

Edgar Filing: Pioneer Floating Rate Trust - Form NSAR-B

Pioneer Floating Rate Trust  
Form NSAR-B  
January 27, 2017

PAGE 1  
000 B000000 11/30/2016  
000 C000000 0001305767  
000 D000000 N  
000 E000000 NF  
000 F000000 Y  
000 G000000 N  
000 H000000 N  
000 I000000 6.1  
000 J000000 A  
001 A000000 PIONEER FLOATING RATE TRUST  
001 B000000 811-21654  
001 C000000 6177427825  
002 A000000 60 STATE STREET  
002 B000000 BOSTON  
002 C000000 MA  
002 D010000 02109  
003 000000 N  
004 000000 N  
005 000000 N  
006 000000 N  
007 A000000 N  
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007 C012800 28  
007 C012900 29  
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007 C013000 30  
007 C013100 31  
007 C013200 32  
007 C013300 33  
007 C013400 34  
007 C013500 35

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007 C013600 36  
007 C013700 37  
007 C013800 38  
007 C013900 39  
007 C014000 40  
008 A000001 PIONEER INVESTMENT MANAGEMENT, INC.  
008 B000001 A  
008 C000001 801-8255  
008 D010001 BOSTON  
008 D020001 MA  
008 D030001 02109  
010 A000001 PIONEER INVESTMENT MANAGEMENT, INC.  
010 B000001 801-8225  
010 C010001 BOSTON  
010 C020001 MA  
010 C030001 02109  
010 A000002 STATE STREET BANK & TRUST COMPANY  
010 C010002 BOSTON  
010 C020002 MA  
010 C030002 02101  
010 A000003 BROWN BROTHERS HARRIMAN & CO  
010 C010003 BOSTON  
010 C020003 MA  
010 C030003 02110  
011 A000001 MERRILL LYNCH & CO.  
011 B000001 8-7221  
011 C010001 NEW YORK  
011 C020001 NY  
011 C030001 10281  
011 C040001 1201  
011 A000002 UBS INVESTMENT BANK  
011 B000002 8-022651  
011 C010002 STAMFORD  
011 C020002 CT  
011 C030002 06901  
011 A000003 RBC CAPITAL MARKETS CORP.  
011 B000003 8-045411  
011 C010003 MINNEAPOLIS  
011 C020003 MN  
011 C030003 55402  
011 C040003 4422  
011 A000004 ADVEST, INC.  
011 B000004 8-21409  
011 C010004 HARTFORD  
011 C020004 CT  
PAGE 3  
011 C030004 06103  
011 A000005 JANNEY MONTGOMERY SCOTT, LLC  
011 B000005 8-462  
011 C010005 PHILADELPHIA  
011 C020005 PA  
011 C030005 19103  
011 C040005 1675  
011 A000006 A.G. EDWARDS  
011 B000006 8-13580  
011 C010006 ST. LOUIS  
011 C020006 MO  
011 C030006 63103  
011 A000007 STIFEL, NICOLAUS & CO., INC.  
011 B000007 8-001447  
011 C010007 ST. LOUIS  
011 C020007 MO

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011 C030007 63102  
011 A000008 ROBERT W. BAIRD & CO.  
011 B000008 8-00497  
011 C010008 MILWAUKEE  
011 C020008 WI  
011 C030008 53201  
011 A000009 FERRIS, BAKER WATTS, INC.  
011 B000009 8-16427  
011 C010009 BALTIMORE  
011 C020009 MD  
011 C030009 21202  
011 A000010 J.J.B. HILLIARD, W.L. LYONS, INC.  
011 B000010 8-03868  
011 C010010 LOUISVILLE  
011 C020010 KY  
011 C030010 40202  
011 A000011 KEYBANC CAPITAL MARKETS  
011 B000011 8-0000  
011 C010011 CLEVELAND  
011 C020011 OH  
011 C030011 44114  
011 A000012 MORGAN KEEGAN & CO., INC.  
011 B000012 8-15001  
011 C010012 MEMPHIS  
011 C020012 TN  
011 C030012 38103  
011 A000013 OPPENHEIMER & CO.  
011 B000013 8-04077  
011 C010013 NEW YORK  
011 C020013 NY  
011 C030013 10021  
011 A000014 RYAN BECK & CO., INC.  
011 B000014 8-12296  
011 C010014 FLORHAM PARK  
011 C020014 NJ  
011 PAGE 4  
011 C030014 07932  
011 A000015 SUNTRUST ROBINSON HUMPHREY  
011 B000015 8-17212  
011 C010015 ATLANTA  
011 C020015 GA  
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011 A000016 WEDBUSH MORGAN SECURITIES, LLC.  
011 B000016 8-12987  
011 C010016 LOS ANGELES  
011 C020016 CA  
011 C030016 90017  
011 A000017 WELLS FARGO SECURITIES, LLC  
011 B000017 8-22947  
011 C010017 SAN FRANCISCO  
011 C020017 CA  
011 C030017 94101  
012 A000001 AMERICAN STOCK TRANSFER & TRUST CO. (COMMON)  
012 B000001 85-0000  
012 C010001 BROOKLYN  
012 C020001 NY  
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012 A000002 DEUTSCHE BANK TRUST COMPANY AMERICAS (PREF.)  
012 B000002 85-0000  
012 C010002 NEW YORK  
012 C020002 NY  
012 C030002 10005

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012 A000003 DELETE  
013 A000001 DELOITTE & TOUCHE LLP  
013 B010001 BOSTON  
013 B020001 MA  
013 B030001 02116  
013 B040001 5072  
015 A000001 BROWN BROTHERS HARRIMAN & CO.  
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015 C010001 BOSTON  
015 C020001 MA  
015 C030001 02110  
015 E010001 X  
015 A000002 CITIBANK, N.A. BUENOS AIRES BRANCH  
015 B000002 S  
015 C010002 BUENOS AIRES  
015 D010002 ARGENTINA  
015 E040002 X  
015 A000003 HSBC BANK AUSTRALIA LIMITED  
015 B000003 S  
015 C010003 SYDNEY  
015 D010003 AUSTRALIA  
015 E040003 X  
015 A000004 UNICREDIT BANK AUSTRIA AG  
015 B000004 S  
015 C010004 VIENNA  
PAGE 5  
015 D010004 AUSTRIA  
015 E040004 X  
015 A000005 STANDARD CHARTERED BANK, BANGLADESH BRANCH  
015 B000005 S  
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015 D010005 BANGLADESH  
015 E040005 X  
015 A000006 BNP PARIBAS SECURITIES SERVICES  
015 B000006 S  
015 C010006 PANTIN  
015 D010006 BELGIUM  
015 E040006 X  
015 A000007 CITIBANK, N.A., SAO PAULO  
015 B000007 S  
015 C010007 SAO PAULO  
015 D010007 BRAZIL  
015 E040007 X  
015 A000008 CITIBANK EUROPE PLC, BULGARIA BRANCH  
015 B000008 S  
015 C010008 SOFIA  
015 D010008 BULGARIA  
015 E040008 X  
015 A000009 RBC INVESTOR SERVICES TRUST  
015 B000009 S  
015 C010009 TORONTO  
015 D010009 CANADA  
015 E040009 X  
015 A000010 BANCO DE CHILE  
015 B000010 S  
015 C010010 SANTIAGO  
015 D010010 CHILE  
015 E040010 X  
015 A000011 STANDARD CHARTERED BANK (CHINA) LIMITED  
015 B000011 S  
015 C010011 SHANGHAI  
015 D010011 CHINA

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015 E040011 X  
 015 A000012 CITITRUST COLOMBIA S.A., SOCIEDAD FIDUCIARA  
 015 B000012 S  
 015 C010012 BOGOTA  
 015 D010012 COLOMBIA  
 015 E040012 X  
 015 A000013 UNICREDIT BANK AUSTRIA AG  
 015 B000013 S  
 015 C010013 VIENNA  
 015 D010013 CROATIA  
 015 E040013 X  
 015 A000014 CITIBANK EUROPE PLC, ORGANIZACNI SLOZKA  
 015 B000014 S  
 015 C010014 PRAGUE  
 015 D010014 CZECH REPUBLIC  
 PAGE 6  
 015 E040014 X  
 015 A000015 STANDARD CHARTERED BANK GHANA LTD.  
 015 B000015 S  
 015 C010015 ACCRA  
 015 D010015 GHANA  
 015 E040015 X  
 015 A000016 SKANDINAVISKA ENSKILDA BANKEN AB(PUBL)  
 015 B000016 S  
 015 C010016 COPENHAGEN  
 015 D010016 DENMARK  
 015 E040016 X  
 015 A000017 CITIBANK, N.A., CAIRO BRANCH  
 015 B000017 S  
 015 C010017 CAIRO  
 015 D010017 EGYPT  
 015 E040017 X  
 015 A000018 NORDEA BANK FINLAND PLC  
 015 B000018 S  
 015 C010018 HELSINKI  
 015 D010018 FINLAND  
 015 E040018 X  
 015 A000019 BNP PARIBAS SECURITIES SERVICES  
 015 B000019 S  
 015 C010019 PANTIN  
 015 D010019 FRANCE  
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 015 A000020 BNP PARIBAS SECURITIES SERVICES,FRANKFURT BR  
 015 B000020 S  
 015 C010020 FRANKFURT  
 015 D010020 GERMANY  
 015 E040020 X  
 015 A000021 HSBC BANK PLC, ATHENS BRANCH  
 015 B000021 S  
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 015 D010021 GREECE  
 015 E040021 X  
 015 A000022 STANDARD CHARTERED BANK (HONG KONG) LIMITED  
 015 B000022 S  
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 015 D010022 HONG KONG  
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 015 A000023 CITIBANK EUROPE PLC, HUNGARIAN BRANCH OFFICE  
 015 B000023 S  
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 015 D010023 HUNGARY  
 015 E040023 X

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015 A000024 CITIBANK, N.A., MUMBAI BRANCH  
015 B000024 S  
015 C010024 MUMBAI  
015 D010024 INDIA  
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PAGE 7  
015 A000025 CITIBANK, N.A., JAKARTA BRANCH  
015 B000025 S  
015 C010025 JAKARTA  
015 D010025 INDONESIA  
015 E040025 X  
015 A000026 CITIBANK, N.A., LONDON BRANCH  
015 B000026 S  
015 C010026 LONDON  
015 D010026 IRELAND  
015 E040026 X  
015 A000027 BANK HAPOALIM BM  
015 B000027 S  
015 C010027 TEL AVIV  
015 D010027 ISRAEL  
015 E040027 X  
015 A000028 BNP PARIBAS SECURITIES SERVICES, MILAN BRANCH  
015 B000028 S  
015 C010028 MILAN  
015 D010028 ITALY  
015 E040028 X  
015 A000029 SUMITOMO MITSU BANKING CORPORATION  
015 B000029 S  
015 C010029 TOKYO  
015 D010029 JAPAN  
015 E040029 X  
015 A000030 HSBC BANK MIDDLE EAST LIMITED, KUWAIT BRANCH  
015 B000030 S  
015 C010030 SAFAT  
015 D010030 KUWAIT  
015 E040030 X  
015 A000031 KBL EUROPEAN PRIVATE BANKERS SA  
015 B000031 S  
015 C010031 LUXEMBOURG  
015 D010031 LUXEMBOURG  
015 E040031 X  
015 A000032 HSBC BANK MALAYSIA BERHAD  
015 B000032 S  
015 C010032 KUALA LUMPUR  
015 D010032 MALAYSIA  
015 E040032 X  
015 A000033 STANBIC IBTC BANK PLC  
015 B000033 S  
015 C010033 LAGOS  
015 D010033 NIGERIA  
015 E040033 X  
015 A000034 BANCO NACIONAL DE MEXICO, S.A. (BANAMEX)  
015 B000034 S  
015 C010034 MEXICO CITY  
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015 A000035 CITIBANK MAGHREB  
PAGE 8  
015 B000035 S  
015 C010035 CASABLANCA  
015 D010035 MOROCCO  
015 E040035 X

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015 A000036 BNP PARIBAS SECURITIES SERVICES  
 015 B000036 S  
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 015 C010037 AUCKLAND  
 015 D010037 NEW ZEALAND  
 015 E040037 X  
 015 A000038 NORDEA BANK NORGE ASA  
 015 B000038 S  
 015 C010038 OSLO  
 015 D010038 NORWAY  
 015 E040038 X  
 015 A000039 HSBC BANK MIDDLE EAST LIMITED, QATAR BRANCH  
 015 B000039 S  
 015 C010039 ST. HELIER  
 015 D010039 QATAR  
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 015 D010040 PERU  
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 015 A000041 HSBC LTD.,PHILIPPINE BRANCH  
 015 B000041 S  
 015 C010041 TAGUIG CITY  
 015 D010041 PHILIPPINES  
 015 E040041 X  
 015 A000042 BANK HANDLOWY W WARSZAWIE SA  
 015 B000042 S  
 015 C010042 WARSAW  
 015 D010042 POLAND  
 015 E040042 X  
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 015 D010044 ROMANIA  
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 015 B000045 S  
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 015 D010046 SINGAPORE  
 015 E040046 X  
 015 A000047 CITIBANK EUROPE PLC POBOCKA ZAHRANICNEJ BAN  
 015 B000047 S  
 015 C010047 BRATISLAVA  
 015 D010047 SLOVAKIA  
 015 E040047 X  
 015 A000048 STANDARD CHARTERED BANK JOHANNESBURG BRANCH

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015 B000048 S  
015 C010048 SANDTON  
015 D010048 SOUTH AFRICA  
015 E040048 X  
015 A000049 STANDARD CHARTERED BANK KEYNA LIMITED  
015 B000049 S  
015 C010049 NAIROBI  
015 D010049 KENYA  
015 E040049 X  
015 A000050 NORDEA BANK FINLAND PLC  
015 B000050 S  
015 C010050 HELSINKI  
015 D010050 ESTONIA  
015 E040050 X  
015 A000051 BANCO BILBAO VIZCAYA AREGENTARIA SA  
015 B000051 S  
015 C010051 MADRID  
015 D010051 SPAIN  
015 E040051 X  
015 A000052 HSBC LTD, SRI LANKA BRANCH  
015 B000052 S  
015 C010052 COLOMBO  
015 D010052 SRI LANKA  
015 E040052 X  
015 A000053 SKANDINAVISKA ENSKILDA BANKEN AB (PUBL)  
015 B000053 S  
015 C010053 STOCKHOLM  
015 D010053 SWEDEN  
015 E040053 X  
015 A000054 CREDIT SUISSE AG  
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015 C010054 ZURICH  
015 D010054 SWITZERLAND  
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015 C010055 TAIPEI  
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015 A000056 HSBC LTD., THAILAND BRANCH  
015 B000056 S  
015 C010056 BANGKOK  
015 D010056 THAILAND  
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015 A000057 CITIBANK ANONIM SIRKETI  
015 B000057 S  
015 C010057 ISTANBUL  
015 D010057 TURKEY  
015 E040057 X  
015 A000058 HSBC BANK MIDDLE EAST LIMITED  
015 B000058 S  
015 C010058 DUBAI  
015 D010058 UNITED ARAB EMIRATES  
015 E040058 X  
015 A000059 HSBC BANK PLC  
015 B000059 S  
015 C010059 LONDON  
015 D010059 UNITED KINGDOM  
015 E040059 X  
015 A000060 CITIBANK, N.A., CARACAS BRANCH  
015 B000060 S

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015 C010060 CARACAS  
 015 D010060 VENEZUELA  
 015 E040060 X  
 015 A000061 HSBC BANK (VIETNAM) LTD  
 015 B000061 S  
 015 C010061 HO CHI MINH CITY  
 015 D010061 VIETNAM  
 015 E040061 X  
 015 A000062 CITIBANK KOREA INC  
 015 B000062 S  
 015 C010062 SEOUL  
 015 D010062 SOUTH KOREA  
 015 E040062 X  
 015 A000063 EUROCLEAR BANK SA NV  
 015 B000063 S  
 015 C010063 BRUSSELS  
 015 D010063 BELGIUM  
 015 E040063 X  
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 020 A000001 MERRILL LYNCH, PIERCE, FENNER & SMITH INC.  
 020 B000001 13-5674085  
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 020 A000002 CITIGROUP GLOBAL MARKETS INC.  
 020 B000002 11-2418191  
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 022 A000001 CLEARVIEW TRADING ADVISORS, INC.  
 022 B000001 14-1981175  
 022 C000001 568875  
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 022 A000002 J.P. MORGAN SECURITIES LLC  
 022 B000002 13-4110995  
 022 C000002 219646  
 022 D000002 7668  
 022 A000003 BARCLAYS CAPITAL INC.  
 022 B000003 06-1031656  
 022 C000003 223838  
 022 D000003 3430  
 022 A000004 GOLDMAN SACHS & CO.  
 022 B000004 13-5108880  
 022 C000004 147461  
 022 D000004 4373  
 022 A000005 NATIONAL FINANCIAL SERVICES LLC

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022 B000005 04-3523567  
022 C000005 135113  
022 D000005 0  
022 A000006 BROWN BROTHERS HARRIMAN & CO.  
022 B000006 13-4973745  
022 C000006 57614  
022 D000006 56972  
022 A000007 MERRILL LYNCH, PIERCE, FENNER & SMITH INC.  
022 B000007 13-5674085  
022 C000007 105172  
022 D000007 1552  
022 A000008 CITIGROUP GLOBAL MARKETS INC.  
022 B000008 11-2418191  
022 C000008 81322  
022 D000008 25082  
022 A000009 RBC CAPITAL MARKETS, LLC  
022 B000009 41-1416330

PAGE 12

022 C000009 57775  
022 D000009 291  
022 A000010 BNY MELLON CAPITAL MARKETS, LLC  
022 B000010 23-2384977  
022 C000010 29294  
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| 055 | A000000 | Y  |       |
| 055 | B000000 | N  |       |
| 056 | 000000  | N  |       |
| 057 | 000000  | N  |       |
| 058 | A000000 | N  |       |
| 059 | 000000  | Y  |       |
| 060 | A000000 | Y  |       |
| 060 | B000000 | Y  |       |
| 061 | 000000  |    | 0     |
| 062 | A000000 | Y  |       |
| 062 | B000000 |    | 6.6   |
| 062 | C000000 |    | 0.0   |
| 062 | D000000 |    | 0.5   |
| 062 | E000000 |    | 0.0   |
| 062 | F000000 |    | 0.4   |
| 062 | G000000 |    | 0.0   |
| 062 | H000000 |    | 0.0   |
| 062 | I000000 |    | 0.0   |
| 062 | J000000 |    | 0.0   |
| 062 | K000000 |    | 0.0   |
| 062 | L000000 |    | 0.0   |
| 062 | M000000 |    | 5.0   |
| 062 | N000000 |    | 0.0   |
| 062 | O000000 |    | 0.0   |
| 062 | P000000 |    | 5.5   |
| 062 | Q000000 |    | 134.2 |
| 062 | R000000 |    | 1.4   |
| 063 | A000000 |    | 0     |
| 063 | B000000 |    | 3.8   |
| 064 | A000000 | N  |       |
| 064 | B000000 | Y  |       |
|     | PAGE    | 15 |       |
| 065 | 000000  | N  |       |
| 066 | A000000 | N  |       |
| 067 | 000000  | N  |       |
| 068 | A000000 | N  |       |
| 068 | B000000 | N  |       |
| 069 | 000000  | N  |       |
| 070 | A010000 | Y  |       |
| 070 | A020000 | Y  |       |
| 070 | B010000 | Y  |       |
| 070 | B020000 | N  |       |
| 070 | C010000 | Y  |       |
| 070 | C020000 | N  |       |

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|     |          |    |        |
|-----|----------|----|--------|
| 070 | D010000  | Y  |        |
| 070 | D020000  | N  |        |
| 070 | E010000  | Y  |        |
| 070 | E020000  | N  |        |
| 070 | F010000  | Y  |        |
| 070 | F020000  | N  |        |
| 070 | G010000  | Y  |        |
| 070 | G020000  | N  |        |
| 070 | H010000  | Y  |        |
| 070 | H020000  | N  |        |
| 070 | I010000  | N  |        |
| 070 | I020000  | N  |        |
| 070 | J010000  | Y  |        |
| 070 | J020000  | Y  |        |
| 070 | K010000  | Y  |        |
| 070 | K020000  | Y  |        |
| 070 | L010000  | Y  |        |
| 070 | L020000  | Y  |        |
| 070 | M010000  | Y  |        |
| 070 | M020000  | N  |        |
| 070 | N010000  | Y  |        |
| 070 | N020000  | N  |        |
| 070 | O010000  | Y  |        |
| 070 | O020000  | Y  |        |
| 070 | P010000  | Y  |        |
| 070 | P020000  | N  |        |
| 070 | Q010000  | N  |        |
| 070 | Q020000  | N  |        |
| 070 | R010000  | N  |        |
| 070 | R020000  | N  |        |
| 071 | A000000  |    | 238723 |
| 071 | B000000  |    | 229317 |
| 071 | C000000  |    | 440760 |
| 071 | D000000  |    | 52     |
| 072 | A000000  | 12 |        |
| 072 | B000000  |    | 24860  |
| 072 | C000000  |    | 171    |
| 072 | D000000  |    | 0      |
| 072 | E000000  |    | 69     |
|     | PAGE     | 16 |        |
| 072 | F000000  |    | 3132   |
| 072 | G000000  |    | 248    |
| 072 | H000000  |    | 0      |
| 072 | I000000  |    | 7      |
| 072 | J000000  |    | 78     |
| 072 | K000000  |    | 0      |
| 072 | L000000  |    | 9      |
| 072 | M000000  |    | 17     |
| 072 | N000000  |    | 0      |
| 072 | O000000  |    | 0      |
| 072 | P000000  |    | 1924   |
| 072 | Q000000  |    | 0      |
| 072 | R000000  |    | 87     |
| 072 | S000000  |    | 31     |
| 072 | T000000  |    | 0      |
| 072 | U000000  |    | 0      |
| 072 | V000000  |    | 0      |
| 072 | W000000  |    | 413    |
| 072 | X000000  |    | 5946   |
| 072 | Y000000  |    | 0      |
| 072 | Z000000  |    | 19154  |
| 072 | AA000000 |    | 0      |

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|             |                              |
|-------------|------------------------------|
| 072BB000000 | 10304                        |
| 072CC010000 | 13913                        |
| 072CC020000 | 0                            |
| 072DD010000 | 17811                        |
| 072DD020000 | 0                            |
| 072EE000000 | 0                            |
| 073 A010000 | 0.7200                       |
| 073 A020000 | 0.0000                       |
| 073 B000000 | 0.0000                       |
| 073 C000000 | 0.0000                       |
| 074 A000000 | 1305                         |
| 074 B000000 | 1525                         |
| 074 C000000 | 21775                        |
| 074 D000000 | 447646                       |
| 074 E000000 | 0                            |
| 074 F000000 | 962                          |
| 074 G000000 | 0                            |
| 074 H000000 | 0                            |
| 074 I000000 | 3284                         |
| 074 J000000 | 2469                         |
| 074 K000000 | 0                            |
| 074 L000000 | 2340                         |
| 074 M000000 | 7                            |
| 074 N000000 | 481313                       |
| 074 O000000 | 27983                        |
| 074 P000000 | 251                          |
| 074 Q000000 | 143450                       |
| 074 R010000 | 0                            |
| 074 R020000 | 0                            |
| PAGE 17     |                              |
| 074 R030000 | 0                            |
| 074 R040000 | 321                          |
| 074 S000000 | 0                            |
| 074 T000000 | 309308                       |
| 074 U010000 | 24738                        |
| 074 U020000 | 0                            |
| 074 V010000 | 12.50                        |
| 074 V020000 | 0.00                         |
| 074 W000000 | 0.0000                       |
| 074 X000000 | 4861                         |
| 074 Y000000 | 0                            |
| 075 A000000 | 0                            |
| 075 B000000 | 303375                       |
| 076 000000  | 11.78                        |
| 077 A000000 | Y                            |
| 077 B000000 | Y                            |
| 078 000000  | N                            |
| 080 A000000 | ICI MUTUAL INSURANCE COMPANY |
| 080 C000000 | 38000                        |
| 081 A000000 | Y                            |
| 081 B000000 | 46                           |
| 082 A000000 | Y                            |
| 082 B000000 | 0                            |
| 083 A000000 | N                            |
| 083 B000000 | 0                            |
| 084 A000000 | N                            |
| 084 B000000 | 0                            |
| 085 A000000 | N                            |
| 085 B000000 | N                            |
| 086 A010000 | 0                            |
| 086 A020000 | 0                            |
| 086 B010000 | 0                            |

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|           |                 |                    |
|-----------|-----------------|--------------------|
| 086       | B020000         | 0                  |
| 086       | C010000         | 0                  |
| 086       | C020000         | 0                  |
| 086       | D010000         | 0                  |
| 086       | D020000         | 0                  |
| 086       | E010000         | 0                  |
| 086       | E020000         | 0                  |
| 086       | F010000         | 0                  |
| 086       | F020000         | 0                  |
| 087       | A010000         | COMMON STOCK       |
| 087       | A020000         | 72369J102          |
| 087       | A030000         | PHD                |
| 087       | B010000         | PREFERRED STOCK M7 |
| 087       | B020000         | 72369J201          |
| 087       | C010000         | PREFERRED STOCK W7 |
| 087       | C020000         | 72369J300          |
| 088       | A000000         | N                  |
| 088       | B000000         | N                  |
| 088       | C000000         | Y                  |
|           | PAGE            | 18                 |
| 088       | D000000         | N                  |
| SIGNATURE | MARK E. BRADLEY |                    |
| TITLE     | TREASURER       |                    |