

Coalition of Mutual Fund Investors (CMFI)
Summary of Investor Distribution Plans
Last Updated: 8/20/2015

The U.S. Securities and Exchange Commission (SEC) is in the process of distributing more than \$3.4 billion in restitution payments to individual investors who have been harmed by improper market timing and late trading activities. This document is a summary of the status of the individual Distribution Plans used to implement this restitution payment process through the SEC Fair Funds program. This summary only includes enforcement proceedings involving market timing and/or late trading activities. It does not include enforcement proceedings involving other violations of the federal securities laws.

The information contained in this document was obtained from the SEC's website (www.sec.gov). CMFI cannot guarantee the accuracy or the reliability of this information. This document has been prepared as a public service for the users of the CMFI website because there is no central location for this information within the SEC. If any user of the CFMI website has additional information about these Distribution Plans, or has knowledge of any inaccuracy in this document, please contact CMFI at info@investorscoalition.com.

Respondent Name(s)	SEC Admin Proc File #	Settlement Order Date	FAIR FUND Contribution	Distribution Plan Release	Public Comment Deadline	Remarks/Contact Information Via the Internet
Alliance Capital Management, L.P. (now known as AllianceBernstein L.P.)	3-11359	12/18/2003	\$321,515,003.00	3/13/2008	4/14/2008	Distribution Plan approved (5/15/08); First distribution of \$46,166,264.96 authorized (1/22/09); Second distribution of \$79,178,672.81 authorized (2/11/09); Third distribution of \$63,141,852.24 authorized (3/31/09); Fourth distribution of \$49,910,496.49 authorized (4/28/09); Fifth distribution of \$56,642,634.13 authorized (5/14/09); Sixth distribution of \$46,942,173.23 authorized (8/5/09); Seventh distribution of \$9,738,605.02 authorized (5/31/2011); Enhanced measures to distribute \$61.9 million in residual funds authorized (1/9/2014); Eighth distribution of \$33,061,872.31 authorized (2/20/14); Order modifying original settlement agreement approved (4/16/2015) http://www.abfairfund.com/

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American Express Financial Corp.	3-12114	12/1/2005	\$15,000,000.00			www.ameriprise.com
Banc of America Capital Management, LLC, BACAP Distributors, LLC and Banc of America Securities, LLC	3-11818	2/9/2005	\$375,000,000.00	7/16/2007	8/13/2007	<p>Distribution Plan approved (12/27/07); First distribution of \$103,683,707.84 authorized (6/5/08); Second distribution of \$39,910,827.97 authorized (8/6/08); Third distribution of \$23,825,205.86 authorized (11/3/08); Fourth distribution of \$14,734,968.83 authorized (3/5/09); Fifth distribution of \$17,511,119.22 authorized (6/9/09); Sixth distribution of \$13,054,368.91 authorized (12/1/09); Seventh distribution of \$10,478,066.61 authorized (6/3/10); Eighth distribution of \$3,047,283.83 authorized (11/23/2010); Ninth distribution of \$5,251,498.94 authorized (6/6/2011); Order modifying original settlement approved (8/30/2011); Tenth distribution of \$23,984,335.72 authorized (11/14/2011); Eleventh distribution of \$24,826,874.15 authorized (7/11/12); Twelfth distribution of \$9,036,325.11 authorized (11/9/2012); Thirteenth distribution of \$13,756,827.09 authorized (7/31/13)</p> <p>www.nationsfairfund.com</p>

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Banc One Investment Advisors Corp. and Mark A. Beeson	3-11530	6/29/2004	\$50,000,000.00	8/7/2006	9/6/2006	Modified Distribution Plan approved (5/9/07); \$55,670,031.01 authorized to be distributed (7/10/07); Residual funds of \$36,399.23 transferred to U.S. Treasury (12/29/09); Final accounting approved and Fair Fund terminated (12/29/09) www.settlementbanconeia.com
Bear, Stearns & Co., Inc. and Bear, Stearns Securities Corp.	3-12238	3/16/2006	\$250,000,000.00	12/8/2008	1/7/2009	Distribution Plan approved (2/4/09); First distribution of \$216,819,719.80 authorized (4/28/09); Second distribution of \$13,219,172.76 authorized (6/5/09); Third distribution of \$14,711,842.46 authorized (7/15/09) http://www.bearstearnsfairfundsettlement.com/
Canadian Imperial Holdings, Inc. and CIBC World Markets Corp.	3-11987	7/20/2005	\$125,000,000.00	12/10/2009	1/10/2010	Distribution Plan approved (2/23/10); First distribution of \$43,841,607.64 authorized (11/7/2011); Second distribution of \$45,850,882.68 authorized (11/21/2011); Third distribution of \$43,686,848.61 authorized (12/5/2011) www.cibcwm.com
Chronos Asset Management, Inc. and Mitchell L. Doug	3-12934	1/25/2008	\$2,176,915.50			

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CIHC, Inc., Conseco Services, LLC and Conseco Equity Sales, Inc.	3-11578	8/9/2004	\$15,000,000.00	12/18/2009 1/19/2010	1/18/2010 2/19/2010	Amended Distribution Plan approved (2/26/10); First distribution of \$4,263,506.27 authorized (9/4/2014); Second distribution of \$2,864,027.70 authorized (3/17/2015) www.conseco.com/wsc
Columbia Management Advisors, Inc. and Columbia Funds Distributor, Inc.	3-11814	2/9/2005	\$140,000,000.00	7/19/2006	8/18/2006	Distribution Plan approved (4/6/07); First distribution of \$37,761,807.19 authorized (6/18/07); Second distribution of \$19,148,806.43 authorized (8/7/07); Third distribution of \$35,649,884.11 authorized (11/28/07); Fourth distribution of \$13,966,412.10 authorized (3/3/08); Fifth distribution of \$37,674,192.60 authorized (11/13/08); Sixth distribution of \$19,999,962.62 authorized (5/6/2010); Holdback distribution of \$10,915,786.56 authorized (8/12/2011) www.columbiafairfund.com

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Evergreen Investment Management Company, LLC, Evergreen Investment Services, Inc., Evergreen Service Company, LLC, Wachovia Securities, LLC, and William M. Ennis	3-12805 3-12806	9/19/2007	\$32,653,280.00	3/19/2010	4/19/2010	Distribution plan approved (4/30/10); First distribution of \$9,842,383.88 authorized (10/28/10); Second distribution of \$14,581,870.75 authorized (12/3/2010); Additional distribution of \$8,763,152.60 authorized (2/1/2011); Residual distribution of \$6,974,406.04 authorized (12/23/2014) www.evergreeninvestments.com
Federated Investment Management Co., Federated Securities Corp., and Federated Shareholders Services Corp.	3-12111	11/28/2005	\$72,000,000.00	12/4/2009	1/4/2010	Distribution plan approved (1/28/10); First distribution of \$63,212,121.41 authorized (7/21/10); Second distribution of \$13,941,123.91 authorized (9/2/10); First residual distribution of \$14,575,932.22 authorized (6/12/12); Second residual distribution of \$1,430,034.52 authorized (9/10/13); Residual funds of \$143,981.73 sent to U.S. Treasury and Fair Fund terminated (8/19/2015) www.federatedfairfundsettlement.com

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Franklin Advisers, Inc. and Franklin/Templeton Distributors, Inc.	3-11572	8/2/2004	\$50,000,000.00	6/6/2007	7/6/2007	Distribution Plan approved (5/9/08); First distribution of \$49,123,443.25 authorized (9/4/08); Second distribution of \$5,753,326.58 authorized (11/21/08); Third distribution of \$11,402,009.02 authorized (4/30/10); Final Accounting approved and Fair Fund terminated (9/23/2011) www.franklinfairfundsettlement.com
Fred Alger Management and Fred Alger & Company, Inc.	3-12540	1/18/2007	\$40,000,000.00	5/5/2015	6/5/2015	Tax administrator appointed (6/8/07); Distribution Plan approved (7/24/2015) www.alger.com
Fremont Investment Advisors, Inc. et al	3-11726	11/4/2004	\$4,146,000.00	5/12/2010	6/12/2010	Distribution Plan approved (6/25/10); First distribution of \$4,663,245.18 authorized (10/28/2010); Residual distribution of \$746.03 authorized (7/20/2012); Residual funds of \$4,699.71 transferred to the U.S. Treasury and Fair Fund terminated (1/28/2014) www.fremontinvestmentadvisors.com Note: Fremont Advisors has been acquired by the Affiliated Managers Group, Inc. www.amg.com

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Gabelli Funds LLC	3-13019	4/24/2008	\$16,000,000.00	9/11/2009	10/11/2009	Tax administrator appointed (5/7/08); Fund administrator appointed (12/30/09); Distribution plan approved (12/30/09); Distribution of \$6,199,426.66 authorized (8/16/10); Distribution of \$6,018,207.06 authorized (8/31/10); Final accounting approved and Fair Fund terminated (1/25/13) www.gabelli.com
General American Life Insurance Company and William C. Thater	3-12720	8/9/2007	\$3,463,137.49	5/23/2008	6/23/2008	Tax administrator appointed (10/25/07); Distribution plan approved (7/25/08); Distribution of \$3,535,822.80 authorized (8/5/09); Final accounting approved and Fair Fund terminated (10/21/10)

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Haidar Capital Management, LLC, Haidar Capital Advisors, LLC, and Said N. Haidar	3-12678	7/6/2007	\$4,580,000.00	4/13/2010	5/13/2010	Distribution Plan approved (6/1/10) www.haidarcapital.com
International Equity Advisors, LLC and Richard Roger Lund	3-12068	9/20/2005	\$3,190,000.00	4/25/2007	5/25/2007	Penalties paid to affected mutual funds only; Distribution Plan approved (8/8/07); Distribution of \$3,419,686.62 authorized (9/8/08) http://www.ieqadvisors.com/

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Invesco Funds Group, Inc. and AIM Advisers, Inc.	3-11701	10/8/2004	\$375,000,000.00	7/6/2007	8/6/2007	<p>Tax administrator appointed (3/06); Modified Distribution Plan approved (5/23/08); Transfer of \$45,822,703.22 from the Banc of America Fair Fund and \$8,725,150.69 from the Bear Stearns Fair Fund approved (5/14/09); Transfer of \$11,025,038.25 from the Banc of America Fair Fund and \$12,442,622.97 from the Bear Stearns Fair Fund approved (5/14/09); Distribution of \$418,233,073.47 authorized (7/13/09); Distribution amount updated to \$418,127,623.34 (11/20/09); Residual distribution of \$13,141,658.77 authorized (8/19/10); Additional residual disbursements authorized (5/11/2011); Order modifying settlement approved (7/12/2011); Fair Fund terminated (11/6/13)</p> <p>www.invescofairfund.com http://www.aimfairfund.com</p>

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Janus Capital Management LLC	3-11590	8/18/2004	\$100,000,000.00	5/31/2007	7/2/2007	Distribution Plan approved (4/25/08); First distribution of \$18,226,501.55 authorized (8/1/08); Second distribution of \$24,034,633.39 authorized (9/8/08); Third distribution of \$15,140,136.53 authorized (10/17/08); Fourth distribution of \$22,582,329.59 authorized (12/5/08); Fifth distribution of \$22,030,400.93 authorized (5/28/09); Residual distribution of \$22,825,910.79 authorized (12/1/2010); Final accounting approved and Fair Fund terminated (1/25/2012) http://restorationjanus.com/

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Massachusetts Financial Services Co., John W. Ballen, and Kevin R. Parke	3-11393	2/5/2004	\$225,600,000.00	9/14/2006	10/16/2006	<p>Distribution Plan approved (7/24/07); Revised Distribution Plan approved (9/25/07); First distribution of \$31,487,520.04 authorized (11/5/07); Second distribution of \$26,479,321.81 authorized (12/6/07);</p> <p>Third distribution of \$32,499,722.42 authorized (1/9/08); Fourth distribution of \$25,838,712.81 authorized (2/6/08); Fifth distribution of \$18,343,333.48 authorized (2/28/08); Sixth distribution of \$43,501,260.12 authorized (4/18/08); Seventh distribution of \$33,151,254.10 authorized (5/6/08); Eighth distribution of \$32,286,863.16 authorized (6/4/08); Ninth distribution of \$28,506,201.69 authorized (6/17/08); Tenth distribution of \$13,959,921.05 authorized (7/2/08); Eleventh distribution of \$16,655,213.97 authorized (8/6/08); Twelfth distribution of \$4,988,601.44 authorized (8/22/08); Thirteenth distribution of \$4,344,562.98 authorized (12/3/08); Fourteenth distribution of \$46,784.94 authorized (4/9/09); Order modifying Distribution Plan approved (11/3/2010); Residual distribution of \$23,022,752.60 approved (9/1/2011); Order modifying original settlement approved (11/9/2011)</p> <p>www.rust-mfssettlement.com</p>

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Millennium Partners, LP et al.	3-12116	12/1/2005	\$180,000,000.00	5/31/2007	7/2/2007	Penalties to be paid to harmed entities only; Distribution Plan approved (8/3/07); First distribution of \$156,172,449.54 authorized (6/5/09); Second distribution of \$21,885,047.82 authorized (8/31/09); Third distribution of \$5,111,350.13 authorized (5/12/10); Fourth distribution of \$2,171,091.25 authorized (12/6/2010); Fifth distribution of \$248,234.09 authorized (7/26/2012) www.millenniummanagementllc.com
Morgan Stanley & Co. Incorporated	3-12907	12/18/2007	\$17,000,000.00	2/26/2010	3/26/2010	Distribution Plan approved (4/9/10); Distribution of \$17,215,108.26 authorized (10/9/13) www.morganstanley.com
PA Fund Management LLC f/k/a PIMCO Advisors Fund Management LLC, et al.	3-11645	9/13/2004	\$48,383,262.00	10/7/2010	11/7/2010	Distribution Plan approved (12/10/2010); First distribution of \$20,174,793.19 authorized (5/12/2011); Second distribution of \$2,932,078.67 authorized (12/9/2011); Residual distribution of \$3,404,162.72 authorized (1/15/2015) www.pimco.com

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Pilgrim Baxter & Associates, Ltd., Gary L. Pilgrim and Harold J. Baxter	3-11524	6/21/2004	\$250,000,000.00	6/30/2006	7/31/2006	Distribution Plan approved (11/22/06); First distribution of \$125 million authorized (4/12/07); Second distribution of \$73,276,568.19 authorized (5/30/07); Final Distribution of \$69,469,684.31 authorized (8/24/07); Residual disbursement of \$35,380,631.02 authorized (2/25/09); Final Accounting approved and Fair Fund terminated (8/3/2011) www.pbafairfundsettlements.com
Prudential Securities, Inc. (now Prudential Equity Group, LLC)	3-12400	8/28/2006	\$270,000,000.00	12/4/2009	1/4/2010	Distribution plan approved (2/4/10); First distribution of \$184,726,865.38 authorized (3/11/10); Second distribution of \$9,049,251.62 authorized (4/23/10); Third distribution of \$25,777,983.40 authorized (6/10/10); Fourth distribution of \$34,129,444.46 authorized (7/22/10); Fifth distribution of \$36,053,553.04 authorized (9/3/10); Residual distribution of \$27,427,576.14 authorized (4/22/2011)

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Putnam Investment Management LLC	3-11317	11/13/2003 4/8/2004	\$153,600,000.00 (Distribution includes \$55.6 million collected by the Commonwealth of Massachusetts);	3/30/2007	4/30/2007	Distribution Plan approved (7/20/07); First distribution of \$39,715,436.33 authorized (8/15/08); Second distribution of \$46,515,302.18 authorized (12/2/08); Third distribution of \$28,128,811.12 authorized (2/25/09); Fourth distribution of \$4,245,929.44 authorized (5/28/09); Fifth distribution of \$19,354,093.35 authorized (7/31/09); Sixth distribution of \$4,356,590.74 authorized (12/2/09); Seventh distribution of \$4,214,238.67 authorized (2/2/10); Eighth distribution of \$2,641,841.14 authorized (11/1/2010); Ninth distribution of \$1,045,492.65 authorized (3/4/2011); Residual distribution of \$46,111,059.53 authorized (9/1/11); Residual distribution of \$46,077,445.85 authorized (corrected amount) (12/12/2011); Final accounting approved and Fair Fund terminated (8/2/2012); 2003 settlement agreement modified as requested by Putnam (5/3/13) http://www.putnamfairfund.com/

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Ritchie Capital Management LLC, et al	3-12947	2/5/2008	\$40,191,968.82	7/30/2008	8/29/2008	Distribution Plan approved (12/11/08); Distribution of \$40,554,758.04 authorized (11/10/09); Final Accounting approved & Fair Fund terminated (9/9/2011) www.ritchiecapital.com
RS Investment Management, Inc. et al	3-11696	10/6/2004	\$25,000,000.00	5/14/2007	6/13/2007	Distribution Plan approved (8/8/07); First distribution of \$27,053,995.47 authorized (4/14/08); Second distribution of \$3,611,743.00 authorized (11/19/09); Fair Fund terminated (2/14/2011); Order modifying original settlement approved (1/13/2012) http://rssettlement.com/
Simpson Capital Management, Inc., Robert A. Simpson, and John C. Dowling	3-13705	12/7/2009	\$6,800,000.00			www.simpsoncapital.com
Strong Capital Management, Inc. et al	3-11498	5/20/2004	\$140,750,000.00	7/30/2009	8/31/2009	Tax administrator appointed (10/23/06); Distribution Plan approved (9/14/09); First distribution of \$83,773,535.39 authorized (7/8/10); Second distribution of \$32,008,976.05 authorized (10/21/2010); Third distribution of \$19,543,149.17 authorized (4/22/2011) www.strongsettlement.com

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Veras Capital Master Fund, VEY Partners Master Fund, Veras Investment Partners, LLC, Kevin D. Larson, and James R. McBride	3-12133	12/22/2005	\$37,700,488.00	8/10/2006	9/11/2006	Penalties paid to affected mutual funds only; Distribution Plan approved (10/4/2006); First distribution of \$38,755,624.80 authorized (3/21/07); Second distribution of \$756.65 authorized (6/1/07); Final Accounting approved and Fair Fund terminated (9/22/09)
Waddell & Reed, Inc., Waddell & Reed Investment Management Co., and Waddell & Reed Services Co.	3-12372	7/24/2006	\$50,000,000.00			Tax administrator appointed (2/28/07); Distribution plan approved (8/9/13); Distribution of \$52,332,274.34 authorized (7/15/2014); Second distribution of \$311,298.11 authorized (1/16/2015); Third distribution of \$45,779.35 authorized (4/17/2015); Fourth distribution of \$17,204.59 authorized (7/17/2015) www.waddell.com
Zurich Capital Markets, Inc.	3-12628	5/7/2007	\$16,809,354.42	4/15/2010	5/15/2010	Penalties paid to affected mutual funds only; Distribution Plan approved (6/3/10); Distribution of \$17,264,322.93 authorized (12/2/2010); Residual balance of \$164,908.76 sent to U.S. Treasury and Fair Fund terminated (1/27/2015) www.zcmgroup.com
Total FAIR FUND Contributions (excluding accrued interest)			\$3,456,559,409.23			