD.COM	USD	0.05	987,487.32	987,487.32	0.00	987,487.32
283595	GOLUB CAPITAL PARTNERS CLO 11 LTD	MUNDHRDCT	GOLUB CAPITAL	KY1L487083		Investor Address: 90 N CHURCH STREET STRATHVALE HOUSE GRAND CAYMAN KY-KY11102	1	OC14	VIRTUS GROUP LP	7139934300	8662604289	GOLUBCAPITALCLO11@VIRTUSLLC.COM	USD	0.17	3,494,205.00	3,494,205.00	0.00	3,494,205.00
283893	BABSON CLO LTD 2012 II	BABDCT	BABSON CAPITAL MANAGEMENT	KY1L493206		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC500	CAITLIN FARREN	6176629760	6174514760	SSCBABSON@STATESTREET.COM	USD	0.10	1,980,000.00	1,980,000.00	0.00	1,980,000.00
284184	CARLYLE GLOBAL MARKET STRATEGIES CLO 2012 2 LTD	CGMDCT	CARLYLE INVESTMENT	KY1L493875		Investor Address: WALKER HOUSE, 87 MARY STREET GEORGE TOWN KY-KY19002	1	OC123	WESLEY SULLIVAN	6176629304	6179887971	CARLYLE-9IF2@STATESTREET.COM	USD	0.09	1,804,465.17	1,804,465.17	0.00	1,804,465.17
285112	APIDOS CLO IX	ACDCT	CVC CREDIT PARTNERS	KY1L493909		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC500	JASON CALLEJA	7134836708	4693756935	14693756935@TLS.LDSPROD.COM	USD	0.15	2,938,812.87	2,938,812.87	0.00	2,938,812.87
285472	ECP CLO 2012 4 LTD	ETDCT	SILVERMINE CAPITAL	KY1L494576		Investor Address: CLIFTON HOUSE 75 FORT STREET GEORGE TOWN KY-KY11108	1	OC500	DAVID BALMERT	7134837752	4693756875	14693756875@TLS.LDSPROD.COM	USD	0.14	2,723,490.00	2,723,490.00	0.00	2,723,490.00
287983	DRYDEN XXIII SENIOR LOAN FUND	DDCT	PRUDENTIAL INSURANCE	KY1L482563	KY1L482563	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-	1	OC500	MICHAEL LUEHRING	3128278662	2144618486	12144618486@TLS.LDSPROD.COM	USD	0.15	2,979,949.75	2,979,949.75	0.00	2,979,949.75
294502	HALCYON LOAN ADVISORS FUNDING 2012 1 LTD	CYONDCT	HALCYON RESTRUCTURING	KY1L506742		Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-KY11102	1	OC1	JENNIFER DO	7134836362	9729967804	19729967804@TLS.LDSPROD.COM	USD	0.21	4,176,984.51	4,176,984.51	0.00	4,176,984.51
296608	PIMCO LOAN INTERESTS AND CREDIT MASTER FUND LTD	PIMDCT	PIMCO	KY1L442609		Investor Address: 87 MARY STREET GEORGE TOWN KY-KY19005	1	OC12	BANK LOAN ACCOUNTING	9499323005	6173303783	PIMCO-04762@STATESTREET.COM	USD	0.04	767,250.00	767,250.00	0.00	767,250.00
299930	AMMC CLO XI LIMITED	AMMCDCT	AMERICAN MONEY MANAGEMENT	KY1L495813	KY1L495813	Investor Address: BOUNDARY HALL CRICKET SQUARE GRAND CAYMAN KY-KY11102	1	OC1	DONNY NGUYEN	7139934300	8667129504	NOTICES.AMMCXI@VIRTUSLLC.COM	USD	0.10	1,920,812.09	1,920,812.09	0.00	1,920,812.09

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
300030	LANCASHIRE INSURANCE COMPANY LTD	LICLDCT	PINEBRIDGE INVESTMENTS	BM1L064316	BM1L064316	Investor Address: POWER HOUSE 6TH FLOOR 7 PAR LA VILLE ROAD HAMILTON BM-	1	OC02	AGENT BANK NOTICES	0000000000	9726466595	19726466595@TLS.LDSPROD.COM	USD	0.09	1,743,712.27	1,743,712.27	0.00	1,743,712.27
300421	VENTURE XI CLO LIMITED	VALIDCT	MXJ ASSET MANAGEMENT	KY1L524588	KY1L524588	Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-KY11102	1	OC12	VIRTUS GROUP LP	7139934300	8669037998	NOTICES.VENTUREXICLO@VIRTUSLLC.COM	USD	0.10	1,977,487.31	1,977,487.31	0.00	1,977,487.31
300427	BLUEMOUNTAIN CLO 2012 2 LTD	BLCLDCT	BLUEMOUNTAIN CAPITAL	KY1L508151	KY1L508151	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC12	KORY BURLESON	7134836084	2145723370	19725840025@TLS.LDSPROD.COM	USD	0.20	3,944,962.03	3,944,962.03	0.00	3,944,962.03
301161	CARLYLE GLOBAL MARKET STRATEGIES CLO 2012 3 LTD	CUDUDCT	CARLYLE INVESTMENT	KY1L526138	KY1L526138	Investor Address: WALKER HOUSE 87 MARY STREET GEORGE TOWN KY-KY19002	1	OC12	WESLEY SULLIVAN	6176629304	6179374236	CARLYLE-9IF3@STATESTREET.COM	USD	0.25	4,998,780.47	4,998,780.47	0.00	4,998,780.47
301717	LCM XII LIMITED PARTNERSHIP	LCMDCT	LCM ASSET MANAGEMENT	KY1L520016	KY1L520016	Investor Address: QUEENSGATE HOUSE GRAND CAYMAN KY-KY11102	1	OC1	CLO ADMINISTRATION	7142476551	9725840047	CLO ADMINISTRATION@DB.COM	USD	0.11	2,141,240.55	2,141,240.55	0.00	2,141,240.55
301847	GALAXY XIV CLO LTD	GACLDCT	PINEBRIDGE INVESTMENTS	KY1L530031		Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-KY11102	1	OC12	MANDY HO	7134836175	9725840046	19725840046@TLS.LDSPROD.COM	USD	0.01	213,322.62	213,322.62	0.00	213,322.62
302421	VOYA CLO 2012 3 LTD (FKA ING IM CLO 2012 3 LTD)	INGCDCT	VOYA INVT MGT	KY1L538141		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC500	JONATHAN FLETCHER	6176036715	8669419306	CDO.ING10@CDO.USBANK.COM	USD	0.00	0.01	0.01	0.00	0.01
303643	OCTAGON INVESTMENT PARTNERS XIV LTD	OIPDCT	OCTAGON CREDIT INVESTORS	KY1L546136		Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC12	STEVE JONAS	6176036537	8773779163	CDO.OCT14@CDO.USBANK.COM	USD	0.00	0.01	0.01	0.00	0.01
304023	GOLUB CAPITAL PARTNERS CLO 14 LTD	GOLUBDCT	Golub Capital	KY1L546573	KY1L546573	Investor Address: 90 N CHURCH STREET STRATHVALE HOUSE GRAND CAYMAN KY-KY11102	1	OC1	LESLIE HUNDLEY	7134836269	2145562519	12142564534@TLS.LDSPROD.COM	USD	0.22	4,367,385.00	4,367,385.00	0.00	4,367,385.00
306917	ALLIANCEBERNSTEIN INSTITUTIONAL INVESTMENTS AXA HIGH YIELD LOAN PORTFOLIO	ABURDCT	ALLIANCEBERNSTEIN L.P.	LU1L522448	LU1L522448	Investor Address: 2 4 RUE EUGENE RUPPERT LUXEMBOURG LU-L 2453	1	OC13	HENRY CABALERO	9725604420	2128233202	19726466523@TLS.LDSPROD.COM	USD	0.17	3,391,435.77	3,391,435.77	0.00	3,391,435.77
307031	APIDOS CLO X	APIDCT	CVC CREDIT PARTNERS	KY1L541228	KY1L541228	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	SARAH PRUCHA	7134836106	2143020348	SARAH.PRUCHA@BNYMELLON.COM	USD	0.14	2,781,511.52	2,781,511.52	0.00	2,781,511.52
307295	RACE POINT VII CLO LIMITED	RPLDCT	SANKATY ADVISORS, LLC	KY1L547464	KY1L547464	Investor Address: WALKER HOUSE 87 MARY STREET GEORGE TOWN KY-KY19002	1	OC12	RACE POINT VII CLO	0000000000	8669419228	RACE.POINT.VII@USBANK.COM	USD	0.20	3,939,949.37	3,939,949.37	0.00	3,939,949.37
307900	HALCYON LOAN ADVISORS FUNDING 2012 2 LTD	HALYDCT	HALCYON RESTRUCTURING	KY1L546664	KY1L546664	Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-KY11102	1	OC1	AZENETH OLVERA BRAVO	7134836362	2142962777	12142962777@TLS.LDSPROD.COM	USD	0.15	2,954,962.03	2,954,962.03	0.00	2,954,962.03
308717	SHACKLETON II CLO LTD	HACDCT	Alcentra NY, LLC	KY1L547522	KY1L547522	Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-KY11102	1	OC1	SHACKLETON II CLO LTD	0000000000	8664449720	12146461417@TLS.LDSPROD.COM	USD	0.10	1,964,923.86	1,964,923.86	0.00	1,964,923.86
312605	GALAXY XV CLO LTD	GALADCT	PINEBRIDGE INVESTMENTS	KY1L551771	KY1L551771	Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-	1	OC12	JAMIE SPENCER	7134836180	6026804116	16026804116@TLS.LDSPROD.COM	USD	0.02	326,165.23	326,165.23	0.00	326,165.23
312914	VENTURE XII CLO LIMITED	VENIDCT	MXJ ASSET MANAGEMENT	KY1L551516	KY1L551516	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	ANDY RUIZ	7139934300	8666982816	NOTICES.VENTUREXICLO@VIRTUSLLC.COM	USD	0.10	1,974,974.62	1,974,974.62	0.00	1,974,974.62
314820	AMMC CLO XII LIMITED	AMMDCT	AMERICAN MONEY MANAGEMENT	KY1L551904	KY1L551904	Investor Address: BOUNDARY HALL CRICKET SQUARE GRAND CAYMAN KY-KY11102	1	OC1	COLIN GALUSKI	6176036761	8665888509	CDO.AMMC12@CDO.USBANK.COM	USD	0.10	1,972,468.30	1,972,468.30	0.00	1,972,468.30
316620	PIMCO FUNDS GLOBAL INVESTORS SERIES PLC INCOME FUND	FUNDS	PIMCO	IE1L550829	IE1L550829	Investor Address: STYNE HOUSE 3RD FLOOR UPPER HATCH STREET DUBLIN IE-2	1	OC01	BANK LOAN ACCOUNTING	9499323005	6173105699	PIMCO-03678@STATESTREET.COM	USD	0.69	13,860,000.00	13,860,000.00	0.00	13,860,000.00
318248	CFIP CLO 2013 1 LTD	CFIP	CHICAGO FUNDAMENTAL	KY1L555996	KY1L555996	Investor Address: INTERTRUST SPV CAYMAN LIMITED 190 ELGIN AVE GEORGE TOWN KY-KY19005	1	OC1	STEPHANIE SMITH	4108842344	7047152215	STEPHANIE.SMITH@WELLSFARGO.COM	USD	0.20	3,957,436.80	3,957,436.80	0.00	3,957,436.80

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
318608	LCM XIII LIMITED PARTNERSHIP	LOKUU	LCM ASSET MANAGEMENT	KY1L556085	KY1L556085	Investor Address: QUEENSGATE HOUSE GRAND CAYMAN KY-KY11102	1	OC12	CLO ADMINISTRATION	7142476551	6026804256	CLO.ADMINISTRATION@DB.COM	USD	0.21	4,293,599.51	4,293,599.51	0.00	4,293,599.51
318926	BLUEMOUNTAIN CLO 2013-1 LTD (FKA BM CLO 2013-1 LOAN FUNDING LLC)	BLUEM	BLUEMOUNTAIN CAPITAL	KY1L558636	KY1L558636	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GRAND CAYMAN KY-KY11102	1	OC1	KORY BURLESON	7134836084	9726967593	19726967593@TLS.LDSPROD.COM	USD	0.20	3,960,000.00	3,960,000.00	0.00	3,960,000.00
319514	ARCHES FUNDING ULC	ARF	PIMCO	CA1L555894	CA1L555894	Investor Address: 1055 WEST GEORGIA STREET VANCOUVER CA-V6E4N7	1	OC01	AURELIA BOSTAN	4169336345	6026804271	16026804271@TLS.LDSPROD.COM	USD	0.35	6,994,424.62	6,994,424.62	0.00	6,994,424.62
319519	RACE POINT VIII CLO LIMITED	RPLO	SANKATY ADVISORS, LLC	KY1L564055	KY1L564055	Investor Address: 190 ELGIN AVENUE GEORGE TOWN KY-KY19005	1	OC12	DAVID GALLIE	4122348306	4698287765	14698287765@TLS.LDSPROD.COM	USD	0.30	5,924,923.86	5,924,923.86	0.00	5,924,923.86
319703	A SERIES TRUST OF MULTI MANAGER GLOBAL INVESTMENT TRUST PIMCO CAYMAN BANK LOAN LIBOR PLUS FUND JPY HEDGE	STMU	PIMCO	KY1L553074	KY1L553074	Investor Address: BUTTERFIELD HOUSE 68 FORT STREET GEORGE TOWN KY-KY11106	1	OC01	BANK LOAN ACCOUNTING	9499323005	6173105722	PIMCO-09309@STATESTREET.COM	USD	0.27	5,347,221.85	5,347,221.85	0.00	5,347,221.85
319868	MOUNTAIN HAWK I CLO LTD	MOHA	WESTERN ASSET MANAGEMENT	KY1L558172	KY1L558172	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC12	AGENT NOTICES	0000000000	8556093618	MOUNTAIN HAWK CLO@USBANK.COM	USD	0.12	2,369,969.54	2,369,969.54	0.00	2,369,969.54
321285	ARROWPOINT CLO 2013 1 LTD (FKA AP CLO 2013 1 LTD)	ACLOO	ARROWPOINT	KY1L561630	KY1L561630	Investor Address: 190 ELGIN AVENUE GEORGE TOWN KY-KY19005	1	OC13	CHRISTOPHER CHLUMSKY	0000000000	7047153464		USD	0.10	1,982,506.23	1,982,506.23	0.00	1,982,506.23
321323	JAMESTOWN CLO II LTD	JTNN	3i Debt Management US LLC	KY0M000CG2	KY0M000CG2	Investor Address: CLIFTON HOUSE 75 FORT STREET GEORGE TOWN KY-KY11108	1	OC12	VIRTUS GROUP LP	7139934300	8669031306	NOTICES.JAMESTOWNCLOII@VIRTUSLLC.COM	USD	0.14	2,776,021.72	2,776,021.72	0.00	2,776,021.72
330659	BLUEMOUNTAIN CLO 2013 2 LTD	BMCO	BLUEMOUNTAIN CAPITAL	KY0M000CM0	KY0M000CM0	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC12	SARAH PRUCHA	7134836106	4698287773	14698287773@TLS.LDSPROD.COM	USD	0.10	1,980,000.00	1,980,000.00	0.00	1,980,000.00
330961	PALMER SQUARE CLO 2013 1 LTD	PSCD	FOUNTAIN CAPITAL	KY0M000DP1	KY0M000DP1	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC12	VIRTUS GROUP LP	7139934300	8664698972	NOTICES.PALMERSQUARE@VIRTUSLLC.COM	USD	0.10	1,970,050.25	1,970,050.25	0.00	1,970,050.25
330962	BABSON CLO LTD 2013 I	BABC	BABSON CAPITAL MANAGEMENT	KY0M000DD7	KY0M000DD7	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC01	CAITLIN FARREN	6176629760	6173105740	BABSON-5740@STATESTREET.COM	USD	0.20	3,960,000.00	3,960,000.00	0.00	3,960,000.00
332272	NEUBERGER BERMAN CLO XIV LTD	NBCOO	NEUBERGER BER FXED INCOM	KY0M000DZ0	KY0M000DZ0	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC12	AMIEE COOPER	3123327021	8552256607	NEUBERGER.BERMAN.CLO14.NOTICES@USBANK.COM	USD	0.12	2,468,796.99	2,468,796.99	0.00	2,468,796.99
332720	APIDOS CLO XII	APIDOS	CVC CREDIT PARTNERS	KY0M000FH3	KY0M000FH3	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	SARAH PRUCHA	7134836106	4698287799	14698287799@TLS.LDSPROD.COM	USD	0.09	1,750,100.55	1,750,100.55	0.00	1,750,100.55
333082	HALCYON LOAN ADVISORS FUNDING 2013 1 LTD	HLAAA	HALCYON RESTRUCTURING	KY0M000CP3	KY0M000CP3	Investor Address: BOUNDARY HALL CRICKET SQUARE GEORGE TOWN KY-KY11102	1	OC12	CHEVELLE GANDSEY	3123327034	8552107626	HALCYON.LOAN.ADVISORS.2013.1@USBANK.COM	USD	0.15	2,918,025.00	2,918,025.00	0.00	2,918,025.00
334111	VOYA CLO 2013 1 LTD (FKA ING IM CLO 2013 1 LTD)	INGIM	VOYA INVT MGT	KY0M000DH8	KY0M000DH8	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	LOAN SERVICING UNIT	6176624456	6173105761	ING_IM_CLO_2013-1LTD@STATESTREET.COM	USD	0.10	1,977,518.80	1,977,518.80	0.00	1,977,518.80
334580	GALAXY XVI CLO LTD	GALA	PINEBRIDGE INVESTMENTS	KY0M000FV4	KY0M000FV4	Investor Address: QUEENSGATE HOUSE SOUTHCHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	JACK HUNG	7134837020	4698287866	14698287866@TLS.LDSPROD.COM	USD	0.02	498,740.55	498,740.55	0.00	498,740.55
335034	VOYA CLO 2013 2 LTD (FKA ING IM CLO 2013 2 LTD)	INGIMCLO	VOYA INVT MGT	KY0M000GZ3		Investor Address: QUEENSGATE HOUSE SOUTHCHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	GJERGJI ANGJELIU	6176036462	8552356233	ING.IM.CLO.2013.2@USBANK.COM	USD	0.05	987,518.80	987,518.80	0.00	987,518.80
335462	WESTERN ASSET BANK LOAN MULTI CURRENCY MASTER FUND	WABL	WESTERN ASSET MANAGEMENT	KY0M000H68	KY0M000H68	Investor Address: CAMANA BAY 72 MARKET STREET CASSIA COURT KY-KY 11206	1	OC335462	SYNDICATED LOAN SERVICING	9724018593	4698287810	BNYCDOGR@BANKOFNY.COM	USD	0.02	493,743.65	493,743.65	0.00	493,743.65
338934	OCEAN TRAILS CLO IV	OOCUSD	WEST GATE HORIZONS	KY0M000J58	KY0M000J58	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREE GEORGE TOWN KY-11102	1	OC01	ANDREA DENISEVICH	2136213758	8552693579	ADENISEVICH@WESTGATEHORIZONS.COM	USD	0.20	3,964,962.41	3,964,962.41	0.00	3,964,962.41
340413	GOLUB CAPITAL PARTNERS CLO 17 LTD (FKA GCPH 17 LOAN FUNDING LLC)	GOLUPA	Virtus Partners LLC	US1L565145	US1L565145	Investor Address: CLIFTON HOUSE 75 FORT STREET GEORGE TOWN KY-KY11108	1	OC001	STEPHEN GLORIA	7139934300	8774227451	NOTICES.GOLUBCAPITALCLO17@VIRTUSLLC.COM	USD	0.22	4,367,385.00	4,367,385.00	0.00	4,367,385.00
344667	APIDOS CLO XIV	APCXIV	CVC CREDIT PARTNERS	KY0M000FJ9	KY0M000FJ9	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY 11102	1	OC001	JASON CALLEJA	7134836708	4698287797	14698287797@TLS.LDSPROD.COM	USD	0.09	1,750,100.55	1,750,100.55	0.00	1,750,100.55

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
352498	VENTURE XIV CLO LIMITED	VENTXIV	MXJ ASSET MANAGEMENT	KY0M000KV4	KY0M000KV4	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY 11102	1	OC001	ANDY RUIZ	7139934300	8009149780	NOTICES.VENTUREXIV@VIRTUSLLC.COM	USD	0.05	990,000.00	990,000.00	0.00	990,000.00
353534	DRYDEN XXVIII SENIOR LOAN FUND	DRYXX	PRUDENTIAL INSURANCE	KY0M000KJ9	KY0M000KJ9	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	BRIAN SCHOTT	0000000000	8556445336	DRYDEN.XXVIII@USBANK.COM	USD	0.02	495,000.00	495,000.00	0.00	495,000.00
354793	BLUE MOUNTAIN CLO 2013 3 LTD	BLUECLD	BLUEMOUNTAIN CAPITAL	KY0M000L70	KY0M000L70	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY 11102	1	OC001	JOY CARLSON	6176036428	8556658361	BLUE MOUNTAIN.2013@USBANK.COM	USD	0.10	1,980,000.00	1,980,000.00	0.00	1,980,000.00
355061	AVERY POINT II CLO LIMITED	AVPII	SANKATY ADVISORS, LLC	KY0M000MJ5	KY0M000MJ5	Investor Address: 190 ELGIN AVENUE GEORGE TOWN KY-KY 19005	1	OC001	RENEE MERTZ	4122348268	4696198236	14696198236@TLS.LDSPROD.COM	USD	0.25	4,950,000.00	4,950,000.00	0.00	4,950,000.00
355526	CFIP CLO 2014 1 LIMITED (FKA CFIP CLO 2013 2 LIMITED)	CCFIP	CHICAGO FUNDAMENTAL	KY0M000MT4	KY0M000MT4	Investor Address: INTERTRUST SPV CAYMAN LIMITED 190 ELGIN AVENUE GEORGE TOWN KY-KY19005	1	OC1	MARITZA SAINT VIL	4108842173	7047151579	MARITZA.SAINTVIL@WELLSFARGO.COM	USD	0.12	2,478,740.55	2,478,740.55	0.00	2,478,740.55
356118	BNP PARIBAS SENIOR CORPORATE LOANS EUROPE US	BNPEU	BNP PARIBAS EUR	FR0M0003B7	FR0M0003B7	Investor Address: 1 BOULEVARD HAUSSMANN PARIS FR-75009	1	OC003	BNP PARIBAS INVESTMENT PARTNERS	0000000000	442070637061	BNPP.CDO.LOAN.OPS@BNPPARIBAS-IP.COM	USD	0.10	1,980,000.00	1,980,000.00	0.00	1,980,000.00
356123	BNP PARIBAS GLOBAL SENIOR CORPORATE LOANS	BNPGSC	BNP PARIBAS EUR	FR1L555339	FR1L555339	Investor Address: 1 BOULEVARD HAUSSMANN PARIS FR-75009	1	OC003	BNP PARIBAS INVESTMENT PARTNERS	0000000000	442070637061	BNPP.CDO.LOAN.OPS@BNPPARIBAS-IP.COM	USD	0.59	11,880,000.00	11,880,000.00	0.00	11,880,000.00
356953	PAVILION REAL ASSETS POOL	PAV	Pavilion Advisory Group	CA0M0006P2	CA0M0006P2	Investor Address: 3001001 CORYDON AVENUE WINNIPEG CA-R3M0B6	1	OC1	LUKE NEWCOMB	3125645070	3124772807	PAVILION@CORTLANDGLOBAL.COM	USD	0.05	992,481.20	992,481.20	0.00	992,481.20
357415	GOLDMAN SACHS LUX INVESTMENT FUNDS (FKA) GOLDMAN SACHS FUNDS SICAV SIF	GHYF	GOLDMAN SACHS ASSET	LU0M0006P7	LU0M0006P7	Investor Address: 49 AVENUE JF KENNEDY LU-1855	1	OC001	GSAM PORTFOLIO CONTROL AND ANALYSIS	2129028222	4694402983	14694402983@TLS.LDSPROD.COM	USD	0.32	6,405,524.89	6,405,524.89	0.00	6,405,524.89
357601	DAVINCI REINSURANCE LTD	DVRL	EATON VANCE	BM0M0002Q6	BM0M0002Q6	Investor Address: RENAISSANCE HOUSE 12 CROW LANE PEMBROKE BM-19	1	OC1	KYLE MILLER	0000000000	12818987426	12818987426@TLS.LDSPROD.COM	USD	0.05	992,481.20	992,481.20	0.00	992,481.20
357737	GALLATIN CLO V 2013 1 LIMITED	GALLV	MP SENIOR CREDIT PARTNERS	KY0M000NR6	KY0M000NR6	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY 11102	1	OC001	ANTHONY STARK	2126019166	4693318004	14693318004@TLS.LDSPROD.COM	USD	0.07	1,485,000.00	1,485,000.00	0.00	1,485,000.00
358006	NEUBERGER BERMAN CLO XV LTD	NBCLO	NEUBERGER BER FXED INCOM	KY0M000N37	KY0M000N37	Investor Address: 190 ELGIN AVENUE GEORGE TOWN KY-KY 19005	1	OC1	AMIEE COOPER	3123327021	8772584574	NEUBERGER BERMAN CLO15.NOTICES@USBANK.COM	USD	0.05	994,974.87	994,974.87	0.00	994,974.87
358037	ALLIANCEBERNSTEIN INSTITUTIONAL INVESTMENTS AXA HIGH YIELD LOAN II PORTFOLIO	ABII	ALLIANCEBERNSTEIN L.P.	LU1L326006	LU1L326006	Investor Address: 2-4 RUE EUGENE RUPPERT LU-L2453	1	OC1	HENRY CABALERO	9725604420	14698287884	14698287884@TLS.LDSPROD.COM	USD	0.50	9,934,811.84	9,934,811.84	0.00	9,934,811.84
358066	LCM XIV LIMITED PARTNERSHIP	LCMLP	LCM ASSET MANAGEMENT	KY0M000L96	KY0M000L96	Investor Address: QUEENSGATE HOUSE KY-KY 11102	1	OC1	DEBBIE SANFIORENZO	2123597418	0000000000	LCMFAX@LCMAM.COM	USD	0.18	3,668,236.78	3,668,236.78	0.00	3,668,236.78
358470	SOUND POINT CLO III LTD	SOUNDIII	SOUND POINT CAPITAL	KY0M000LC2	KY0M000LC2	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY 11102	1	OC001	SUTEE CHOBUATHONG	7134836372	4694402982	14694402982@TLS.LDSPROD.COM	USD	0.10	1,980,000.00	1,980,000.00	0.00	1,980,000.00
358842	BABSON CAPITAL BANK LOAN FUND A SERIES TRUST OF MULTI MANAGER GLOBAL INVESTMENT TRUST	BABS	BABSON CAPITAL MANAGEMENT	KY0M000N11	KY0M000N11	Investor Address: BUTTERFIELD HOUSE 68 FORT STREET GEORGE TOWN KY-KY 11106	1	OC001	CAITLIN FARREN	6176629760	6179460133	BABSON-0133@STATESTREET.COM	USD	0.20	3,969,924.82	3,969,924.82	0.00	3,969,924.82
359116	OHA LOAN FUNDING 2013 2 LTD	OFUN	OAK HILL CREDIT PARTNERS	KY0M000Q18	KY0M000Q18	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY 11102	1	OC002	OHALF2013 2	0000000000	2818987431	12818987431@TLS.LDSPROD.COM	USD	0.07	1,488,721.80	1,488,721.80	0.00	1,488,721.80
359716	WESTERN ASSET BANK LOAN (OFFSHORE) FUND	WASST	WESTERN ASSET MANAGEMENT	KY0M000PV3	KY0M000PV3	Investor Address: CAMANA BAY 72 MARKET STREET CASSIA COURT SUITE 2204 2ND FLOOR KY-	1	OC001	SYNDICATED LOAN SERVICING	9724018593	4695183777	14695183777@TLS.LDSPROD.COM	USD	0.21	4,175,278.64	4,175,278.64	0.00	4,175,278.64
359720	BABSON CAPITAL SENIOR LOAN TRUST	BOSE	BABSON CAPITAL MANAGEMENT	KY0M000LJ7	KY0M000LJ7	Investor Address: UGLAND HOUSE GEORGE TOWN KY-KY11104	1	OC001	CAITLIN FARREN	6176629760	6179460133	BABSON-0133@STATESTREET.COM	USD	0.05	996,227.99	996,227.99	0.00	996,227.99
360337	RIZAL COMMERCIAL BANKING CORPORATION	RIZ	CVC CREDIT PARTNERS	PH1L543954	PH1L543954	Investor Address: YUCHENGCO TOWER RCBC PLAZA 6819 AYALA AVENUE MAKATI CITY PH-	1	OC001	SARAH PRUCHA	7134836106	2143065772	12143065772@TLS.LDSPROD.COM	USD	0.25	4,969,887.03	4,969,887.03	0.00	4,969,887.03

NRG Energy, Inc. - SF-328
Attachment 3A

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
362775	BLUEMOUNTAIN CLO 2013-4 LTD	BMC	BLUEMOUNTAIN CAPITAL	KY0M000RD7	KY0M000RD7	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC001	AGENT NOTICES	0000000000	8663500126	BLUEMOUNTAIN.2013.4@USBANK.COM	USD	0.20	3,990,930.06	3,990,930.06	0.00	3,990,930.06
364258	ARROWPOINT CLO 2014 2 LTD (FKA) ARROWPOINT CLO 2013 2 LTD	ARROP	ARROWPOINT	KY0M001V20	KY0M001V20	Investor Address: 190 ELGIN AVENUE GEORGE TOWN KY-KY19005	1	OC1	AGENT BANK NOTICES	0000000000	7047155568		USD	0.20	3,984,911.96	3,984,911.96	0.00	3,984,911.96
364853	MUZINICH SHORTDURATIONHIGH YIELD FUND	MUSDU	Muzinich and Company	IE0M0006J5	IE0M0006J5	Investor Address: 33 SIR JOHN ROGERSONSS QUAY DUBLIN IE-	1	OC001	BANK LOAN ACTIVITY	0000000000	6179565697	19725840885@TLS.LDSPROD.COM	USD	2.53	50,621,168.48	50,621,168.48	0.00	50,621,168.48
365079	DRYDEN 30 SENIOR LOAN FUND	DRYD	PRUDENTIAL INSURANCE	KY0M000S73	KY0M000S73	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC001	BRIAN SCHOTT	0000000000	8669404786	DRYDEN.30@USBANK.COM	USD	0.17	3,486,183.96	3,486,183.96	0.00	3,486,183.96
365591	APIDOS CLO XV	APICLO	CVC CREDIT PARTNERS	KY0M000SK0	KY0M000SK0	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	MIGUEL MIKE SMITH	7134836116	9727551306	19727551306@TLS.LDSPROD.COM	USD	0.10	1,989,949.75	1,989,949.75	0.00	1,989,949.75
365807	MULTI SECTOR VALUE BOND FUND	MULT	PIONEER INVESTMENT	KY0M000R17	KY0M000R17	Investor Address: CIBC FINANCIAL CENTRE 11 DR ROYS DRIVE GRAND CAYMAN KY-	1	OC1	PHILIP COLBURN	6174224565	4693318041		USD	0.00	74,436.09	74,436.09	0.00	74,436.09
366029	KINGSLAND VI	KINGS	KINGSLAND CAPITAL	KY0M000TK8	KY0M000TK8	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	LETICIA LICONA	7134837070	4693318038	14693318038@TLS.LDSPROD.COM	USD	0.18	3,536,942.09	3,536,942.09	0.00	3,536,942.09
366220	PIMCO BERMUDA TRUST II PIMCO BERMUDA BANK LOAN FUND M	PBBL	PIMCO	BM0M000302	BM0M000302	Investor Address: 2 CHURCH STREET HAMILTON BM-HM11	1	OC1	BANK LOAN ACCOUNTING	9499323005	6173105864	PIMCO-09601@STATESTREET.COM	USD	0.25	4,907,972.97	4,907,972.97	0.00	4,907,972.97
368174	AVERY POINT III CLO LIMITED	AVEP	SANKATY ADVISORS, LLC	KY0M000SS3	KY0M000SS3	Investor Address: 190 ELGIN AVENUE GEORGE TOWN KY-KY19005	1	OC001	FERNANDO TAPIA	4122348307	2142962412	12142962412@TLS.LDSPROD.COM	USD	0.15	2,984,924.62	2,984,924.62	0.00	2,984,924.62
368904	FIDELITY FLOATING RATE HIGH INCOME FUND	FFRH	FIDELITY INVESTMENTS	CA0M000DQ6	CA0M000DQ6	Investor Address: 483 BAY STREET SUITE 300 TORONTO CA-M5G2N7	1	OC	FIDELITY INVESTMENTS	8174746735	6173852818	BANKDEBT-CUSTODY@FMR.COM	USD	0.05	997,481.11	997,481.11	0.00	997,481.11
369060	LEGG MASON WESTERN ASSET SENIOR LOANS FUND	LEMA	WESTERN ASSET MANAGEMENT	IE0M000783	IE0M000783	Investor Address: RIVERSIDE TWO SIR JOHN ROERSONS QUAY GRAND CANAL DOCK DUBLIN2 IE-	1	OC002	SYNDICATED LOAN SERVICING	9724018593	9727551309	BNYCDGR@BANKOFNY.COM	USD	0.05	994,974.87	994,974.87	0.00	994,974.87
369066	APIDOS CLO XVI	ACXVI	CVC CREDIT PARTNERS	KY0M000VM0	KY0M000VM0	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	KORY LAYNE BURLESON	7134836084	2144313649	12144313649@TLS.LDSPROD.COM	USD	0.10	1,994,962.22	1,994,962.22	0.00	1,994,962.22
371233	VENTURE XV CLO LIMITED	VXV	MJX ASSET MANAGEMENT	KY0M000XK0	KY0M000XK0	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	CC001	DELIA GAMBOA	2127055322	2127055390	CREDIT@MJXAM.COM	USD	0.07	1,305,864.03	1,305,864.03	0.00	1,305,864.03
372734	PINEBRIDGE SARL	PINB	PINEBRIDGE INVESTMENTS	LU0M0008Z2	LU0M0008Z2	Investor Address: 47 AVENUE JF KENNEDY LUL-1855	1	OC002	THOMAS CACCIOLA	6176629282	6179566645	PINEBRIDGE-PBS1@STATESTREET.COM	USD	0.06	1,238,709.22	1,238,709.22	0.00	1,238,709.22
373985	JAMESTOWN CLO III LTD	JAME	3i Debt Management US LLC	KY0M000XL8	KY0M000XL8	Investor Address: CLIFTON HOUSE 75 FORT STREET GEORGE TOWN KY-KY11108	1	OC001	VIRTUS GROUP LP	7139934300	8004960628	NOTICES.JAMESTOWNCLOIII@VIRTUSLLC.COM	USD	0.15	2,970,000.00	2,970,000.00	0.00	2,970,000.00
373989	GALAXY XVII CLO LTD	GALX	PINEBRIDGE INVESTMENTS	KY0M0002C2	KY0M0002C2	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC001	AGENT NOTICES	0000000000	4693318177	14693318177@TLS.LDSPROD.COM	USD	0.02	498,740.55	498,740.55	0.00	498,740.55
376010	IA CLARINGTON FLOATING RATE INCOME FUND	IAC	IA CLARINGTON INV INC	CA0M000FL2	CA0M000FL2	Investor Address: 1080 GRANDE ALLEE WEST QUEBEC CITY CA-G1K7M3	1	OC1	PEGGY EGAN	4163048227	4163048233	PEGGY.EGAN@IACLARINGTON.COM	USD	0.11	2,285,786.25	2,285,786.25	0.00	2,285,786.25
377815	NORTHWOODS CAPITAL XI LIMITED	NRC	ANGELO, GORDON AND CO	KY0M0002Z5	KY0M0002Z5	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC001	KAREN K LAM	7134836207	4695183856	14695183856@TLS.LDSPROD.COM	USD	0.55	10,983,516.23	10,983,516.23	0.00	10,983,516.23
378270	LCM XV LIMITED PARTNERSHIP	LCMX	LCM ASSET MANAGEMENT	KY0M0015R1	KY0M0015R1	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	CLO ADMINISTRATION	7142476551	2144314284	CLO.ADMINISTRATION@DB.COM	USD	0.10	1,997,481.11	1,997,481.11	0.00	1,997,481.11

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
380804	DRYDEN 31 SENIOR LOAN FUND	DBTC	PRUDENTIAL INSURANCE	KY0M001CH8	KY0M001CH8	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	CLO ADMINISTRATION TEAM	0000000000	4695136102	14695136102@TLS.LDSPROD.COM	USD	0.20	3,989,924.43	3,989,924.43	0.00	3,989,924.43
381028	BLUEMOUNTAIN CLO 2014 1 LTD	BLUEMO	BLUEMOUNTAIN CAPITAL	KY0M001884	KY0M001884	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC1	AGENT NOTICES	0000000000	4698043960	14698043960@TLS.LDSPROD.COM	USD	0.15	3,000,000.00	3,000,000.00	0.00	3,000,000.00
381837	OAKTREE CLO 2014 1 LTD	OAKT	OAKTREE CAPITAL	KY0M001CJ4	KY0M001CJ4	Investor Address: 190 ELGIN AVENUE GEORGE TOWN KY-19005	1	OC1	AGENT NOTICES	0000000000	9724378394	19724378394@TLS.LDSPROD.COM	USD	0.25	4,987,405.54	4,987,405.54	0.00	4,987,405.54
382578	COA SUMMIT CLO LTD	COASM	3i Debt Management US LLC	KY0M001P42	KY0M001P42	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC01	COA SUMMIT CLO	0000000000	8669400605	COA.SUMMIT@USBANK.COM	USD	0.20	3,989,924.43	3,989,924.43	0.00	3,989,924.43
383956	PRINCIPAL GLOBAL OPPORTUNITIES SERIES PLC GLOBAL FLOATING RATE HIGH INCOME FUND	PGO	Principal Financial Group	IE0M000LN5	IE0M000LN5	Investor Address: 25 - 28 NORTH WALL QUAY DUBLIN 2 IE-	1	OC01	DIERICKX JODY	5152475245	8665088946	DIERICKX.JODY@PRINCIPAL.COM	USD	0.00	79,798.49	79,798.49	0.00	79,798.49
387389	AVERY POINT IV CLO LIMITED	AVE	SANKATY ADVISORS, LLC	KY0M001MT2	KY0M001MT2	Investor Address: QUEENSGATE HOUSE GRAND CAYMAN KY-KY11102	1	OC01	AGENT NOTICES	0000000000	8552462388	AVERY.POINT.IV@USBANK.COM	USD	0.26	5,236,775.82	5,236,775.82	0.00	5,236,775.82
387753	DRYDEN 33 SENIOR LOAN FUND	DRY	PRUDENTIAL INSURANCE	KY0M0024N2	KY0M0024N2	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC01	CLO ADMINISTRATION TEAM	0000000000	4698049509	CLO.ADMINISTRATION@DB.COM	USD	0.22	4,453,771.86	4,453,771.86	0.00	4,453,771.86
388938	HALCYON LOAN ADVISORS FUNDING 2014 2 LTD	HALOF	HALCYON LOAN ADV FUND	KY0M0024L6	KY0M0024L6	Investor Address: QUEENSGATE HOUSE SOUTH CHURCH STREET GEORGE TOWN KY-KY11102	1	OC001	HALCYON LOAN ADVISORS FUNDING	0000000000	8552252902	HALCYON.LOAN.ADVISORS.2014.2@USBANK.COM	USD	0.15	2,918,025.00	2,918,025.00	0.00	2,918,025.00
390228	SARANAC CLO III LIMITED	SARANK	CANARAS CAPITAL	JE0M000385	JE0M000385	Investor Address: 37 ESPLANADE ST HELIER JE-JE12TR	1	OC01	AGENT NOTICES	0000000000	8663110511	SARANAC.CLO.III@USBANK.COM	USD	0.07	1,423,062.69	1,423,062.69	0.00	1,423,062.69
058288	BELHURST CLO LTD (FKA AVALON CAPITAL LTD)(INVESCO SENIOR SECURED MGMT INC)	ABCLT	INVESCO SENIOR SECURED	KY1L037664	KY1L037664	Investor Address: P.O.BOX 1093GT GEORGETOWN KY-	1	OC01	MYRTA CALVILLO	7134836224	2815827953	MYRTA.CALVILLO@BNYMELLON.COM	USD	0.11	2,154,574.22	2,154,574.22	0.00	2,154,574.22
058343	EATON VANCE INSTITUTIONAL SENIOR LO FUND (EATON VANCE)	EATONAGY	Eaton Vance	KY1L014580		Investor Address: WALKER SECRETARY HOUSE, W.S WALKER CO - WALKER HOUSE GEORGE TOWN KY-02109	1	OC4500AGY	CHRISTOPHER BARY	0000000000	6179370628		USD	1.10	21,924,167.82	21,924,167.82	0.00	21,924,167.82
							324									1,294,025,722.60		
057628	DEUTSCHE BANK AG NEW YORK BRANCH	AADBAG	Deutsche Bank Ag	DE1L156826	DE1L156826	Investor Address: 60 WALL STREET NEW YORK US-10005	2	OC9914AGY1	MARKUS LANG	9045276553	7323803359	LOAN.SERVICING.NY@LIST.DB.COM	USD	0.10	1,981,403.37	1,981,403.37	0.00	1,981,403.37
057635	ERSTE GROUP BANK AG	JOSE13	ERSTE GROUP BANK AG	AT1L105595		Investor Address: 280 PARK AVENUE 32ND FLOOR - WEST BUILDING NEW YORK, NY AT-10017	2	OC0012AGY	JEAN RAMJEET	2129845654	2129845642	JRAMJEET@ERSTEGROUP.COM	USD	0.75	15,000,000.00	15,000,000.00	0.00	15,000,000.00
057658	BANK OF AMERICA NA	ACSBO-USD	BANK OF AMERICA, N.A.	US1L223141	US1L223141	Investor Address: 1850 GATEWAY BOULEVARD CONCORD CA 94520 US-94520	2	OC1340AGY	RENONA CHINWENDY	2142092136	2142909484		USD	0.15	3,058,190.70	3,058,190.70	0.00	3,058,190.70
057661	BARCLAYS BANK PLC(NEW YORK BRANCH)	VBBB	BARCLAYS BANK PLC	GB1L182938	GB1L182938	Investor Address: 1 CHURCHILL PLACE 11TH FLOOR NEW YORK, NY 10265 GB-10265	2	OC0000AGY	ANTHONY TAMBURRI	9735763449	9735763014	ANTHONY.TAMBURRI@BARCLAYSCAPITAL.COM	USD	0.08	1,566,162.11	1,566,162.11	0.00	1,566,162.11
057751	WELLS FARGO BANK, N.A.	WELLMB	WELLS FARGO BANK, N.A.	US1L058422	US1L058422	Investor Address: 420 MONTGOMERY STREET SAN FRANCISCO, CA 94104 US-94104	2	OC128	LOAN TRADING SUPPORT	7045902871	7047150194	LOANTRADESUPPORT@WELLSFARGO.COM	USD	2.39	47,879,674.99	47,879,674.99	0.00	47,879,674.99
058029	MASSACHUSETTS MUTUAL LIFE INSURANCE COMPANY	MMLI	BABSON CAPITAL MANAGEMENT	US1L026825	US1L026825	Investor Address: 1295 STATE ST BOSTON MA US-01111	2	OC007	KEVIN CERDORCHUK	6176629749	6173303121	BABSON-3121@STATESTREET.COM	USD	0.20	3,997,962.40	3,997,962.40	0.00	3,997,962.40
058033	SENIOR DEBT PORTFOLIO FORMALLY EATON VANCE PRIME FUND, INC. (EATON VANCE)	GPSDP	Eaton Vance	US1L011173		Investor Address: 24 FEDERAL STREET BOSTON MA FOURTH FLOOR US-02110	2	OC058033	RACHEL KIELY	6176728115	6179370635	EATONV-0635@STATESTREET.COM	USD	0.32	6,319,422.52	6,319,422.52	0.00	6,319,422.52
058037	ALLSTATE INSURANCE COMPANY (ALLSTATE LIFE INSURANCE COMPANY)	NALL	ALLSTATE LIFE INSURANCE	US1L121519		Investor Address: 3075 SANDERS ROAD, SUITE 65A NORTHBROOK, ILLINOIS US-60062	2	OC0336AGY	INVESTMENT OPERATIONS	8474023802	8662262418		USD	0.25	4,950,000.00	4,950,000.00	0.00	4,950,000.00
058347	MORGAN STANLEY SENIOR FUNDING INC	AAMSSF	MORGAN STANLEY SENIOR	US1L022337	US1L022337	Investor Address: 1585 BROADWAY C/O TAX DEPARTMENT 1633 BROADWAY, 25 TH FLOOR NEW YORK US-10019	2	OC058347	MS LOAN SERVICING	4436274355	7182332140	MSLOANSERVICING@MORGANSTANLEY.COM	USD	0.09	1,873,250.01	1,873,250.01	0.00	1,873,250.01
058442	GRAYSON AND CO (FKA EATON VA - GRAYSON & CO FUND)	ACCGR	Eaton Vance	US1L033557		Investor Address: 2 INTERNATIONAL PLACE 9TH FLOOR BOSTON US-02110	2	OP321A	RACHEL KIELY	6179378189	6179370627	EATONV-0627@STATESTREET.COM	USD	1.23	24,551,898.07	24,551,898.07	0.00	24,551,898.07

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
058518	AFR - FIDELITY ADVISOR SERIES I: FIDELITY ADVISOR FLOATING RATE HIGH INCOME FUND(FIDELITY)	AFRH	Fidelity Investments	US1L012643	US1L012643	Investor Address: 82 DEVONSHIRE ST BOSTON, MA US-02109	2	OC0104AGY	FIDELITY INVESTMENTS	6174746735	6173852818	FPCMSBANKD@FMR.COM	USD	4.18	83,588,700.38	83,588,700.38	0.00	83,588,700.38
058570	NATIONWIDE MUTUAL FIRE INSURANCE CO (NATIONWIDE LIFE INSURANCE COMPANY)	IPNATM	Nationwide Life Insurance	US1L116915		Investor Address: 2 PENNS WAY US-	2	OPS2	ANGELA FARRIS	6142493366	6142496869	FARRISA2@NATIONWIDE.COM	USD	0.49	9,726,750.00	9,726,750.00	0.00	9,726,750.00
058619	NEW YORK LIFE INSURANCE & ANNUITY CORPORATION	NYLIAACORP	NEW YORK LIFE INSURANCE	US1L115669	US1L115669	Investor Address: 51 MADISON AVENUE NEW YORK, NY 10010 US-10010	2	OC0822AGY	HAROLD GOLD	2125765407	2142914332	HAROLD_GOLD@NYLIM.COM	USD	0.41	8,154,245.47	8,154,245.47	0.00	8,154,245.47
058620	NEW YORK LIFE INSURANCE CO	NYLICTI	NEW YORK LIFE INSURANCE	US1L022998	US1L022998	Investor Address: 51 MADISON AVENUE NEW YORK, NY 10010 US-10010	2	OC0112AGY	HAROLD GOLD	2125765407	2142914332	HAROLD_GOLD@NYLIM.COM	USD	0.20	4,067,330.46	4,067,330.46	0.00	4,067,330.46
058718	RIVERSOURCE LIFE INSURANCE COMPANY IDS LIFE INSURANCE COMPANY	ACBIDS	COLUMBIA MANG INV ADV LLC	US1L010209		Investor Address: 100 N SEPULVEDA BLV, SUITE 90245 EL SEGUNDO, CA 90245 US-	2	OC1100AGY	CYNTHIA SCOTT	4694771947	2012443675	12012443675@DOCS.LDSPROD.COM	USD	0.08	1,677,864.38	1,677,864.38	0.00	1,677,864.38
058804	EATON VANCE VT FLOATING-RATE INCOME FUND (EATON VANCE)	058804USD	Eaton Vance	US1L014706		Investor Address: 255 STATE STREET, 6TH FLOOR BOSTON, MA 02109 US-	2	OC0123AGY	CHRISTOPHER BARRY	6176728115	6179370633	EATONV-1858@STATESTREET.COM	USD	0.22	4,343,067.19	4,343,067.19	0.00	4,343,067.19
059159	WESTERN ASSET FLOATING RATE HIGH IN FUND LLC (WESTERN ASSET MANAGEMENT)	WAFER	WESTERN ASSET MANAGEMENT	US1L059685	US1L059685	Investor Address: 117 E. COLORADO BLVD PASADENA, CA 91105 US-	2	OC0333AGY	SYNDICATED LOAN SERVICING	9724018593	8662909667	BNYCDOGR@BANKOFNY.COM	USD	0.27	5,349,712.50	5,349,712.50	0.00	5,349,712.50
059196	MACQUARIE/FIRST TRUST GLOBAL INFRASTRUCTURE UTILITIES DIVIDEND AND INCOME FUND	DMFTG	MACQUARIE FUNDS GROUP	US1L021792	US1L021792	Investor Address: 1001 WARRENVILLE RD SUITE 300 LISLE US-60532	2	OC0101AGY	IMELDA VALEZA	2132334444	2132334470	MFG OPS LA@MACQUARIE.COM	USD	0.10	1,940,462.18	1,940,462.18	0.00	1,940,462.18
059227	CM LIFE INSURANCE CO	CMLI	BABSON CAPITAL MANAGEMENT	US1L104630	US1L104630	Investor Address: 1295 STATE STREET MIP E104 SPRINGFIELD, MA US-01111	2	OC007	KEVIN CERDORCHUK	6176629749	6173303118	SSCBABSON@STATESTREET.COM	USD	0.04	877,601.50	877,601.50	0.00	877,601.50
059339	PIMCO FLOATING INCOME FUND (PIMCO)	PFLI	PIMCO	US1L050619	US1L050619	Investor Address: C/O PACIFIC INV.MNGMT. CO LLC 840 NEWPORT CENTER DR. NEWPORT BEACH, CA US-92660	2	OC0306AGY	BANK LOAN ACCOUNTING	9499323005	6173300631	PIMCO-PX2B@STATESTREET.COM	USD	0.15	2,982,430.95	2,982,430.95	0.00	2,982,430.95
059353	BALLANTYNE FUNDING LLC (BANK OF AMERICA)	ABALL	BANK OF AMERICA FUND	US1L039612		Investor Address: 401N TYRON STREET, NC1-021-03-09 CHARLOTTE, NC 28255 US-	2	OC0100AGY	BALLANTYNE FUNDING LLC	9803876030	7044090399	CS_-_DERIVATIVES@BANKOFAMERICA.COM	USD	0.09	1,848,313.78	1,848,313.78	0.00	1,848,313.78
059360	VIRTUS MULTI-SECT SHRT TERM BND FD FKA PHNX MULTI-SECT SHRT TERM BND FD(NEWFLEET ASSET MANAGEMENT)	KODPLD	NEWFLEET * HARTFORD	US1L060139	US1L060139	Investor Address: 56 PROSPECT STREET HARTFORD, CT US-06115	2	OC05936001	AMY KEITH	8607605815	2144425214	12144425214@DOCS.LDSPROD.COM	USD	1.20	24,029,840.84	24,029,840.84	0.00	24,029,840.84
059431	PIONEER FLOATING RATE TRUST	ACCPFR	PIONEER INVESTMENT	US1L051047	US1L051047	Investor Address: 60 STATE STREET BOSTON US-02109	2	OC456AGY	PHILIP COLBURN	6174224565	2012443745	12012443745@TLS.LDSPROD.COM	USD	0.06	1,232,500.50	1,232,500.50	0.00	1,232,500.50
059658	CHATHAM LIGHT II CLO LTD	LPCL2	SANKATY ADVISORS, LLC	KY1L005695	KY1L005695	Investor Address: JOHN HANCOCK TOWER 200 CLARENDON STREET BOSTON KY-02116	2	OC1111	RENEE MERTZ	4122366772	2815826301	RENEE.A.TAPPE@BNYMELLON.COM	USD	0.24	4,717,350.00	4,717,350.00	0.00	4,717,350.00
060083	CITIBANK, N.A. - SECONDARY TRADING	STPCUSD-3	CITIGROUP GLOBAL MARKETS	US1L027740	US1L027740	Investor Address: 2 PENNS WAY US-	2	OC23423	KEVIN GANC	3023232452	2129940975	GLPARSLTSETTLEMENT@CITIGROUP.COM	USD	0.49	9,907,876.65	9,907,876.65	0.00	9,907,876.65
060101	NEW YORK LIFE INSURANCE CO. (GUARANTEED PRODUCTS)(MACKAY SHIELDS)	ACSNYL	Mackay Shields	US1L115636	US1L115636	Investor Address: 51 MADISON AVENUE NEW YORK, NY 10010 US-10010	2	OC0333AGY	NUNZIA MAZZOCOLI	2122303832	2127350406	BANKLOANS@MACKAYSHIELDS.COM	USD	0.05	928,372.50	928,372.50	0.00	928,372.50
060133	COLUMBIA FUNDS SERIES TRUST II COLUMBIA FLOATING RATE FUND(COLUMBIA MANAGEMENT INVESTMENT ADVISORS LLC)	ACSAXP	COLUMBIA MANG INV ADV LLC	US1L009904		Investor Address: 145 AMERIPRISE FINANCIAL CENTER MINNEAPOLIS US-55474	2	OC6909AGY	CYNTHIA SCOTT	4694771947	3479623470	13479623470@DOCS.LDSPROD.COM	USD	0.15	3,051,819.01	3,051,819.01	0.00	3,051,819.01
060187	PIMCO DIVERSIFIED INCOME FUND	GPPD	PIMCO	US1L050601	US1L050601	Investor Address: 840 NEWPORT CENTER DRIVE NEWPORT BEACH, CA US-92660	2	OC0333AGY	BANK LOAN ACCOUNTING	9499323005	6173300632	PIMCO-PX2D@STATESTREET.COM	USD	0.80	11,932,217.47	11,932,217.47	0.00	11,932,217.47
060275	OPTIMUM TRUST-OPTIMUM FIXED INCOME FUND (DELAWARE INVESTMENTS)	GPO	Delaware Investments	US1L181265		Investor Address: 2005 MARKET ST US-19103	2	OC0333AGY	JOSEPH FIORILLA	2152552321	2672340803	BANKLOANS@DELINVEST.COM	USD	0.05	982,549.87	982,549.87	0.00	982,549.87
060327	RIDGEWORTH FUNDS SEIX FLOATING RATE HIGH INCOME FUND FKA STI CLASSIC - SEIX FLOATING RATE HIGH INCOME FUND	ALPSFR	Seix Advisors	US1L009854	US1L009854	Investor Address: C/O CITI 3435 STELZER RD COLUMBUS, OH US-43219	2	OC16176	CHRIS ENNIS	6176621164	6173303298	RIDGEWORTHSEIXFRHIF-RGCJ@STATESTREET.COM	USD	0.52	10,365,281.03	10,365,281.03	0.00	10,365,281.03
060537	CREDIT SUISSE LOAN FUNDING LLC	CSK	CREDIT SUISSE	US1L015752	US1L015752	Investor Address: 11 MADISON AVE-CORP TAX DEPT.-8TH F NEW YORK, NY 10010 US-10010	2	OC007	LOAN OPERATIONS	9199946374	8664693871	18664693871@DOCS.LDSPROD.COM	USD	0.04	753,321.67	753,321.67	0.00	753,321.67
060587	NASH POINT CLO	NASHUSD	SANKATY ADVISORS, LLC	IE1L020682	IE1L020682	Investor Address: JOHN HANCOCK TOWER 200 CLARENDON STREET BOSTON IE-02116	2	OC0336AGY	PATRICK MITCHELL	3123327333	2073652558	GSS.NASH.CLO.NOTICES@USBANK.COM	USD	0.29	5,836,050.00	5,836,050.00	0.00	5,836,050.00

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
060658	WESTERN ASSET CORE PLUS BOND PORTFO (WESTERN ASSET MANAGEMENT)	GPWEST	WESTERN ASSET MANAGEMENT	US1L059784	US1L059784	Investor Address: 385 E COLORADO BLVD. PASADENA, CA 91105 US-91101	2	OC0134AGY	CHRISTINE ROSADO	617-662-4578	617-451-4958	CSHUANG@STATESTREET.COM	USD	0.50	9,924,812.03	9,924,812.03	0.00	9,924,812.03
060728	MAINSTAY UNCONSTRAINED BOND FUND (FKA MAINSTAY FLEXIBLE BOND OPPORTUNITIES FUND)	NMDI	Mackay Shields	US1L025231		Investor Address: 51 MADISON AVENUE PNJ NEW YORK US-10010	2	OC001	NUNZIA MAZZOCCOLI	2122303832	2127350406	MAINSTAYBANKLOANS@STATESTREET.COM	USD	0.05	1,039,500.00	1,039,500.00	0.00	1,039,500.00
061162	NEW YORK LIFE INSURANCE COMPANY GP-PORTABLE ALPHA(MACKAY SHIELDS)	NYLICPPORTA	Mackay Shields	US1L142549	US1L142549	Investor Address: 51 MADISON AVENUE NEW YORK, NY 10010 US-10010	2	OC0405AGY	NUNZIA MAZZOCCOLI	2122303832	2127350406	BANKLOANS@MACKAYSHIELDS.COM	USD	0.08	1,670,872.50	1,670,872.50	0.00	1,670,872.50
061239	PIONEER BOND FUND	ARPF	PIONEER INVESTMENT	US1L051005	US1L051005	Investor Address: 60 STATE STREET BOSTON, MA US-02109	2	OC06123901	PHILIP COLBURN	6174224565	2149885870	12149885870@TLS.LDSPROD.COM	USD	0.07	1,332,564.75	1,332,564.75	0.00	1,332,564.75
061241	MET INVESTORS SERIES TRUST- PIONEER FUND PORTFOLIO	061241USD	PIONEER INVESTMENT	US1L180671	US1L180671	Investor Address: 80 STATE STREET BOSTON, MA 02109-1820 US-	2	OC1002AGY	PHILIP COLBURN	6124224565	2142914397	12142914397@TLS.LDSPROD.COM	USD	0.04	899,724.37	899,724.37	0.00	899,724.37
061362	PIONEER FLOATING RATE FUND	061362USD	PIONEER INVESTMENT	US1L051039	US1L051039	Investor Address: 60 STATE STREET BOSTON, MA US-02109	2	OC061362	PHILIP COLBURN	6174224565	2149885893	12149885893@TLS.LDSPROD.COM	USD	0.10	2,069,755.71	2,069,755.71	0.00	2,069,755.71
070228	DWS HIGH INCOME TRUST (DEUTSCHE ASSET MGMT)	RADWSHINT	DEUTSCHE ASSET MANGMNT HY	US1L035412	US1L035412	Investor Address: TWO INTERNATIONAL PLACE FLOOR 7 BOSTON MASSACHUSSETTS US-02110	2	CC725AGY	CYNTHIA SUMNER	2124543822	6179889298	INVESTMENT SUPPORT-HY@LIST.DB.COM	USD	0.05	965,250.01	965,250.01	0.00	965,250.01
078145	TAIPEI FUBON COMMERCIAL BANK CO. LTD , LOS ANGELES BRANCH	TAFUCOBNK	TAIPEI FUBON	TW1L157095		Investor Address: 700 S FLOWER ST JEN AL ROAD LOS ANGELES TW-90017	2	OC078145	JOYCE DUH	213-225-8886	2132369155	JOYCE.DUH@FUBONLA.COM	USD	0.25	5,000,000.00	5,000,000.00	0.00	5,000,000.00
086395	PRUDENTIAL TOTAL RETURN BOND FUND INC (FKA DRYDEN TOTAL RETURN BOND FUND INC) (PRUDENTIAL INVESTMENT MANAGEMENT)	PTR	PRUDENTIAL INSURANCE	US1L034753	US1L034753	Investor Address: GATEWAY CENTER THREE 100 MULBERRY STREET,9TH FLOOR NEWARK US-07102	2	OC01	SYNDICATED LOAN SERVICES	9724018523	2017192126	BNYCDOGR@BANKOFNY.COM	USD	0.07	1,485,000.00	1,485,000.00	0.00	1,485,000.00
089455	PIMCO CAYMAN TRUST PIMCO CAYMAN BANK LOAN FUND	PM CAB	PIMCO	KY1L151440	KY1L151440	Investor Address: 140 BROADWAY NEW YORK NY KY-10005	2	OC01	BANL LOAN ACCOUNTING	9499323005	6173303760	PIMCO-03813@STATESTREET.COM	USD	0.06	1,126,676.80	1,126,676.80	0.00	1,126,676.80
091597	DWS FLOATING RATE FUND (FKA DWS FLOATING RATE PLUS FUND)	DFR14807	Deutsche Asset Mang-SYND	US1L035388	US1L035388	Investor Address: ONE BEACON ST 11TH FLOOR BOSTON MA US-02108	2	OC001	HERSH GARGI	6176621639	6174514754	HGARGI@STATESTREET.COM	USD	0.20	3,954,925.10	3,954,925.10	0.00	3,954,925.10
094933	DWS MULTI MARKET INCOME TRUST (DEUTSCHE ASSET MGMT)	DWSM092507	DEUTSCHE ASSET MANGMNT HY	US1L035578	US1L035578	Investor Address: 2 INTERNATIONAL PLACE 7TH FLOOR BOSTON MA US-02110	2	OC0925	CYNTHIA SUMMER	212-454-3822	6179889298		USD	0.07	1,457,549.99	1,457,549.99	0.00	1,457,549.99
094934	DWS UNCONSTRAINED INCOME VIP (FKA DWS STRATEGIC INCOME VIP)	DWSI092507	DEUTSCHE ASSET MANGMNT HY	US1L035495	US1L035495	Investor Address: ONE BEACON ST 11TH FLOOR BOSTON MA US-02108	2	OC0925	CYNTHIA SUMMER	212-454-3822	6179889298		USD	0.01	118,124.98	118,124.98	0.00	118,124.98
095002	DWS UNCONSTRAINED INCOME FUND (FKA DWS STRATEGIC INCOME FUND)	DWSS092507	DEUTSCHE ASSET MANGMNT HY	US1L035560	US1L035560	Investor Address: ONE BEACON ST 11TH FLOOR BOSTON MA US-02108	2	OC0925	CYNTHIA SUMMER	212-454-3822	6179889298		USD	0.05	1,000,650.01	1,000,650.01	0.00	1,000,650.01
095003	DWS STRATEGIC INCOME TRUST (DEUTSCHE ASSET MGMT)	DWST092507	DEUTSCHE ASSET MANGMNT HY	US1L035552	US1L035552	Investor Address: 2 INTERNATIONAL PLACE, 7TH FLOOR BOSTON MA US-02110	2	OC0925	CYNTHIA SUMMER	212-454-3822	6179889298		USD	0.02	393,974.99	393,974.99	0.00	393,974.99
098939	COLUMBIA STRATEGIC INCOME FUND	COLS1101	COLUMBIA MANG INV ADV LLC	US1L291262		Investor Address: ONE FINANCIAL CENTER BOSTON MA US-02111	2	OC098939	CYNTHIA SCOTT	4694771947	2017165656	12017165656@TLS.LDSPROD.COM	USD	0.03	632,238.75	632,238.75	0.00	632,238.75
099332	681 - SEI INSTITUTIONAL MANAGED TRUST'S CORE FIXED INCOME (WESTERN ASSET MANAGEMENT)	SEI1107	WESTERN ASSET MANAGEMENT	US1L124315	US1L124315	Investor Address: 385 E. COLORADO BLVD PASADENA CA US-91101	2	OC1107	DONNA THOMAS	6268444870	6268174103	WABANKLOANS@WESTERNASSET.COM	USD	0.03	645,112.78	645,112.78	0.00	645,112.78
104938	LORD ABBETT INVESTMENT TRUST - FLOA TING RATE FUND	104938USD	Lord Abbett	US1L026593		Investor Address: 90 HUDSON STREET JERSEY CITY NJ US-07302	2	OC1111	LOAN SERVICING UNIT	6176621243	6179889660	LORDA-1271@STATESTREET.COM	USD	1.20	24,037,885.99	24,037,885.99	0.00	24,037,885.99
106272	JOHN HANCOCK FUND II - FLOATING RATE INCOME FUND(WESTERN ASSET MANAGEMENT)	106272USD	WESTERN ASSET MANAGEMENT	US1L189813	US1L189813	Investor Address: 601 CONGRESS STREET BOSTON MA US-02210	2	OC0122AGY1	JOSEPH SMITH	6176621229	6179887977	JOSEPHPSMITH@STATESTREET.COM	USD	0.39	7,737,405.47	7,737,405.47	0.00	7,737,405.47

NRG Energy, Inc. - SF-328
Attachment 3A

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
106733	SARATOGA INVESTMENT CORP CLO 2013 1 LTD (FKA GSC INVESTMENT CORP CLO 2007 LTD)	GSCGRP07LTD	SARATOGA PARTNERS	KY1L002973	KY1L002973	Investor Address: 535 MADISON AVENUE 4TH FLOOR NEW YORK US-10022	2	OC4564AGY	ANDREW SCHAEFFER	7043354575	2144619590	ANDREW.SCHAEFFER@USBANK.COM	USD	0.19	3,890,700.00	3,890,700.00	0.00	3,890,700.00
109575	VIRTUS SENIOR FLOATING RATE FUND (FKA)PHOENIX SENIOR FLOATING RATE FUND	109575USD	NEWFLEET * HARTFORD	US1L060147	US1L060147	Investor Address: 101 MUNSON STREET GREENFIELD US-01301	2	OC10957501	AMY KEITH	8607605815	2144618248	12144618248@DOCS.LDSPROD.COM	USD	0.27	5,374,357.75	5,374,357.75	0.00	5,374,357.75
111455	ADVANCED SERIES TRUST - AST WESTERN ASSET CORE PLUS BOND PORTFOLIO	ASTWSTRNASS	WESTERN ASSET MANAGEMENT	US1L006967	US1L006967	Investor Address: GATEWAY CENTER THREE 100 MULBERRY STREET, 9TH FLOOR NEWARK, NJ US-07102-4077	2	OC11145501	DONNA THOMAS SAPP	6268444870	6268174103	WABANKLOANS@WESTERNASSET.COM	USD	0.12	2,381,954.89	2,381,954.89	0.00	2,381,954.89
115775	ILLINOIS TOOL WORKS, INC. MASTER TRUST	ITW	PIMCO	US1L150260	US1L150260	Investor Address: 3600 WEST LAKE AVENUE GLENVIEW, IL US-60025	2	OC11577501	BANK LOAN ACCOUNTING	9499323005	6173303873	PIMCO-07032@STATESTREET.COM	USD	0.05	1,000,000.00	1,000,000.00	0.00	1,000,000.00
121077	EMORY UNIVERSITY	EMORTHY	SEIX ADVISORS	US1L550279	US1L550279	Investor Address: 3445 PEACHTREE ROAD - NE ATLANTA GEORGIA US-30326	2	OC1	DARA KOTZKER	2018022356	6026804098	16026804098@TLS.LDSPROD.COM	USD	0.00	29,250.00	29,250.00	0.00	29,250.00
132082	AMERICAN HALLMARK INSURANCE CO OF TX	AMERICANUSD	NEWCASTLE CAPITAL	US1L007908		Investor Address: 777 MAIN STREET SUITE 1000 FT WORTH, TX US-76102	2	OC1234	DUSTY WILSON	8173481637	8173481679	HFS-INVESTMENTS@HALLMARKGRP.COM	USD	0.05	972,675.00	972,675.00	0.00	972,675.00
133986	GOLDMAN SACHS LENDING PARTNERS LLC	GSLPUSD	GOLDMAN SACHS CREDIT	US1L033508	US1L033508	Investor Address: C/O GOLDMAN, SACHS, AND CO. 85 BROAD STREET-TAX DEPT. NEW YORK, NY US-10004	2	OC1339683	CALLY HEW	2123574457	6467697700		USD	0.00	4,950.00	4,950.00	0.00	4,950.00
135291	CALIFORNIA STATE TEACHERS RETIREMENT SYSTEM (WESTERN ASSET MANAGEMENT)	CALWAMUSD	WESTERN ASSET MANAGEMENT	US1L122400	US1L122400	Investor Address: 100 WATERFRONT PLACE MS 04 WEST SACRAMENTO US-2807	2	OC1234	MARK LUTZ	6179373028	6173303443	WAMCO-TC5Q@STATESTREET.COM	USD	0.06	1,241,474.29	1,241,474.29	0.00	1,241,474.29
137716	JPMORGAN STRATEGIC INCOME OPPORTUNITIES FUND	JPMSIOF	JPMORGAN ASSET MANAGEMENT	US1L111668	US1L111668	Investor Address: 245 PARK AVENUE NEW YORK, NY US-10167-0001	2	OC0123	TRACI L MANFORD	5136994384	5139853217	TRACI.L.MANFORD@JPMORGAN.COM	USD	0.09	1,881,000.00	1,881,000.00	0.00	1,881,000.00
138058	OHIO POLICE AND FIRE PENSION FUND (MACKAY SHIELDS LLC)	OPFFFUSD	Mackay Shields	US1L181240	US1L181240	Investor Address: 140 E. TOWN STREET COLUMBUS, OH US-43215-5164	2	OC1234	NUNZIA MAZZOCCOLI	2122303832	2127350406	BANKLOANS@MACKAYSHIELDS.COM	USD	0.15	2,977,443.61	2,977,443.61	0.00	2,977,443.61
140363	COLUMBIA STRATEGIC INCOME FUND VARIABLE SERIES	COLUSD	COLUMBIA MANG INV ADV LLC	US1L291270		Investor Address: ONE FINANCIAL CENTER BOSTON US-02111	2	OC1111	CYNTHIA SCOTT	4694771947	2017165657	12017165657@TLS.LDSPROD.COM	USD	0.01	291,802.50	291,802.50	0.00	291,802.50
140454	3003 - PACIFIC SELECT FUND - DIVERSIFIED BOND PORTFOLIO	PSFUSD	WESTERN ASSET MANAGEMENT	US1L170268	US1L170268	Investor Address: 700 NEWPORT CENTER DRIVE NEWPORT BEACH, CA US-92660	2	OC01234	CHRIS GALLAGHER	6176621279	6173303458	CGALLAGHER@STATESTREET.COM	USD	0.15	2,977,443.61	2,977,443.61	0.00	2,977,443.61
141437	SEIX MULTI SECTOR ABSOLUTE RETURN FUND LP(FKA)SEIX CREDIT DISLOCATION FUND LP	SCDFUSD	Seix Advisors	US1L122624	US1L122624	Investor Address: 2711 CENTERVILLE ROAD SUITE 400 WILMINGTON US-19808	2	OC1234	PEARL PENG	7139934300	8887753547	NOTICES.SEIXCREDITDISLOCATIONFUNDII@VIRTUSLLC.COM	USD	0.03	547,306.05	547,306.05	0.00	547,306.05
144615	9956-WTC-CIF OPPORTUNISTIC FIXED PO RTOLIO	WELLINGUSD	WELLINGTON MANAGEMENT	US1L166100	US1L166100	Investor Address: 100 FEDERAL STREET BOSTON, MA US-02110	2	OC0001AGY	MATTHEW STAFFORD	6176621243	2012835803	12012835803@TLS.LDSPROD.COM	USD	0.07	1,410,129.70	1,410,129.70	0.00	1,410,129.70
151486	CITY NATIONAL ROCHESTER FIXED INCOME OPPORTUNITIES FUND (FKA CNI CHARTER FUNDS - FIXED INCOME OPPORTUNITIES FUND)	EPCORCHUSD	Seix Advisors	US1L168593	US1L168593	Investor Address: ONE FREEDOM VALLEY DRIVE OAKS US-19458	2	OC1234	TOM CRONIN	6176036750	0000000000	CT.CDO.LOANSERVICING@USBANK.COM	USD	0.02	341,674.36	341,674.36	0.00	341,674.36
152196	PIMCO FUNDS PIMCO LOW DURATION FUND (PIMCO)	PLWDFN	PIMCO	US1L147829	US1L147829	Investor Address: 840 NEWPORT CENTER DRIVE, SUITE 100 NEWPORT BEACH US-92660	2	OC001	BANK LOAN ACCOUNTING	9499323005	6173300375	PIMCO-PC1D@STATESTREET.COM	USD	0.73	14,570,329.38	14,570,329.38	0.00	14,570,329.38
166624	BANK OF TAIWAN, LOS ANGELES BRANCH	NFTAIWAN	BANK OF TAIWAN	TW1L178943		Investor Address: SUITE 4525 601 S.FIGUEROA STREET LOS ANGELES, CA TW-90017	2	OC4589	TIMOTHY LIU	2136296600 EXTN 155	2136296610	TIMOTHYL@BOTLA.US	USD	0.50	9,949,748.74	9,949,748.74	0.00	9,949,748.74
173282	DELAWARE GROUP INCOME FUNDS - DELAWARE DIVERSIFIED FLOATING RATE FUND (DELAWARE INVESTMENTS)	DELDFFR	Delaware Investments	US1L215022	US1L215022	Investor Address: 2005 MARKET STREET, ONE COMMERCE SQUARE, 9TH FLOOR, INV. ACCOUNTING PHILADELPHIA US-19103	2	OC0001	JOSEPH FIORILLA	2152552321	2672340803	BANKLOANS@DELINVEST.COM	USD	0.02	404,218.20	404,218.20	0.00	404,218.20
177751	CONSUMER PROGRAM ADMINISTRATORS INC (JP MORGAN INVESTMENT MANAGEMENT INC)	CONSJPM	JPMORGAN ASSET MANAGEMENT	US1L293359		Investor Address: 175 W. JACKSON BLVD, 11TH FLOOR CHICAGO US-60604	2	OC0001	LIDIA JODKO	3026342853	3026345868	BANK_LOANS@JPMORGAN.COM	USD	0.01	297,000.00	297,000.00	0.00	297,000.00
180146	MT. WHITNEY SECURITIES INC. (DEUTSCHE ASSET MANAGEMENT INC)	MTWSI	Deutsche Asset Mang-SYND	US1L201865	US1L201865	Investor Address: 477 MARTINSVILLE ROAD LIBERTY CORNER US-07938	2	OC001	LIZ DELGADO	2122500568	6173303360	ELIZABETH.DELGADO@DB.COM	USD	0.06	1,167,210.00	1,167,210.00	0.00	1,167,210.00

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
180362	MET INVESTORS SERIES TRUST - MET/EATON VANCE FLOATING RATE PORTFOLIO (EATON VANCE MANAGEMENT)	MEVFRP	Eaton Vance	US1L220063		Investor Address: 5 PARK PLAZA, SUITE 1900 IRVINE US-92614	2	OC0001	RACHEL KIELY	6176728115	6173303148	MET-EATONVANCEFLOATR-C7LM@STATESTREET.COM	USD	0.20	4,036,601.25	4,036,601.25	0.00	4,036,601.25
180380	THE HARTFORD SHORT DURATION FUND	THSDF	WELLINGTON MANAGEMENT	US1L214959	US1L214959	Investor Address: 500 BIELENBERG DRIVE WOODBURY US-55125	2	OC444	MATTHEW STAFFORD	9725816535	2145723381	12145723381@TLS.LDSPROD.COM	USD	0.12	2,360,573.18	2,360,573.18	0.00	2,360,573.18
180405	LOEB ARBITRAGE OFFSHORE PARTNERS LTD	LLOEBUSD	Loeb Capital Management	KY1L222894	KY1L222894	Investor Address: 61 BROADWAY, 24 TH FLOOR NEW YORK NY-10006	2	OC0123	JAMIE GROSSMAN	2124837053	2125742003	LOEBOPERATIONS@LOEBCAP.COM	USD	0.20	4,024,673.36	4,024,673.36	0.00	4,024,673.36
180922	LVIP DELAWARE DIVERSIFIED FLOATING RATE FUND (DELAWARE INVESTMENTS)	LVIPDDFRF	Delaware Investments	US1L244311	US1L244311	Investor Address: 1300 SOUTH CLINTON STREET FORT WAYNE US-46802	2	OC001	JOSEPH FIORILLA	2152552321	2672340803	JAFIORILLA@DELINVEST.COM	USD	0.03	629,303.59	629,303.59	0.00	629,303.59
184549	CALIFORNIA FIRST NATIONAL BANK (CALIFORNIA FIRST NATIONAL BANK)	CALFNB	CALIFORNIA FIRST NATIONAL	US1L006140		Investor Address: 18201 VON KARMAN AVENUE SUITE 420 IRVINE US-92612	2	OC125	JOE GREWE	8007352465	8007354589	GMERAZ@CALFIRST.COM	USD	0.50	9,924,812.03	9,924,812.03	0.00	9,924,812.03
184929	FIRST WESTERN CAPITAL MANAGEMENT HIGH INCOME SENIOR LOANS LIMITED PARTNERSHIP	FIWEUSD	VIRTUS PARTNERS LLC	US1L223042	US1L223042	Investor Address: 1200 SEVENTEENTH STREET SUITE 2650 DENVER CO US-80202	2	OC1111	VIRTUS GROUP LP	7139934300	8772788216	FWCMHIGHINCOMESENIORLOANSLP@VIRTUSLLC.COM	USD	0.02	486,337.50	486,337.50	0.00	486,337.50
193400	FIRST NIAGARA BANK N.A. (FIRST NIAGARA BANK NA)	NBNA	FIRST NIAGARA BANK, N. A.	US1L013435		Investor Address: 6950 S TRANSIT RD P.O. BOX 514 LOCKPORT US-14095	2	OC123	SUE NAAB	7168195874	7168195132	COMMERCIAL PARTICIPATIONS@FNFG.COM	USD	0.48	9,674,775.00	9,674,775.00	0.00	9,674,775.00
195477	TETON FUNDING LLC (APOLLO GLOBAL)	TETONFUND	APOLLO GLOBAL MANAGEMENT	US1L291577		Investor Address: P.O.BOX 4418, MAIL CODE 633 ATLANTA US-30302	2	OC1111	RACHEL RICHARDS	9725816547	2017202995	12017202995@TLS.LDSPROD.COM	USD	0.24	4,770,983.07	4,770,983.07	0.00	4,770,983.07
204184	PIMCO FUNDS PIMCO INCOME FUND	PIFMS	PIMCO	US1L147837	US1L147837	Investor Address: 840 NEWPORT CENTER DRIVE NEWPORT BEACH US-92660	2	OC123	BANK LOAN ACCOUNTING	9499323005	6173300644	PIMCO-PX22@STATESTREET.COM	USD	0.69	13,860,000.00	13,860,000.00	0.00	13,860,000.00
206496	USAA SHORT TERM BOND FUND	USAAGY	USAA INVESTMENT	US1L294720		Investor Address: 9800 FREDERICKSBURG RD, A3E SAN ANTONIO US-78288	2	OC01	VALARIE DAY	2104987579	2104984831	BANKLOANS@USAA.COM	USD	0.34	6,905,125.63	6,905,125.63	0.00	6,905,125.63
208764	DWS HIGH INCOME OPPORTUNITIES FUND INC (DEUTSCHE ASSET MANAGEMENT AMERICAS INC)	DWSHIOFI	DEUTSCHE ASSET MANGMNT HY	US1L299554	US1L299554	Investor Address: ONE BEACON STREET, 11TH FLOOR BOSTON US-02108	2	OC456	CYNTHIA SUMNER	2124543822	6173303257	CYNTHIA SUMNER@DB.COM	USD	0.08	1,659,675.00	1,659,675.00	0.00	1,659,675.00
209650	UNITED HEALTHCARE INSURANCE COMPANY (BLACKSTONE DEBT ADVISORS (GSO CAPITAL PARTNERS))	UHCIC	BLACKSTONE DEBT ADVISORS	US1L550386	US1L550386	Investor Address: 9900 BREN ROAD EAST, MN008-T390 MINNETONKA US-55343	2	OC03	MICHAEL CAROZZA	6176629737	6179370565	16026804118@TLS.LDSPROD.COM	USD	0.01	240,753.77	240,753.77	0.00	240,753.77
210079	PUTNAM ABSOLUTE RETURN 300 FUND (PUTNAM INVESTMENTS)	PARTHRF	Putnam Investments	US1L299844		Investor Address: ONE POST OFFICE SQUARE BOSTON US-02109	2	OC111	MARK NGUYEN	7142476041	8666758277	MARK.NGUYEN@DB.COM	USD	0.07	1,485,000.00	1,485,000.00	0.00	1,485,000.00
211536	JNL/PPM AMERICA FLOATING RATE INCOME FUND (PPM AMERICA INC)	JNLPPM	PPM America, Inc.	US1L299240		Investor Address: 225 W WACKER DR SUITE 1000 CHICAGO US-60606	2	OC001	CHRIS GALLAGHER	3126341241	6173300155	PPM-JNAD@STATESTREET.COM	USD	0.12	2,416,688.04	2,416,688.04	0.00	2,416,688.04
211628	PIMCO FUNDS PRIVATE ACCOUNT PORTFOLIO SERIES INVESTMENT GRADE CORPORATE PORTFOLIO	PRACCPD	PIMCO	US1L301665	US1L301665	Investor Address: 840 NEWPORT CENTER DRIVE SUITE 100 NEWPORT BEACH US-92660	2	OC1	BANK LOAN ACCOUNTING	9499323005	6173300397	PIMCO-PC3N@STATESTREET.COM	USD	0.12	2,500,000.00	2,500,000.00	0.00	2,500,000.00
213449	JPMORGAN CHASE BANK NA AS TRUSTEE OF THE JPMORGAN CHASE RETIREMENT PLAN (JPMORGAN ASSET MANAGEMENT-CINCINNATI)	JPMJRTPL	JPMORGAN ASSET MANAGEMENT	US1L175127	US1L175127	Investor Address: 4 NEW YORK PLAZA 15TH FLOOR NY-E182 NEW YORK US-10004	2	OC1111	LIDIA JODKO	3026342853	3026345868	BANK_LOANS@JPMORGAN.COM	USD	0.02	396,000.00	396,000.00	0.00	396,000.00
217014	POWERSHARES SENIOR LOAN PORTFOLIO (INVESCO SENIOR SECURED MANAGEMENT INC)	POSELOUSD	INVESCO SENIOR SECURED	US1L319774		Investor Address: 301 W.ROOSEVELT ROAD WHEATON US-60187	2	OC1	ANGELA GAMBARDILLA FAVUZZA	2122789563	2018223776	12018223776@TLS.LDSPROD.COM	USD	3.35	67,058,188.54	67,058,188.54	0.00	67,058,188.54
218647	LOOMIS SAYLES STRATEGIC ALPHA FUND (FKA)LOOMIS SAYLES ABSOLUTE STRATEGIES FUND	SAABSAUSD	LOOMIS SAYLES	US1L301723	US1L301723	Investor Address: C O NGAM ADVISORS LP 389 BOYLSTON STREET BOSTON US-02116	2	OC1	JOSEPH ANGELONE	6174787447	6174822274	BLOPERATIONS@LOOMISSAYLES.COM	USD	0.14	2,786,850.00	2,786,850.00	0.00	2,786,850.00
220790	SOMERSET TRUST COMPANY	SOUSD	SOMERSET TRUST	US1L370900		Investor Address: 151 WEST MAIN STREET SOMERSET US-15501	2	OC1	DELLA RESH	8144439271	8144439369	RESH@SOMERSETTRUST.COM	USD	0.10	1,945,350.00	1,945,350.00	0.00	1,945,350.00

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
221970	GOLDMAN SACHS TRUST- GOLDMAN SACHS HIGH YIELD FLOATING RATE FUND (GOLDMAN SACHS ASSET MANAGEMENT LP)	GSHYF	GOLDMAN SACHS ASSET	US1L251894	US1L251894	Investor Address: C/O GOLDMAN SACHS ASSET MANAGEMENT 30 HUDSON STREET 15TH FLOOR JERSEY CITY US-07302	2	OC001	ALICIA LUSTY	9725816423	6173303318	GOLDMANSFRF-58U1@STATESTREET.COM	USD	1.64	32,836,194.68	32,836,194.68	0.00	32,836,194.68
225848	PIMCO FUNDS PRIVATE ACCOUNT PORTFOLIO SERIES PIMCO SENIOR FLOATING RATE PORTFOLIO	PSFRP	PIMCO	US1L335564	US1L335564	Investor Address: 840 NEWPORT CENTRE DRIVE NEWPORT BEACH US-92660	2	OC02	BANK LOAN ACCOUNTING	9499323005	6173300219	PIMCO-PC3Z@STATESTREET.COM	USD	0.01	294,872.23	294,872.23	0.00	294,872.23
226238	PRUDENTIAL INVESTMENT PORTFOLIOS 9 PRUDENTIAL ABSOLUTE RETURN BOND FUND (PRUDENTIAL INVESTMENT MANAGER)	PRUINT	PRUDENTIAL INSURANCE	US1L328221	US1L328221	Investor Address: GATEWAY CENTER THREE, 100 MULBERRY STREET, 9TH FLOOR, NEWARK NEW JERSEY US-07102	2	OC125	SYNDICATED LOAN SERVICES	9724018541	2017192441	12017192441@TLS.LDSPROD.COM	USD	0.09	1,725,006.52	1,725,006.52	0.00	1,725,006.52
226613	PIMCO SENIOR FLOATING RATE FUND	PIMESCHU	PIMCO	US1L335804	US1L335804	Investor Address: 840 NEWPORT CENTER DRIVE NEWPORT BEACH US-92660	2	OC002	BANK LOAN ACCOUNTING	9499323005	6173300623	PIMCO-PP1Q@STATESTREET.COM	USD	0.62	12,470,585.57	12,470,585.57	0.00	12,470,585.57
227353	LOOMIS SAYLES STRATEGIC ALPHA TRUST(FKA)LOOMIS SAYLES ABSOLUTE STRATEGIES TRUST	LSAUSD	LOOMIS SAYLES	US1L325573	US1L325573	Investor Address: ONE FINANCIAL CENTER 27TH FLOOR BOSTON US-02111	2	OC02	LOOMIS SAYLES	6174787447	6174822274	BLOPERATIONS@LOOMISSAYLES.COM	USD	0.09	1,717,650.00	1,717,650.00	0.00	1,717,650.00
228359	JPMORGAN FLOATING RATE INCOME FUND	JPFUSD	JPMORGAN ASSET MANAGEMENT	US1L337925	US1L337925	Investor Address: 270 PARK AVE 6 TH FLOOR NEW YORK US-10017	2	OC159	GFS LOANSERVICES	0000000000	4695136122	GFS.LOANSERVICES.JPMCB FLOATING.RATE.INCOME@CHASE.COM	USD	1.34	26,730,000.00	26,730,000.00	0.00	26,730,000.00
229001	OCTAGON DELAWARE TRUST 2011 (OCTAGON CREDIT INVESTORS LLC)	OCTUSD	OCTAGON CREDIT INVESTORS	US1L337404		Investor Address: 1932 WYNNTON ROAD COLUMBUS US-31999	2	OC1010	MARGARET B HARVEY	2124008444	8662815114	MHARVEY@OCTAGONCREDIT.COM	USD	0.11	2,179,081.38	2,179,081.38	0.00	2,179,081.38
229334	PIONEER MULTI ASSET ULTRASHORT INCOME FUND(FKA)PIONEER MULTI ASSET FLOATING RATE FUND	PMAAFUSD	PIONEER INVESTMENT	US1L335374	US1L335374	Investor Address: 60 STATE STREET BOSTON US-02109	2	OC123	PHILIP COLBURN	6174224565	2016390862		USD	0.06	1,179,401.64	1,179,401.64	0.00	1,179,401.64
234321	REYNOLDS AMERICAN DEFINED BENEFIT MASTER TRUST	REYADMBT	WELLINGTON MANAGEMENT	US1L439861	US1L439861	Investor Address: 401 N MAIN STREET WINSTON US-27101	2	OC1	MATTHEW STAFFORD	9725816535	2145455287	WELLINGTON@MARKITWSO.COM	USD	0.02	319,638.48	319,638.48	0.00	319,638.48
234613	ARROWOOD INDEMNITY COMPANY AS ADMINISTRATOR FOR THE PENSION PLAN OF ARROWOOD INDEMNITY COMPANY (BABSON CAPITAL MANAGEMENT)	ARINPN	BABSON CAPITAL MANAGEMENT	US1L337776	US1L337776	Investor Address: 3600 ARCO CORPORATE DRIVE CHARLOTTE US-28273	2	OC123	KEVIN CEDORCHUK	6176629749	6173300242	KEVIN CEDORCHUK@STATESTREET.COM	USD	0.01	152,003.89	152,003.89	0.00	152,003.89
238176	MAG MUTUAL INSURANCE COMPANY (PIMCO)	MAGMICUSD	PIMCO	US1L328627	US1L328627	Investor Address: 3525 PIEDMONT ROAD BLDG 8, SUITE 600 ATLANTA US-30305	2	OC1	BANK LOAN ACCOUNTING	9499323005	6173303910	PIMCO-07655@STATESTREET.COM	USD	0.05	994,974.87	994,974.87	0.00	994,974.87
239225	PIONEER MULTI SECTOR FIXED INCOME TRUST (FKA) PIONEER OPPORTUNISTIC CORE PLUS FIXED INCOME TRUST	PCPFT	PIONEER INVESTMENT	US1L375511	US1L375511	Investor Address: 1 FREEDOM VALLEY DRIVE OAKS US-19456	2	OC01	PHILIP COLBURN	6174224565	2015108124		USD	0.00	99,248.11	99,248.11	0.00	99,248.11
239852	REMUDA CAPITAL MANAGEMENT LTD (JPMORGAN ASSET MANAGEMENT)	REMUDA	JPMORGAN ASSET MANAGEMENT	US1L370892	US1L370892	Investor Address: 712 MAIN STREET SUITE 1900 HOUSTON US-77002	2	OC13131	JENNIFER ZERHUSEN	3026345837	3026345868	BANK_LOANS@JPMORGAN.COM	USD	0.02	396,000.00	396,000.00	0.00	396,000.00
241609	ADVANCED SERIES TRUST AST FI PYRAMIS QUANTITATIVE PORTFOLIO(FKA ADVANCED SERIES TRUST AST FIRST TRUST BALANCED TARGET PORTFOLIO)	ADVA	FIDELITY INVESTMENTS	US0M00J6V3	US0M00J6V3	Investor Address: GATEWAY CENTER THREE 100 MULBERRY STREET 9 TH FLOOR NEWARK US-07102	2	OC1	FIDELITY INVESTMENTS	8174746735	6173852818	FPCMSBANKD@FMR.COM	USD	0.05	972,675.00	972,675.00	0.00	972,675.00
245925	PIONEER INSTITUTIONAL MULTI SECTOR FIXED INCOME PORTFOLIO (FKA) PIONEER INSTITUTIONAL OPPORTUNISTIC CORE PLUS PORTFOLIO	PIONEER	PIONEER INVESTMENT	US1L402836	US1L402836	Investor Address: 60 STATE STREET BOSTON US-02109	2	OC121	PIONEER FUND ACCOUNTING	6174224943	6174224226		USD	0.00	99,248.11	99,248.11	0.00	99,248.11
246168	LITMAN GREGORY MASTERS ALTERNATIVE STRATEGIES FUND(LOOMIS SAYLES)	LITIKA	LOOMIS SAYLES	US1L401150	US1L401150	Investor Address: 4 ORINDA WAY SUITE 200 D ORINDA US-94563	2	OC2121	JOSEPH ANGELONE	6174787447	6174822274	BLOPERATIONS@LOOMISSAYLES.COM	USD	0.02	336,600.00	336,600.00	0.00	336,600.00
246310	MEDICAL LIABILITY MUTUAL INSURANCE COMPANY(INVESCO SENIOR SECURED MANAGEMENT)	MEDIMU	INVESCO SENIOR SECURED	US1L355851	US1L355851	Investor Address: 2 PARK AVENUE ROOM 2500 NEW YORK US-10016	2	OC221	TOM JOVIC	6306848389	2018127967	12018127967@TLS.LDSPROD.COM	USD	0.08	1,528,649.81	1,528,649.81	0.00	1,528,649.81
249940	BAPTIST HEALTH SOUTH FLORIDA INC	BHSUSD	Seix Advisors	US1L141319	US1L141319	Investor Address: 6855 RED ROAD SUITE 600 CORAL GABLES US-33143	2	OC01	DARA KOTZKER	2018022356	2145562488	12145562488@TLS.LDSPROD.COM	USD	0.00	69,175.37	69,175.37	0.00	69,175.37
251599	PRINCIPAL FUNDS INC - GLOBAL MULTI-STRATEGY FUND(LOOMIS SAYLES)	PRIGMUSD	LOOMIS SAYLES	US1L406407	US1L406407	Investor Address: 711 HIGH STREET DES MOINES US-50392	2	OC123	JOSEPH ANGELONE	6174787447	6174822274	BLOPERATIONS@LOOMISSAYLES.COM	USD	0.02	376,200.00	376,200.00	0.00	376,200.00

NRG Energy, Inc. - SF-328
Attachment 3A

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC_CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
261290	INDIANA UNIVERSITY	INDUNI	LOOMIS SAYLES	US1L412579	US1L412579	Investor Address: 400 E 7TH STREET POPLARS BUILDING ROOM 501 BLOOMINGTON US-47405	2	OC112	LOOMIS SAYLES	6174787447	6174822274	BLOPERATIONS@LOOMISSAYLES.COM	USD	0.01	207,900.00	207,900.00	0.00	207,900.00
263635	WELLINGTON TRUST COMPANY NA MULTIPLE COLLECTIVE INVESTMENT FUNDS TRUST II CORE BOND PLUS HIGH YIELD PORTFOLIO	WELMUL	WELLINGTON MANAGEMENT	US1L221798	US1L221798	Investor Address: 280 CONGRESS STREET BOSTON US-02210	2	OC12	MATTHEW STAFFORD	9725816535	2012835802	12012835802@TLS.LDSPROD.COM	USD	0.12	2,435,325.38	2,435,325.38	0.00	2,435,325.38
264161	BLUE CROSS OF IDAHO HEALTH SERVICE INC	BLUEC	Seix Advisors	US1L440505	US1L440505	Investor Address: 3000 E PINE AVE MERIDIAN US-83642	2	OC700	DARA KOTZKER	2018022356	2145562489	12145562489@TLS.LDSPROD.COM	USD	0.00	57,156.28	57,156.28	0.00	57,156.28
267855	COMMUNITY INSURANCE COMPANY	CICUSD	SANKATY ADVISORS, LLC	US1L459836		Investor Address: 120 MONUMENT CIRCLE INDIANAPOLIS US-46204	2	OC123	PORTFOLIO OPERATIONS TEAM	0000000000	2145723387	12145723387@TLS.LDSPROD.COM	USD	0.00	0.02	0.02	0.00	0.02
271440	THE HARTFORD STRATEGIC INCOME FUND	THSDCT	WELLINGTON MANAGEMENT	US1L038192	US1L038192	Investor Address: 500 BIELENBERG DRIVE WOODBURY US-55125	2	OC1233	MATTHEW STAFFORD	9725816535	2149197291	12149197291@TLS.LDSPROD.COM	USD	0.05	1,007,750.00	1,007,750.00	0.00	1,007,750.00
279491	RACE POINT VI CLO LIMITED	RPDCT	SANKATY ADVISORS, LLC	KY1L460510		Investor Address: JOHN HANCOCK TOWER 200 CLARENDON STREET FL41 BOSTON US-02116	2	OC500	JASON SMALLWOOD	4122341441	2018127917	12145723379@TLS.LDSPROD.COM	USD	0.10	1,960,050.37	1,960,050.37	0.00	1,960,050.37
299651	DWS GLOBAL HIGH INCOME FUND INC	DWSGDC	DEUTSCHE ASSET MANGMNT HY	US1L130163	US1L130163	Investor Address: ONE BEACON STREET 11TH FLOOR BOSTON US-02108	2	OC01	LIZ DELGADO	2122500588	6173300221	ELIZABETH.DELGADO@DB.COM	USD	0.02	314,774.99	314,774.99	0.00	314,774.99
301741	VIRTUS LOW DURATION INCOME FUND	VLLDCT	NEWFLEET * HARTFORD	US1L491524		Investor Address: 101 MUNSON STREET GREENFIELD US-01301	2	OC12	AMY KEITH	8607605815	4693756877	14693756877@TLS.LDSPROD.COM	USD	0.02	399,329.96	399,329.96	0.00	399,329.96
306927	HIGHLAND IBOXX SENIOR LOAN ETF (FKA PYXIS IBOXX SENIOR LOAN ETF)	PYXISDCT	HIGHLAND CAPITAL MANG FM	US1L557167	US1L557167	Investor Address: 200 CRESENT COURT SUITE 700 DALLAS US-75201	2	OC1	RETAIL DATA TEAM	9724196275	9726637708	R-SETTLEMENT@PYXISCAP.COM	USD	0.09	1,736,218.55	1,736,218.55	0.00	1,736,218.55
307164	WTC CTF CORE BOND PLUS HIGH YIELD BOND PORTFOLIO	WTCDC	WELLINGTON MANAGEMENT	US1L245599	US1L245599	Investor Address: 280 CONGRESS STREET BOSTON US-02210	2	OC1	MATTHEW STAFFORD	9725816535	2012835804	12012835804@TLS.LDSPROD.COM	USD	0.03	569,250.00	569,250.00	0.00	569,250.00
312740	AMERICAN EQUITY INVESTMENT LIFE INSURANCE COMPANY	AEIDCT	BLACKSTONE DEBT ADVISORS	US0M001C35	US0M001C35	Investor Address: 10000 WESTOWN PARKWAY WEST DES MOINES US-50266	2	OC12	MICHAEL CAROZZA	6176629737	6179370171	16026804093@TLS.LDSPROD.COM	USD	0.00	0.01	0.01	0.00	0.01
313906	MWRD RETIREMENT FUND	MWRDDCT	PIONEER INVESTMENT	US1L495475	US1L495475	Investor Address: 111 E ERIE ST SUITE 330 CHICAGO US-60611	2	OC1	PHILIP COLBURN	6174224565	4692771497	14692771497@TLS.LDSPROD.COM	USD	0.00	99,248.12	99,248.12	0.00	99,248.12
316639	DOW RETIREMENT GROUP TRUST	LOAN	WESTERN ASSET MANAGEMENT	US1L548067	US1L548067	Investor Address: 2030 DOW CENTER MIDLAND US-48674	2	OC1	JOSEPH DE JESUS	3126306521	2145723591	12145723591@TLS.LDSPROD.COM	USD	0.01	198,496.24	198,496.24	0.00	198,496.24
330664	BLUECROSS BLUESHIELD OF TENNESSEE INC	SHIELD	WELLINGTON MANAGEMENT	US1L186876	US1L186876	Investor Address: 1 CAMERON HILL CIRCLE CHATTANOOGA US-37402	2	OC1	MATTHEW STAFFORD	9725816535	4698287746	14698287746@TLS.LDSPROD.COM	USD	0.02	495,000.00	495,000.00	0.00	495,000.00
334966	JFIN CAPITAL 2013 LLC	JFIN	BABSON CAPITAL MANAGEMENT	US0M005TT9	US0M005TT9	Investor Address: 520 MADISON AVENUE NEW YORK US-10022	2	OC1	MICHAEL BURNS	6176629741	6179370638	MICHAEL.BURNS.JR@STATESTREET.COM	USD	0.15	2,970,000.00	2,970,000.00	0.00	2,970,000.00
337535	WORKERS COMPENSATION FUND	WCFCP	WELLINGTON MANAGEMENT	US0M0064H6	US0M0064H6	Investor Address: 100 WEST TOWNE RIDGE PARKWAY SANDY US-84070	2	OC01	MATTHEW STAFFORD	9725816535	4698287868	14698287868@TLS.LDSPROD.COM	USD	0.03	565,891.96	565,891.96	0.00	565,891.96
338315	AMERICAN HONDA MASTER RETIREMENT TRUST	AHMR	WELLINGTON MANAGEMENT	US1L439747	US1L439747	Investor Address: 1919 TORRANCE BLVD TORRANCE US-90501	2	OC01	MATTHEW STAFFORD	9725816535	2145455261	12145455261@TLS.LDSPROD.COM	USD	0.01	221,383.78	221,383.78	0.00	221,383.78
338535	MATHENA INVESTMENTS LLC	CALIFORSLT	Delaware Investments	US0M007T89	US0M007T89	Investor Address: 3533 NW 173 RD CIR EDMOND US-73012	2	OC2	BRIDGETTE GILLESPIE	2152552814	2672340803	BANKLOANS@DELINVEST.COM	USD	0.00	99,248.12	99,248.12	0.00	99,248.12
338952	ALLEGHENY TECHNOLOGIES INCORPORATED MASTER PENSION TRUST	ALLGATES	WESTERN ASSET MANAGEMENT	US0M003WS0	US0M003WS0	Investor Address: 1000 SIX PPG PLACE PITTSBURGH US-15222	2	OC1	KYLE MILLER	2135534448	4698287883	14698287883@TLS.LDSPROD.COM	USD	0.09	1,890,452.26	1,890,452.26	0.00	1,890,452.26
340215	ASCENSION ALPHA FUND LLC (FKA CHIMCO ALPHA FUND LLC)	CHIMCO	PIONEER INVESTMENT	US0M007W01	US0M007W01	Investor Address: 101 S HANLEY ROAD SUITE 200 CLAYTON US-63105	2	OC1	PHILIP COLBURN	6174224565	9726967596	CHIMCO-CHKB@STATESTREET.COM	USD	0.02	321,936.09	321,936.09	0.00	321,936.09
340219	ASCENSION HEALTH MASTER PENSION TRUST	AHMPT	PIONEER INVESTMENT	US0M007W19	US0M007W19	Investor Address: 4600 EDMUNDSON ROAD ST LOUIS US-63134	2	OC001	PHILIP COLBURN	6174224565	9726967597		USD	0.01	148,500.00	148,500.00	0.00	148,500.00

NRG Energy, Inc. - SF-328
Attachment 3A

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
351646	FCCI INSURANCE COMPANY	FCCIIC	KDP ASSET MANAGEMENT	US0M008021	US0M008021	Investor Address: 6300 UNIVERSITY PKWY SARASOTA US-34240	2	OC1	LYNN GUY	8022292848	8023184248	BACKOFFICE@KDPAM.COM	USD	0.02	496,240.60	496,240.60	0.00	496,240.60
352378	CHURCHILL FINANCIAL CAYMAN LTD	CHUR	Churchill Financial LLC.	KY1L004193	KY1L004193	Investor Address: 400 PARK AVENUE SUITE 1510 NEW YORK US-10022	2	OC1	MICHAEL DZWOLAK	2128483963	6173300758	CARLYLE-0758@STATESTREET.COM	USD	0.18	3,641,611.62	3,641,611.62	0.00	3,641,611.62
353888	MTL INSURANCE COMPANY	MTLINS	WELLINGTON MANAGEMENT	US0M008658	US0M008658	Investor Address: 1200 JORIE BOULEVARD OAK BROOK US-60523	2	OC1	MATTHEW STAFFORD	9725816535	9725840028	19725840028@TLS.LDSPROD.COM	USD	0.05	990,000.00	990,000.00	0.00	990,000.00
353945	MAINSTAY VP UNCONSTRAINED BOND PORTFOLIO	MVN	MACKAY SHIELDS	US1L336364	US1L336364	Investor Address: 51 MADISON AVENUE PNJ NEW YORK US-10010	2	OC03	NUNZIA MAZZOCCOLI	2122303832	2127350406	MAINSTAYBANKLOANS@STATESTREET.COM	USD	0.03	693,000.00	693,000.00	0.00	693,000.00
356382	LOOMIS SAYLES CORE PLUS BOND FUND	LOO	LOOMIS SAYLES	US1L222804	US1L222804	Investor Address: C/O NATLXIS ASSET MANAGEMENT ADVISORS LP 399 BOYLSTON STREET BOSTON US-02116	2	OC001	JOSEPH ANGELONE	6174787447	6174822274	BLOPERATIONS@LOOMISSAYLES.COM	USD	0.27	5,442,493.98	5,442,493.98	0.00	5,442,493.98
356383	LOOMIS SAYLES CORE PLUS FIXED INCOME TRUST	LOOFIT	LOOMIS SAYLES	US1L541252	US1L541252	Investor Address: ONE FINANCIAL CENTER BOSTON US-02111	2	OC001	JOSEPH ANGELONE	6174787447	6174822274	BLOPERATIONS@LOOMISSAYLES.COM	USD	0.04	801,900.00	801,900.00	0.00	801,900.00
357889	OHIO POLICE AND FIRE PENSION FUND	OHIO	PENN CAPITAL MANAGEMENT	US0M009609	US0M009609	Investor Address: 140 EAST TOWN ST COLUMBUS US-43215	2	OC003	SHANE SMITH	9725816572	2818987415	PENNCAPITAL@MARKITWSO.COM	USD	0.10	1,969,924.81	1,969,924.81	0.00	1,969,924.81
358035	MACQUARIE/FIRST TRUST GLOBAL INFRASTRUCTURE/UTILITIES DIVIDEND AND INCOME FUND	MAFID	Delaware Investments	US1L550444	US1L550444	Investor Address: 120 E LIBERTY DRIVE SUITE 400 WHEATON US-60187	2	OC001	JEFFERY MCKEAN	5088713125	5088718907	FIRSTTRUST@PNCGIS.COM	USD	0.01	200,000.00	200,000.00	0.00	200,000.00
358985	VERIZON MASTER SAVINGS TRUST	VMST	ROGGE GLOBAL PARTNERS	US0M0081S7	US0M0081S7	Investor Address: 295 N MAPLE AVE BUILDING 7 1ST FLOOR SOUTH BASKING RIDGE US-07920	2	OC1	LOUISE NOLAN	2078428430	2078428431	SETTLEMENTS@ROGGEGLOBAL.COM	USD	0.05	992,481.20	992,481.20	0.00	992,481.20
360894	VANTAGE TRUST	VTRST	Principal Financial Group	US0M008BD5	US0M008BD5	Investor Address: 777 NORTH CAPITOL STREET NE STE 600 TAX WASHINGTON US-200024240	2	OC001	CUSHING ALAN	5152355333	8665088946	DLGAMINVACCTBANKLOAN@EXCHANGE.PRINCIPAL.COM	USD	0.03	670,672.91	670,672.91	0.00	670,672.91
362011	AMBAC ASSURANCE CORPORATION	AACP	WESTERN ASSET MANAGEMENT	US0M0089B7	US0M0089B7	Investor Address: ONE STATE STREET PLAZA NEW YORK US-10004	2	OC1	KYLE MILLER	2135534310	4693318003	14693318003@TLS.LDSPROD.COM	USD	0.10	1,989,949.75	1,989,949.75	0.00	1,989,949.75
363896	NEWFLEET MULTI SECTOR INCOME ETF	NFMS	NEWFLEET * HARTFORD	US0M006504	US0M006504	Investor Address: 2 BETHESDA METRO CENTER STE 1330 BETHESDA US-20814	2	OC1	AMY KEITH	8607605815	4698287828	14698287828@TLS.LDSPROD.COM	USD	0.02	324,455.92	324,455.92	0.00	324,455.92
364112	NEUBERGER BERMAN ALTERNATIVE FUNDS NEUBERGER BERMAN ABSOLUTE RETURN MULTI MANAGER FUND	NBAF	Loeb Capital Management	US0M008H67	US0M008H67	Investor Address: 605 THIRD AVENUE 2ND FLOOR NEW YORK US-10158	2	OC1	JO RUSSO	2124837052	2125742003	LOEBOPERATIONS@LOEBCAP.COM	USD	0.03	686,532.66	686,532.66	0.00	686,532.66
367363	DOUBLELINE LOW DURATION BOND FUND	DOUB	DOUBLE LINE CAPITAL LP	US0M00CGV2	US0M00CGV2	Investor Address: 333 SOUTH GRAND AVENUE SUITE 1800 LOS ANGELES US-90071	2	OC1	STEPHANIE BAZA	6176036415	8664059021	DOUBLELINE.LOW.DURATION@USBANK.COM	USD	0.40	7,964,811.47	7,964,811.47	0.00	7,964,811.47
367364	COMMINGLED PENSION TRUST FUND FLOATING RATE INCOME OF JPMORGAN CHASE BANK N A	COPET	JPMORGAN ASSET MANAGEMENT	US0M00BMV2	US0M00BMV2	Investor Address: 270 PARK AVENUE NEW YORK US-10017	2	OC002	LUKE JENNINGS	3026345616	3026345868	BANK_LOANS@JPMORGAN.COM	USD	0.01	248,743.72	248,743.72	0.00	248,743.72
367480	CHI OPERATING INVESTMENT PROGRAM L P	BLDI	SANKATY ADVISORS, LLC	US0M00B6Q1	US0M00B6Q1	Investor Address: 198 INVERNESS DRIVE WEST ENGLEWOOD US-80112	2	OC1	PORTFOLIO OPERATIONS TEAM	2135534310	0000000000	CATHOLICHEALTHINITIATIVES@TLS.LDSPROD.COM	USD	0.00	0.01	0.01	0.00	0.01
367614	WELLMARK INC	WELLIN	WELLINGTON MANAGEMENT	US0M00C100	US0M00C100	Investor Address: 1331 GRAND AVE STA 4W526 DES MOINES US-50309	2	OC001	MATTHEW STAFFORD	9725816535	2143069775	12143069775@TLS.LDSPROD.COM	USD	0.05	994,974.87	994,974.87	0.00	994,974.87
370121	ROCKVILLE BANK	ROCV	ROCKVILLE BANK	US1L160723	US1L160723	Investor Address: 1645 ELLINGTON ROAD SOUTH WINDSOR US-06074	2	OC2	SARA ZITKA	8602913858	8602913691	SZITKA@ROCKVILLEBANK.COM	USD	0.50	9,924,812.03	9,924,812.03	0.00	9,924,812.03
370124	LOEB KING ALTERNATIVE STRATEGIES FUND	LKA	Loeb Capital Management	US0M00CBW1	US0M00CBW1	Investor Address: 61 BROADWAY 24 FLOOR NEW YORK US-10006	2	OC01	JO RUSSO	2124837052	2125742003	LOEBOPERATIONS@LOEBKING.COM	USD	0.00	52,733.67	52,733.67	0.00	52,733.67
370163	SEASONS SERIES TRUST DIVERSIFIED FIXED INCOME PORTFOLIO	SEAS	WELLINGTON MANAGEMENT	US0M00CQ01	US0M00CQ01	Investor Address: ONE SUNAMERICA CENTER CENTURY CITY LOS ANGELES US-90067	2	OC1	CHRIS BASSI	9725816257	4696192932	14696192932@TLS.LDSPROD.COM	USD	0.01	248,743.72	248,743.72	0.00	248,743.72

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC_CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
371335	DUNHAM FLOATING RATE BOND FUND	DFR	NEWFLEET * HARTFORD	US0M00CN76	US0M00CN76	Investor Address: 80 ARKAY DRIVE HAUPPAUGE US-11788	2	OC1	AMY KEITH	8607605815	2146461859	12146461859@TLS.LDSPROD.COM	USD	0.03	587,599.07	587,599.07	0.00	587,599.07
372195	REGENE BLUECROSS BLUESHIELD OF OREGON	REGE	PIMCO	US0M00CXL8	US0M00CXL8	Investor Address: 100 SW MARKET PORTLAND US-97201	2	OC01	BANK LOAN ACCOUNTING	9499323005	6174514757	PIMCO-03042@STATESTREET.COM	USD	0.00	66,331.66	66,331.66	0.00	66,331.66
372202	REGENE BLUECROSS BLUESHIELD OF UTAH	REBU	PIMCO	US0M00CXP9	US0M00CXP9	Investor Address: 2890 EAST COTTONWOOD PARKWAY SALT LAKE CITY US-84121	2	OC001	BANK LOAN ACCOUNTING	9499323005	6174514777	PIMCO-03045@STATESTREET.COM	USD	0.00	33,165.83	33,165.83	0.00	33,165.83
372207	REGENE BLUESHIELD	REGEN	PIMCO	US0M003WT8	US0M003WT8	Investor Address: 1800 NINTH AVE SEATTLE US-98101	2	OC1	BANK LOAN ACCOUNTING	9499323005	6174514768	PIMCO-03044@STATESTREET.COM	USD	0.01	129,346.73	129,346.73	0.00	129,346.73
372208	REGENE BLUESHIELD OF IDAHO	RKR	PIMCO	US0M00CXM6	US0M00CXM6	Investor Address: 1602 21ST AVE LEWISTON US-83501	2	OC001	BANK LOAN ACCOUNTING	9499323005	6174514800	PIMCO-03043@STATESTREET.COM	USD	0.00	19,899.50	19,899.50	0.00	19,899.50
372678	PINNACOL ASSURANCE	PINNA	PINEBRIDGE INVESTMENTS	US0M00D959	US0M00D959	Investor Address: 7501 E LOWRY BLVD DENVER US-80220	2	OC001	MATTHEW ZAIMA	8168711805	2012835507	SLSKC3@STATESTREET.COM	USD	0.02	494,152.07	494,152.07	0.00	494,152.07
372701	GALLATIN CLO VI 2013 2 LLC	GALVI	URSAMINE CREDIT ADV LLC	US0M00D512	US0M00D512	Investor Address: 850 LIBRARY AVE STE 204 NEWARK US-19711	2	OC1	ANTHONY STARK	2126019166	2143069094	12143069094@TLS.LDSPROD.COM	USD	0.07	1,485,000.00	1,485,000.00	0.00	1,485,000.00
383702	NEWFLEET INSTITUTIONAL LOAN TRUST	NFI	NEWFLEET * HARTFORD	US0M00J8P1	US0M00J8P1	Investor Address: 300 DELAWARE AVENUE, 9TH FLOOR WILMINGTON US-19801	2	OC01	AMY KEITH	8607605815	4698043902	14698043902@TLS.LDSPROD.COM	USD	0.00	99,874.06	99,874.06	0.00	99,874.06
384322	PRUDENTIAL INVESTMENT PORTFOLIOS INC 17 PRUDENTIAL SHORT DURATION MULTI SECTOR BOND FUND	PIP	PRUDENTIAL INSURANCE	US0M00FJR7	US0M00FJR7	Investor Address: GATEWAY CENTER THREE 100 MULBERRY STREET NEWARK US-071024077	2	OC01	JOSEPH LEMANOWICZ	9738028616	9733678047	JOSEPH.LEMANOWICZ@PRUDENTIAL.COM	USD	0.02	498,740.55	498,740.55	0.00	498,740.55
384983	MANNING AND NAPIER FUND INC HIGH YIELD BOND SERIES	MNH	MANNING N NAPIER ADV LLC	US0M00D0M1	US0M00D0M1	Investor Address: 290 WOODCLIFF DR FAIRPORT US-14450	2	OC01	SHANE DEGNAN	5853256880	0000000000	SDEGNAN@MANNING.NAPIER.COM	USD	0.10	1,994,962.22	1,994,962.22	0.00	1,994,962.22
							160											707,754,277.21
													Total	100.00	#####	#####	0.00	#####

Citibank N.A
Investor Contact Report (OC Report)
As Of : 25-JUN-2014
Tranche Ref No : 031BTPR131610003
Reference Date : 05/30/2014

Tranche Ref No : 031BTPR131610003

Tranche Name : NRG ENERGY RC SENIOR

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC_CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
059089	DNB BANK ASA (FKA DNB NOR BANK ASA)	DNBASAUD	DNB NOR BANK ASA	NO1L177325		Investor Address: DRONNING EUFEMIAS GATE 30 OSLO NO-0191	Foreign	OC0143AGY	ALBERTO CACEDA	8322145807	8322145839	ALBERTO.CACEDA@DNB.NO	USD	3.98	100,000,000.00	12,943,050.58	52,165,845.94	65,108,896.52
061337	THE ROYAL BANK OF SCOTLAND GROUP PLC	RBSUSD	RBS GREENWICH CAPITAL	GB1L211398	GB1L211398	Investor Address: 42 ST. ANDREWS SQUARE EDINBURGH SCOTLAND GB-	Foreign	OC131	LISA SHULSEN	8013126187	2038735019	GBMUSOCLENDINGOPERATIONS@RBS.COM	USD	4.78	120,000,000.00	15,531,660.69	62,599,015.13	78,130,675.82
095191	SUMITOMO MITSUI BANKING CORPORATION	095191USD	SUMITOMO MITSUI BANKING	JP1L113879		Investor Address: CUSTOM HOUSE DOCKS DUBLIN IRELAND IE-	Foreign	OC01	KRISTEN LEE	2122244314	2122245197	KRISTENMYUNGHEE_LEE@SMBCGROUP.COM	USD	3.98	100,000,000.00	12,943,050.58	52,165,845.94	65,108,896.52
							3											208,348,468.86
057609	THE BANK OF TOKYO-MITSUBISHI UFJ, LTD (BANK OF TOKYO)	ACSBTM	BANK OF TOKYO MITSUBISHI	JP1L164542	JP1L164542	Investor Address: 1251 AVENUE OF THE AMERICAS 14 TH FL NEW YORK JP-10020	1	OC0101AGY	JAIME VELEZ	2014138586	2015212304	JVELEZ@US.MUFG.JP	USD	2.35	59,000,000.00	7,636,399.84	30,777,849.10	38,414,248.95
057628	DEUTSCHE BANK AG NEW YORK BRANCH	AADBAG	Deutsche Bank Ag	DE1L156826	DE1L156826	Investor Address: 60 WALL STREET NEW YORK US-10005	1	OC0101AGY	PARAMJIT SIHRA	2122503981	7323803359	DB.LOANTRADINGOPS@DB.COM	USD	6.73	169,000,000.00	21,873,755.48	88,160,279.64	110,034,035.12
057658	BANK OF AMERICA NA	057658USD	BANK OF AMERICA, N.A.	US1L223141	US1L223141	Investor Address: 1850 GATEWAY BOULEVARD CONCORD CA 94520 US-94520	1	OC9000AGY4	FAIR VALUE SERVICING TEAM	9803864605	7046023632	FAIR_VALUE_OPTION_SERVICING_TEAM@BANKOFAMERICA.COM	USD	6.73	169,000,000.00	21,873,755.48	88,160,279.64	110,034,035.12
057661	BARCLAYS BANK PLC(NEW YORK BRANCH)	VBB2	BARCLAYS BANK PLC	GB1L182938	GB1L182938	Investor Address: 1 CHURCHILL PLACE 11TH FLOOR NEW YORK, NY 10265 GB-10265	1	CC057661T	US LOAN OPERATIONS	2125269870	9725355728	USOVERSIGHTTEAMCHEN@BARCLAYSCAPITAL.COM	USD	6.73	169,000,000.00	21,873,755.48	88,160,279.64	110,034,035.12
057680	BNP PARIBAS (BNP PARIBAS)	VUEBNP	BNP PARIBAS	FR1L377510	FR1L377510	Investor Address: 787 SEVENTH AVENUE, 32ND FL NEW YORK, NEW YORK 10019 FR-	1	OC1201A	PATRIZIA RIZZO	5142856042	2016167918	NYK_LS_LOAN_BOOK@US.BNPPARIBAS.COM	USD	3.98	100,000,000.00	12,943,050.58	52,165,845.94	65,108,896.52
057697	CREDIT AGRICOLE CORPORATE AND INVESTMENT BANK(F/K/A CALYON)(CALYON)	CALYON	CREDIT AGRICOLE	FR0M0001K2	FR0M0001K2	Investor Address: 1301 AVENUE OF THE AMERICAS NEW YORK FR-10019	1	OC012	GENER DAVID	7325907751	9178495543	GENER.DAVID@CA-CIB.COM	USD	6.73	169,000,000.00	21,873,755.48	88,160,279.64	110,034,035.12
057732	ROYAL BANK OF CANADA	CAPRB	ROYAL BANK OF CANADA	CA1L116960	CA1L116960	Investor Address: ONE LIBERTY PLAZA NEW YORK CA-10006	1	OC0250AGY	LOANS ADMINISTRATION	2124286322	2124282372		USD	4.98	125,000,000.00	16,178,813.22	65,207,307.43	81,386,120.65
057746	UNION BANK NA (FKA UNION BANK OF CALIFORNIA)	AESUBC	UNION BANK OF CALIFORNIA	US1L058299		Investor Address: 400 CALIFORNIA STREET SAN FRANCISCO, CA US-94104	1	OC0258AGY	COMMERCIAL LOANS OPERATIONS	3237246198	8004469951	CLO_SYND@UNIONBANK.COM	USD	2.99	75,000,000.00	9,707,287.93	39,124,384.46	48,831,672.39
057887	JPMORGAN CHASE BANK NA (JPM CHASE)	JPMCBKDC	JPMORGAN CHASE BANK, N.A.	US1L019291	US1L019291	Investor Address: 270 PARK AVENUE NEW YORK , NY US-10017	1	OC0201A	SHASHANK M JAIN	8066764242	2012443885	SHASHANK.M.JAIN@JPMORGAN.COM	USD	5.97	150,000,000.00	19,414,575.87	78,248,768.91	97,663,344.78
058244	MORGAN STANLEY BANK, N.A. (MORGAN STANLEY)	ACSMS	MORGAN STANLEY SENIOR	US1L094930	US1L094930	Investor Address: ONE UTAH CENTER 201 SOUTH MAIN STREET, 5TH FLOOR SALT LAKE CITY, UT US-84111	1	OC101	MORGAN STANLEY	4436274355	7182332140	MSLOANSERVICING@MORGANSTANLEY.COM	USD	4.98	125,000,000.00	16,178,813.22	65,207,307.43	81,386,120.65
058347	MORGAN STANLEY SENIOR FUNDING INC	AAMSSF	MORGAN STANLEY SENIOR	US1L022337	US1L022337	Investor Address: 1585 BROADWAY C/O TAX DEPARTMENT 1633 BROADWAY,25 TH FLOOR NEW YORK US-10019	1	OC001	MORGAN STANLEY	4436274355	7182332140	MSLOANSERVICING@MORGANSTANLEY.COM	USD	1.75	44,000,000.00	5,694,942.25	22,952,972.21	28,647,914.47
058415	KEYBANK NATIONAL ASSOCIATION (KEYBANK NATL ASSOCIATION)	EMKBN	KEYBANK	US1L035115	US1L035115	Investor Address: 127 PUBLIC SQUARE CLEVELAND US-44114	1	OC61013	LASHAWN DALTON	2168134819	2163706114	LASHAWN_DALTON@KEYBANK.COM	USD	1.39	35,000,000.00	4,530,067.70	18,258,046.08	22,788,113.78
058782	ING CAPITAL LLC	ARMING	ING Capital LLC	US1L102188		Investor Address: 1325 AVENUE OF AMERICAS NEW YORK, US-10018	1	OC002	ERMELINDA YOUNG	6464248240	6464248251	DL-NYCLOANADMINISTRATION@AMERICAS.ING.COM	USD	3.98	100,000,000.00	12,943,050.58	52,165,845.94	65,108,896.52

INVESTOR #	Investor Name	MNEMONIC	Fund Manager	MEI Code	DTCC_CODE	INVESTOR DETAILS	Foreign	OC CONTACT	ENTITY NAME	ENTITY PHONE #	ENTITY FAX #	ENTITY EMAIL	CCY	ASSET RATIO	TOTAL COMMITMENT	TOTAL LOAN OUTSTANDING	TOTAL LC OUTSTANDING	TOTAL OUTSTANDING
060086	CITIBANK, N.A. - ORIGINATIONS	STPCUSD-18	CITIGROUP GLOBAL MARKETS	US1L027740	DU000CIT13	Investor Address: 320 PARK AVENUE 30TH FLOOR NEW YORK, NY 10043 US-10043	1	OC6900AGY	ANNEMARIE PAVCO	3028946010	3028946120	AGENTNOTICE@CITI.COM	USD	6.73	169,000,000.00	21,873,755.48	88,160,279.64	110,034,035.12
060098	CREDIT SUISSE AG CAYMAN ISLANDS BRA NCH	FREDS1	CREDIT SUISSE	CH1L156797	CH1L156797	Investor Address: ELEVEN MADISON AVENUE NEW YORK, NY 10010-3629 CH-10010	1	OC0928AGY	DERRICK RAY	9199945559	8664693871	18664693871@DOCS.LDSPROD.COM	USD	6.73	169,000,000.00	21,873,755.48	88,160,279.64	110,034,035.12
060099	COMMERZBANK AG, NEW YORK AND GRAND CAYMAN BRANCHES	COMMBUSD	COMMERZBANK AG	DE1L156768		Investor Address: 2 WORLD FINANCIAL CENTER NEW YORK DE-10281	1	OC012345	LYLE BOOTH	2122667379	2122988111	LYLE.BOOTH@COMMERZBANK.COM	USD	2.99	75,000,000.00	9,707,287.93	39,124,384.46	48,831,672.39
095138	NATIXIS - NEW YORK	NATNY092607	NATIXIS	FR1L181185		Investor Address: 1251 AVENUE OF THE AMERICAS 34TH FLOOR NEW YORK NEW YORK FR-10020	1	OC4575AGY	ROSLYN ADAMS	2128725177	2017616934	ROSLYN.ADAMS@US.NATIXIS.COM	USD	3.98	100,000,000.00	12,943,050.58	52,165,845.94	65,108,896.52
110172	CIT BANK	CITB	CIT GROUP	US1L027781		Investor Address: 2180 SOUTH 1300 EAST, SUITE 250 SALT LAKE CITY UT US-84106	1	OC1	DEBORAH CHANDLER	4347916322	2124617855	DEBORAH.CHANDLER@CIT.COM	USD	0.80	20,000,000.00	2,588,610.12	10,433,169.19	13,021,779.30
136202	GOLDMAN SACHS BANK USA	GOLDDLC	GOLDMAN SACHS BANK USA	US1L131229	US1L131229	Investor Address: 200 WEST STREET TAX DEPARTMENT NEW YORK, NY US-10282	1	OC17	OPERATIONS CONTACT	0000000000	9179773966		USD	6.73	169,000,000.00	21,873,755.48	88,160,279.64	110,034,035.12
							22											1,426,535,922.72
													Total	100.00	2,511,000,000.01	325,000,000.00	1,309,884,391.58	1,634,884,391.58

COMPANY ID: 00550873 ACCOUNT ID: 00181661

LOGGED IN AS: BRIAN.CURCI@NRGENERGY.COM
2014.06.10 AT 09:36:18 EDT

Security Position Report Service Home > Request Form > Security Position Report

Security Position Reports: One Time Special Security Position Report**The Depository Trust Company
One Time Security Position Report
Position as of: 06/09/2014****Security Description**
GCB NRG ENERGY INC
D11/08/11 07.625% JJ18**Cusip**
629377BN1

Participant	Quantity	Participant	Quantity	Participant	Quantity
0756 AEIS INC.	115000	2567 AMAL BK	15000	2352 AMALGAMATE	150000
0158 APEX CLEAR	39000	0901 BANK OF NY	99596500	0702 BB&T SEC	1065000
4816 BKNS/CLIN	2500000	0992 BMO/TRUST	80000	2787 BNP/CUST	16687000
2510 BNY/PRUDEN	40889000	8275 BNY/WEALTH	611000	2920 BNYM/NSAL	1050000
0954 BNYMEL/TST	91147000	0955 BOA/GWIM	88000	2209 BONY/SPDR	16555000
0010 BROWN BROS	185175000	2687 CALDWELL	50000	0274 CGM/SAL BR	773000
0164 CHS SCHWAB	3058000	0908 CITIBANK	42064000	2108 COMERICA	161000
2170 COMMERCE	10000	0052 COR LLC	35000	0573 DEUTSCHE	913000
0385 E*TRADE	440000	0987 FID SSB	385000	2126 FID TR BOS	50000
0141 FRST CLEAR	2170000	0005 GOLDMAN	2890600	5208 GS I'NATL	373400
0534 INT BROKER	30000	0374 JMS LLC	45000	2357 JPM BK/IA	630000
2164 JPM/CCS2	1350000	8187 JPM/OPERS*	550000	2255 JPM/PCS SS	55000
2517 JPM/PRUDEN	3391000	0352 JPMC CLEAR	15708000	2035 JPMC/INT'L	70000
2424 JPMCB/CTC	250000	0902 JPMCBNA	124634500	0075 LPL FIN CO	641000
0990 MFG TRADE	49000	2932 MITSUB UFJ	150000	2888 MIZUHO BNK	2055000
5198 ML SFKPG	656000	0773 MLPFS/FIX	1295000	0050 MORGAN LLC	4000000
0015 MSSB	26784000	5008 NBCN INC**	100000	0226 NFS LLC	3730000
2669 NRTHRN TR	12910000	0571 OPPENHEIME	641000	0443 PERSHING	8851000
2616 PNC BK,NA	57000	0547 R W BAIRD	387000	0725 RAYMOND	366000
0235 RBCCAPMKTS	960000	5962 RELIANCE	6000	0705 SCOTTRADE	73000
2039 SEI PRIVAT	2166000	2663 SEI PV/GWP	50000	0279 SOUTHWEST	100000
0997 SSB&T CO	290447000	2375 SSB&T/ISHA	2970000	2767 SSB-BRIT	31830000
2950 SSB/TETF	48289000	0419 STEPHENS	50000	0750 STERNE AG	50000
0793 STIFEL	472000	0188 TD AMERITR	956000	0549 TIMBER HIL	96000
4805 TORON-BK**	5000000	0221 UBS FINAN	1749000	0642 UBS SECLLC	2735000
2450 UMB BK,NA	215000	2803 US BANK NA	19261000	0367 USAA INVES	15000
0062 VANGUARD	130000	0103 WEDBUSH	75000	2027 WELLS BKNA	3875000
2116 5TH-3RD BK	190000				
			Total	1130281000	

COMPANY ID: 00550873 ACCOUNT ID: 00181661

LOGGED IN AS: BRIAN.CURCI@NRGENERGY.COM
2014.05.30 AT 10:08:48 EDT

Security Position Report Service Home > Request Form > Security Position Report

Security Position Reports: One Time Special Security Position Report**The Depository Trust Company
One Time Security Position Report
Position as of: 05/29/2014****Security Description**CB NRG ENERGY INC. D06/05/09
8.500% JD19Cusip
629377BG6

Participant	Quantity	Participant	Quantity	Participant	Quantity
0756 AEIS INC.	806000	0901 BANK OF NY	22610000	0229 BARCLAY/LE	250000
0702 BB&T SEC	60000	0992 BMO/TRUST	100000	2787 BNP/CUST	8515000
2209 BONY/SPDR	4832000	0010 BROWN BROS	6840000	0164 CHS SCHWAB	4377000
0908 CITIBANK	5590000	0651 CRDT AGRIC	250000	0361 DAVIDSON	45000
0385 E*TRADE	410000	0141 FRST CLEAR	6541000	0309 FST STH CO	39000
0005 GOLDMAN	2275000	0501 GOLDMAN LP	706000	0534 INT BROKER	67000
0374 JMS LLC	255000	0057 JONES E D	105000	0352 JPMC CLEAR	2077000
0902 JPMCBNA	29155000	0075 LPL FIN CO	316000	0161 MERRIL	250000
0076 MITSUBISHI	2500000	5198 ML SHKPG	1255000	0050 MORGAN LLC	504000
0015 MSSB	28113000	0226 NFS LLC	4190000	2669 NRTHRN TR	651000
0571 OPPENHEIME	160000	0338 OPTIONSXP	5000	0443 PERSHING	4730000
2616 PNC BK,NA	25000	0547 R W BAIRD	17000	0725 RAYMOND	481000
4801 RBC DOM**	100000	0235 RBCCAPMKT	1056000	5011 SCOTIA**	105000
0705 SCOTTRADE	71000	2039 SEI PRIVAT	5000	0279 SOUTHWEST	131000
2319 SSB TRUST	900000	0997 SSB&T CO	64600000	2375 SSB&T/ISHA	100000
2767 SSB-BRIT	1905000	0750 STERNE AG	15000	0793 STIFEL	462000
2779 SUMI MITSU	185000	0188 TD AMERITR	946000	0549 TIMBER HIL	19000
0221 UBS FINAN	12044000	0642 UBS SECLLC	2550000	2067 UNION BANK	25000
2803 US BANK NA	67000	0062 VANGUARD	275000	0103 WEDBUSH	50000
0250 WELLS FARG	25000				
Total				224738000	

COMPANY ID: 00550873 ACCOUNT ID: 00181661

LOGGED IN AS: BRIAN.CURCI@NRGENERGY.COM
2014.06.10 AT 09:35:54 EDT

Security Position Report Service Home > Request Form > Security Position Report

Security Position Reports: One Time Special Security Position Report**The Depository Trust Company
One Time Security Position Report
Position as of: 06/09/2014****Security Description**
GCB NRG ENERGY INC
D04/18/11 08.250% SM20**Cusip**
629377BJ0

Participant	Quantity	Participant	Quantity	Participant	Quantity
0756 AEIS INC.	54000	2352 AMALGAMATE	20000	0901 BANK OF NY	84673000
7254 BARC/LDN	297000	0229 BARCLAY/LE	15000	0702 BB&T SEC	10000
4816 BKNS/CLIN	7272000	2787 BNP/CUST	14750000	2510 BNY/PRUDEN	14990000
8275 BNY/WEALTH	850000	0954 BNYMEL/TST	50435000	0955 BOA/GWIM	32000
2209 BONY/SPDR	2650000	0013 BRNSTN LLC	50000	0010 BROWN BROS	199572000
0164 CHS SCHWAB	1560000	0908 CITIBANK	34043000	0715 DAVENPORT	25000
0385 E*TRADE	155000	0141 FRST CLEAR	7131000	0005 GOLDMAN	5370000
0501 GOLDMAN LP	570000	2122 HSBCBK/IPB	115000	2305 HUNTINGTNNB	183000
0534 INT BROKER	165000	03/4 JMS LLC	115000	0057 JONES F D	109000
8187 JPM/OPERS*	5355000	2517 JPM/PRUDEN	14955000	0352 JPMC CLEAR	10919000
0902 JPMCBNA	140618000	0187 JPMS LLC	1800000	2769 KB NA/FTSO	2790000
2205 KEYBANK NA	100000	0075 LPL FIN CO	191000	2888 MIZUHO BNK	2035000
5198 ML SFKPG	448000	0773 MLPFS/FIX	2159000	0050 MORGAN LLC	1059000
0015 MSSB	13481000	0226 NFS LLC	2095000	2669 NRTHRN TR	35119000
0571 OPPENHEIME	1095000	0443 PERSHING	1227000	2616 PNC BK,NA	53000
0725 RAYMOND	375000	4801 RBC DOM**	50000	0235 RBCCAPMKTS	8405000
0705 SCOTTRADE	60000	2039 SEI PRIVAT	56000	0279 SOUTHWEST	32000
2319 SSB TRUST	100000	0997 SSB&T CO	358407000	2375 SSB&T/ISHA	1710000
2767 SSB-BRIT	21105000	0793 STIFEL	315000	2779 SUMI MITSU	225000
0188 TD AMERITR	349000	0221 UBS FINAN	582000	0642 UBS SECLLC	325000
2803 US BANK NA	4615000	0367 USAA INVES	10000	0062 VANGUARD	615000
0103 WEDBUSH	50000	2027 WELLS BKNA	2615000	0250 WELLS FARG	2000
2116 5TH-3RD BK	713000				
			Total	1061526000	

COMPANY ID: 00550873 ACCOUNT ID: 00181661

LOGGED IN AS: BRIAN.CURCI@NRGENERGY.COM

2014.05.30 AT 10:09:15 EDT

Security Position Report Service Home > Request Form > Security Position Report

Security Position Reports: One Time Special Security Position Report

The Depository Trust Company
One Time Security Position Report
Position as of: 05/29/2014

Security Description
GCB 144A NRG ENERGY
D08/20/10 8.250% MS20

Cusip
629377BH4

Participant	Quantity	Participant	Quantity	Participant	Quantity
0010 BROWN BROS	625000	2803 US BANK NA	500000		
				Total	1125000

COMPANY ID: 00550873 ACCOUNT ID: 00181661

LOGGED IN AS: BRIAN.CURCI@NRGENERGY.COM
2014.06.10 AT 09:37:16 EDT

Security Position Report Service Home > Request Form > Security Position Report

Security Position Reports: One Time Special Security Position Report**The Depository Trust Company
One Time Security Position Report
Position as of: 06/09/2014****Security Description**
CB NRG ENERGY INC D11/15/11
07.875% MN21**Cuslp**
629377BS0

Participant	Quantity	Participant	Quantity	Participant	Quantity
0756 AEIS INC.	121000	2567 AMAL BK	15000	2352 AMALGAMATE	191000
0901 BANK OF NY	147348000	0229 BARCLAY/LE	257000	0992 BMO/TRUST	1417000
2787 BNP/CUST	3948000	0963 BNY/BNY ET	1109000	2510 BNY/PRUDEN	16897000
8275 BNY/WEALTH	60000	0954 BNYMEL/TST	136406000	0955 BOA/GWIM	1303000
2209 BONY/SPDR	88000000	0010 BROWN BROS	134972000	0274 CGM/SAL BR	500000
0164 CHS SCHWAB	3240000	0908 CITIBANK	64561000	2392 CITY N/B	10000
2108 COMERICA	2593000	0651 CRDT AGRIC	2000000	0573 DEUTSCHE	150000
0385 E*TRADE	105000	4818 FIDUCIE**	300000	0141 FRST CLEAR	1218000
2975 FTB/PUBLIC	1429000	0005 GOLDMAN	25000	2305 HUNTINGTNNB	373000
0824 ICBCFS/EQU	50000	0374 JMS LLC	10000	0057 JONES E O	3000
2357 JPM BK/IA	488000	2164 JPM/CCS2	1190000	8187 JPM/OPERS*	6500000
2255 JPM/PCS SS	105000	2517 JPM/PRUDEN	11225000	0352 JPMC CLEAR	5270000
0902 JPMCBNA	144558000	0187 JPMS LLC	418000	2769 KB NA/FTSO	3420000
2205 KEYBANK NA	306000	0075 LPL FIN CO	174000	0990 MFG TRADE	413000
2932 MITSUB UFJ	500000	5198 ML SFKPG	1436000	0773 MLPFS/FIX	332000
0050 MORGAN LLC	1140000	0015 MSSB	14364000	0226 NFS LLC	1223000
2669 NRTHRN TR	39488000	0571 OPPENHEIME	510000	0443 PERSHING	1419000
2616 PNC BK,NA	1128000	0547 R W BAIRD	69000	0725 RAYMOND	368000
0235 RBCCAPMKTS	1343000	4707 RBCR/CDS**	23000	0971 REGIONS BK	1490000
0705 SCOTTRADE	10000	2039 SEI PRIVAT	370000	0279 SOUTHWEST	70000
2319 SSB TRUST	3525000	0997 SSB&T CO	296644000	2375 SSB&T/ISHA	900000
2767 SSB-BRIT	16033000	2950 SSB/TETF	11281000	0793 STIFEL	741000
2779 SUMI MITSU	25000	0188 TD AMERITR	596000	0549 TIMBER HIL	44000
0221 UBS FINAN	5136000	0642 UBS SECLLC	425000	2145 UNION BANK	400000
0280 US BANCORP	6000	2803 US BANK NA	16139000	0062 VANGUARD	20000
0103 WEDBUSH	50000	2027 WELLS BKNA	5470000	0250 WELLS FARG	82000
2116 5TH-3RD BK	1762000				
			Total	1128040000	

COMPANY ID: 00550873 ACCOUNT ID: 00181661

LOGGED IN AS: BRIAN.CURCI@NRGENERGY.COM
2014.06.10 AT 09:37:41 EDT

Security Position Report Service Home > Request Form > Security Position Report

Security Position Reports: One Time Special Security Position ReportThe Depository Trust Company
One Time Security Position Report
Position as of: 06/09/2014**Security Description**CB NRG ENERGY INC D03/15/13
06.625% MS23Cusip
629377BU5

Participant	Quantity	Participant	Quantity	Participant	Quantity
0756 AEIS INC.	48000	2567 AMAL BK	20000	2352 AMALGAMATE	55000
0901 BANK OF NY	120076000	0229 BARCLAY/LE	50000	0702 BB&T SEC	350000
0992 BMO/TRUST	591000	2787 BNP/CUST	5710000	2510 BNY/PRUDEN	313000
8275 BNY/WEALTH	85000	0954 BNYMEL/TST	97562000	0955 BOA/GWIM	6876000
0010 BROWN BROS	167536000	0164 CHS SCHWAB	946000	0908 CITIBANK	33265000
2392 CITY N/B	50000	2108 COMERICA	39000	0385 E*TRADE	15000
0987 FID SSB	180000	0141 FRST CLEAR	2899000	0534 INT BROKER	15000
0374 JMS LLC	7000	2164 JPM/CCS2	300000	2255 JPM/PCS SS	5000
0352 JPMC CLEAR	1540000	0902 JPMCBNA	134318000	0075 LPL FIN CO	61000
2932 MITSUB UFJ	712000	5198 ML SFKPG	6183000	0050 MORGAN LLC	2004000
0015 MSSB	42748000	5008 NBCN INC*	6175000	0226 NFS LLC	1063000
2669 NRTHRN TR	16324000	0571 OPPENHEIME	161000	0443 PERSHING	2777000
0547 R W BAIRD	38000	0725 RAYMOND	79000	0235 RBCCAPMKTS	4387000
2042 RTC/SWMS1	600000	0705 SCOTTRADE	20000	2319 SSB TRUST	1800000
0997 SSB&T CO	275964000	2375 SSB&T/ISHA	1850000	2767 SSB-BRIT	17744000
0793 STIFEL	27000	0188 TD AMERITR	67000	0549 TIMBER HIL	7900
0221 UBS FINAN	17697000	2803 US BANK NA	13728000	0062 VANGUARD	40000
2027 WELLS BKNA	2486000	2116 5TH-3RD BK	2407000		
Total				990000000	

COMPANY ID: 00550873 ACCOUNT ID: 00181661

LOGGED IN AS: BRIAN.CURCI@NRGENERGY.COM

2014.05.30 AT 10:05:56 EDT

Security Position Report Service Home > Request Form > Security Position Report

Security Position Reports: One Time Special Security Position Report

The Depository Trust Company
One Time Security Position Report
Position as of: 05/29/2014

Security Description
GCB144A GENON ENERGY
D10/04/10 9.500% AO18

Cusip
37244DAA7

Participant	Quantity	Participant	Quantity	Participant	Quantity
0901 BANK OF NY	125000	0908 CITIBANK	375000	5198 ML SFKPG	1000000
0015 MSSB	2000000				
Total					3500000

COMPANY ID: 00550873 ACCOUNT ID: 00181661

LOGGED IN AS: BRIAN.CURCI@NRGENERGY.COM
2014.05.30 AT 10:07:29 EDT

Security Position Report Service Home > Request Form > Security Position Report

Security Position Reports: One Time Special Security Position Report**The Depository Trust Company
One Time Security Position Report
Position as of: 05/29/2014****Security Description**
GCB GENON ESCROW CORP
005/11/11 09.500% OA18**Cusip**
37244DAC3

Participant	Quantity	Participant	Quantity	Participant	Quantity
0756 AEIS INC.	15000	2567 AMAL BK	20000	2352 AMALGAMATE	636000
0901 BANK OF NY	66595000	0229 BARCLAY/LE	85000	0702 BB&T SEC	65000
0992 BMO/TRUST	446000	2787 BNP/CUST	2415000	4838 BNS/CL-B**	2000000
2510 BNY/PRUDEN	4480000	8275 BNY/WEALTH	125000	0954 BNYMEL/TST	62070000
0955 BOA/GWIM	135000	0010 BROWN BROS	62539000	0164 CHS SCHWAB	817000
0908 CITIBANK	32454000	2108 COMERICA	1085000	0355 CS SEC USA	5000000
0385 E*TRADE	93000	0141 FRST CLEAR	2402000	0005 GOLDMAN	14302000
0534 INT BROKER	107000	0374 JMS LLC	10000	8187 JPM/OPERS*	825000
2255 JPM/PCS SS	475000	0352 JPMC CLEAR	24290000	2424 JPMCB/CTC	650000
8112 JPMCB/OHIO	2795000	0902 JPMCBNA	40333000	0187 JPMS LLC	234000
0075 LPL FIN CO	50000	0161 MERRIL	8978000	0990 MFG TRADE	200000
2932 MITSUB UFJ	4298000	5198 ML SFKPG	4878000	0773 MLPFS/FIX	1530000
0050 MORGAN LLC	5841000	0015 MSSB	2052000	5008 NBCN INC**	1000000
0226 NFS LLC	1229000	2669 NRTHRN TR	30070000	0571 OPPENHEIME	25000
0443 PERSHING	5953000	2616 PNC BK,NA	80000	0725 RAYMOND	10000
4801 RBC DOM**	10000	0235 RBCCAPMKT	5559000	0971 REGIONS BK	2479000
0705 SCOTTRADE	15000	2039 SEI PRIVAT	180000	0279 SOUTHWEST	114000
0997 SSB&T CO	218446000	2375 SSB&T/ISHA	1340000	2767 SSB-BRIT	12257000
2950 SSB/TETF	25270000	0750 STERNE AG	30000	0793 STIFEL	35000
0188 TD AMERITR	455000	0549 TIMBER HIL	70000	0221 UBS FINAN	192000
2145 UNION BANK	165000	2803 US BANK NA	5377000	0062 VANGUARD	160000
2027 WELLS BKNA	5140000	2116 5TH-3RD BK	500000		
Total				671486000	

COMPANY ID: 00550873 ACCOUNT ID: 00181661

LOGGED IN AS: BRIAN.CURCI@NRGENERGY.COM
2014.05.30 AT 10:08:19 EDT

Security Position Report Service Home > Request Form > Security Position Report

Security Position Reports: One Time Special Security Position Report**The Depository Trust Company
One Time Security Position Report
Position as of: 05/29/2014****Security Description**
GCB GENON ESCROW CORP
D05/11/11 09.875% OA20**Cusip**
37244DAF6

Participant	Quantity	Participant	Quantity	Participant	Quantity
0901 BANK OF NY	74621000	0229 BARCLAY/LE	20000	2787 BNP/CUST	4115000
4838 BNS/CL-B**	1000000	2510 BNY/PRUDEN	21447000	0954 BNYMEL/TST	57573000
0955 BOA/GWIM	3161000	0010 BROWN BROS	65397000	0274 CGM/SAL BR	3000
0164 CHS SCHWAB	842000	0908 CITIBANK	11447000	2108 COMERICA	1920000
0355 CS SEC USA	814000	0573 DEUTSCHE	4548000	0385 E*TRADE	145000
0141 FRST CLEAR	3594000	0005 GOLDMAN	9024000	2122 HSBCBK/IPB	120000
0534 INT BROKER	10000	0352 JPMC CLEAR	11511000	0902 JPMCBNA	91115000
0187 JPMS LLC	1000000	0075 LPL FIN CO	13000	0161 MERRIL	25000
2932 MITSUB UFJ	4125000	5198 ML SFKPG	14299000	0773 MLPFS/FIX	2750000
0050 MORGAN LLC	4490000	0015 MSSB	3887000	0226 NFS LLC	1066000
2669 NRTHRN TR	4586000	0443 PERSHING	11455000	0235 RBCCAPMKTS	6685000
0705 SCOTTRADE	150000	0997 SSB&T CO	101487000	2375 SSB&T/ISHA	650000
2767 SSB-BRIT	8875000	2950 SSB/TETF	13835000	0793 STIFEL	40000
0188 TD AMERITR	35000	0549 TIMBER HIL	274000	0221 UBS FINAN	5208000
2450 UMB BK,NA	375000	2145 UNION BANK	699000	2803 US BANK NA	809000
0062 VANGUARD	320000	2027 WELLS BKNA	428000		
Total				549993000	

COMPANY ID: 00550873 ACCOUNT ID: 00181661

LOGGED IN AS: BRIAN.CURCI@NRGENERGY.COM

2014.08.06 AT 10:37:27 EDT

Security Position Report Service Home > Request Form > Security Position Report

Security Position Reports: One Time Special Security Position Report

The Depository Trust Company
One Time Security Position Report
Position as of: 08/05/2014

Security Description
GCB144A NRG ENERGY INC
D04/21/14 06.250% MN24

Cusip
629377BX9

Participant	Quantity	Participant	Quantity	Participant	Quantity
2352 AMALGAMATE	85000	0901 BANK OF NY	163964000	0992 BMO/TRUST	400000
2787 BNP/CUST	14976000	2510 BNY/PRUDEN	6317000	8275 BNY/WEALTH	70000
0954 BNYMEL/TST	96997000	0955 BOA/GWIM	85000	0010 BROWN BROS	96023000
0274 CGM/SAL BR	3412000	0908 CITIBANK	51236000	2108 COMERICA	1200000
0651 CRDT AGRIC	589000	0355 CS SEC USA	3658000	0958 DESERET TR	615000
0987 FID SSB	50000	0005 GOLDMAN	285000	2305 HUNTINGTNNB	500000
2164 JPM/CCS2	575000	8187 JPM/OPERS*	1000000	0352 JPMC CLEAR	40235000
0902 JPMCBNA	111587000	0161 MERRIL	3000000	0990 MFG TRADE	25000
2932 MITSUB UFJ	2225000	2888 MIZUHO BNK	5017000	5198 ML SFKPG	1190000
0050 MORGAN LLC	6040000	0015 MSSB	165000	2145 MUFG UNION	115000
5008 NBCN INC**	3050000	0226 NFS LLC	25000	2669 NRTHRN TR	13872000
0571 OPPENHEIME	15000	0443 PERSHING	50000	2616 PNC BK,NA	20000
5011 SCOTIA**	750000	2039 SEI PRIVAT	150000	0286 SG AMERICA	4950000
2319 SSB TRUST	8100000	0997 SSB&T CO	319794000	2375 SSB&T/ISHA	1950000
2767 SSB-BRIT	18400000	0549 TIMBER HIL	90000	2803 US BANK NA	10995000
2027 WELLS BKNA	3430000	0250 WELLS FARG	5000	2116 5TH-3RD BK	293000
Total				997575000	

COMPANY ID: 00550873 ACCOUNT ID: 00181661

LOGGED IN AS: BRIAN.CURCI@NRGENERGY.COM
2014.08.06 AT 10:35:31 EDT

Security Position Report Service Home > Request Form > Security Position Report

Security Position Reports: One Time Special Security Position Report**The Depository Trust Company
One Time Security Position Report
Position as of: 08/05/2014****Security Description**
GCB144A NRG ENERGY INC
D01/27/14 06.250% JJ22**Cusip**
629377BV3

Participant	Quantity	Participant	Quantity	Participant	Quantity
2352 AMALGAMATE	385000	0901 BANK OF NY	97235000	7254 BARC/LDN	113000
0992 BMO/TRUST	246000	2787 BNP/CUST	4593000	0963 BNY/BNY ET	500000
2510 BNY/PRUDEN	20554000	8275 BNY/WEALTH	445000	0954 BNYMEL/TST	138021000
0955 BOA/GWIM	506000	0010 BROWN BROS	152250000	0908 CITIBANK	74545000
2108 COMERICA	420000	0355 CS SEC USA	210000	0987 FID SSB	2510000
2975 FTB/PUBLIC	1872000	2305 HUNTINGTNNB	750000	0019 JEFFERIES	500000
2164 JPM/CCS2	1105000	8187 JPM/OPERS*	2580000	2255 JPM/PCS SS	185000
0352 JPMC CLEAR	2000000	0902 JPMCBNA	220179000	2769 KB NA/FTSO	1830000
2205 KEYBANK NA	100000	0161 MERRIL	1600000	0990 MFG TRADE	220000
2932 MITSUB UFJ	3225000	2888 MIZUHO BNK	100000	5198 ML SFKPG	1030000
0773 MLPFS/FIX	1952000	0015 MSSB	40000	2145 MUFG UNION	400000
5008 NBCN INC**	100000	0226 NFS LLC	1225000	5222 NOMURA FIX	100000
2669 NRTHRN TR	56015000	0571 OPPENHEIME	40000	0443 PERSHING	150000
2616 PNC BK,NA	80000	0235 RBCCAPMKTS	4862000	2039 SEI PRIVAT	1980000
2319 SSB TRUST	3650000	0997 SSB&T CO	240565000	2375 SSB&T/ISHA	2150000
2767 SSB-BRIT	15175000	2950 SSB/TETF	9928000	0793 STIFEL	50000
2450 UMB BK,NA	800000	2803 US BANK NA	24167000	2027 WELLS BKNA	4476000
2116 5TH-3RD BK	1136000				
Total				1098850000	