

Edgar Filing: Pioneer Floating Rate Trust - Form N-Q

Pioneer Floating Rate Trust  
Form N-Q  
October 26, 2016

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM N-Q

QUARTERLY SCHEDULE OF PORTFOLIO HOLDINGS  
OF REGISTERED MANAGEMENT INVESTMENT COMPANY

Investment Company Act file number 811-21654

Pioneer Floating Rate Trust  
(Exact name of registrant as specified in charter)

60 State Street, Boston, MA 02109  
(Address of principal executive offices) (ZIP code)

Terrence J. Cullen, Pioneer Investment Management, Inc.,  
60 State Street, Boston, MA 02109  
(Name and address of agent for service)

Registrant's telephone number, including area code: (617) 742-7825

Date of fiscal year end: November 30

Date of reporting period: August 31, 2016

Form N-Q is to be used by management investment companies, other than small business investment companies registered on Form N-5 (239.24 and 274.5 of this chapter), to file reports with the Commission, not later than 60 days after close of the first and third fiscal quarters, pursuant to Rule 30b1-5 under the Investment Company Act of 1940 (17 CFR 270.30b1-5). The Commission may use the information provided on Form N-Q in its regulatory, disclosure review, inspection, and policymaking roles.

A registrant is required to disclose the information specified by Form N-Q, and the Commission will make this information public. A registrant is not required to respond to the collection of information contained in Form N-Q unless the Form displays a currently valid Office of Management and Budget ("OMB") control number. Please direct comments concerning the accuracy of the information collection burden estimate and any suggestions for reducing the burden to Secretary, Securities and Exchange Commission, 450 Fifth Street, NW, Washington, DC 20549-0609. The OMB has reviewed this collection of information under the clearance requirements of 44 U.S.C. ss. 3507.

<PAGE>

ITEM 1. Schedule of Investments.

File the schedules as of the close of the reporting period as set forth in ss. 210.12-12 12-14 of Regulation S-X [17 CFR 210.12-12 12-14]. The

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schedules need not be audited.

Pioneer Floating  
Rate Trust

NQ | August 31, 2016

Ticker Symbol: PHD

| Principal<br>Amount<br>USD (\$) |                                                                                  | Value        |
|---------------------------------|----------------------------------------------------------------------------------|--------------|
|                                 | SENIOR SECURED FLOATING<br>RATE LOAN INTERESTS - 132.4%<br>of Net Assets*(a)     |              |
|                                 | AUTOMOBILES & COMPONENTS -<br>6.8%                                               |              |
|                                 | Auto Parts & Equipment - 5.6%                                                    |              |
| 2,837,307                       | Allison Transmission, Inc., Term Loan<br>B-3, 3.5%, 8/23/19                      | \$ 2,848,109 |
| 2,370,000                       | BBB Industries US Holdings, Inc., First<br>Lien Initial Term Loan, 6.0%, 11/3/21 | 2,358,892    |
| 1,882,029                       | Cooper Standard Intermediate Holdco 2<br>LLC, Term Loan, 4.0%, 4/4/21            | 1,892,028    |
| 1,011,744                       | Electrical Components International,<br>Inc., Term Loan B, 5.75%, 5/28/21        | 1,012,376    |
| 1,680,630                       | Federal-Mogul Corp., Tranche C Term<br>Loan, 4.75%, 4/15/21                      | 1,606,753    |
| 910,245                         | Gates Global LLC, Initial Dollar Term<br>Loan, 4.25%, 7/6/21                     | 897,540      |
| 1,579,953                       | Key Safety Systems, Inc., Initial Term<br>Loan, 5.5%, 8/29/21                    | 1,583,903    |
| 1,637,910                       | MPG Holdco I, Inc., Initial Term Loan,<br>3.75%, 10/20/21                        | 1,641,749    |

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|           |                                                                                                                                                                 |                           |
|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| 1,345,315 | TI Group Automotive Systems LLC,<br>Initial US Term Loan, 4.5%, 6/30/22                                                                                         | 1,350,360                 |
| 2,045,816 | Tower Automotive Holdings USA<br>LLC, Refinancing Term Loan, 4.0%,<br>4/23/20                                                                                   | 2,041,980<br>\$17,233,690 |
| 1,885,645 | Automobile Manufacturers - 0.7%<br>Chrysler Group LLC, Term Loan B,<br>3.5%, 5/24/17                                                                            | \$ 1,891,370              |
| 466,667   | Visteon Corp., Initial Term Loan, 3.5%,<br>4/9/21                                                                                                               | 466,667<br>\$ 2,358,037   |
| 1,500,000 | Tires & Rubber - 0.5%<br>Goodyear Tire & Rubber Co., Second<br>Lien Term Loan, 3.75%, 4/30/19                                                                   | \$ 1,506,831              |
|           | Total Automobiles & Components                                                                                                                                  | \$21,098,558              |
| 927,336   | BANKS - 0.3%<br>Thrifts & Mortgage Finance - 0.3%<br>Ocwen Loan Servicing, Initial Term<br>Loan, 5.5%, 2/15/18                                                  | \$ 925,018                |
|           | Total Banks                                                                                                                                                     | \$ 925,018                |
| 1,323,822 | CAPITAL GOODS - 13.3%<br>Aerospace & Defense - 4.6%<br>Accudyne Industries Borrower<br>SCA/Accudyne Industries LLC,<br>Refinancing Term Loan, 4.0%,<br>12/13/19 | \$ 1,181,511              |
| 1,237,500 | Allion Science and Technology Corp.,<br>First Lien Term Loan, 5.5%, 8/19/21                                                                                     | 1,190,063                 |
| 1,571,455 | BE Aerospace, Inc., Term Loan, 3.75%,<br>12/16/21                                                                                                               | 1,587,496                 |
| 1,349,806 | DAE Aviation Holdings, Inc., Initial<br>Term Loan, 5.25%, 7/7/22                                                                                                | 1,354,024                 |
| 1,982,128 | Digitalglobe, Inc., Term Loan, 4.75%,<br>1/31/20                                                                                                                | 1,999,041                 |
| 1,500,000 | DynCorp International, Inc., Term Loan<br>B2, 7.75%, 7/7/20                                                                                                     | 1,500,782                 |
| 246,899   | IAP Worldwide Services, Inc., First<br>Lien Term Loan, 8.0%, 7/18/19                                                                                            | 224,678                   |
| 1,852,500 | Turbocombustor Technology, Inc.,<br>Initial Term Loan, 5.5%, 12/2/20                                                                                            | 1,593,150                 |
| 1,486,791 | Vencore, Inc. (fka SI Organization,<br>Inc.), First Lien Initial Term Loan,<br>5.75%, 11/23/19                                                                  | 1,490,199                 |
| 1,797,017 | WP CPP Holdings LLC, First Lien<br>Term B-3 Loan, 4.5%, 12/28/19                                                                                                | 1,737,490                 |
| 334,900   | WP CPP Holdings LLC, Second Lien<br>Term Loan B-1, 8.75%, 4/30/21                                                                                               | 303,084<br>\$14,161,518   |

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|                           |                                                                                                         |              |
|---------------------------|---------------------------------------------------------------------------------------------------------|--------------|
|                           | Building Products - 2.5%                                                                                |              |
| 1,162,088                 | Armstrong World Industries, Inc., Term Loan B, 4.0%, 3/31/23                                            | \$ 1,165,477 |
| 1,496,645                 | Builders FirstSource, Inc., Term Loan B, 4.75%, 7/31/22                                                 | 1,503,193    |
| 328,264                   | NCI Building Systems, Inc., Tranche B Term Loan, 5.75%, 6/24/19                                         | 328,726      |
| 1,472,673                 | Quikrete Holdings, Inc., Initial First Lien Loan, 4.0%, 9/28/20                                         | 1,479,730    |
| 1,692,900                 | Summit Materials LLC, Restatement Effective Date Term Loan, 4.0%, 7/18/22                               | 1,698,984    |
| 1,445,096                 | Unifrax Holding Co., New Term B Dollar Loan, 4.25%, 11/28/18                                            | 1,426,355    |
|                           |                                                                                                         | \$ 7,602,465 |
|                           | Construction Machinery & Heavy Trucks - 1.5%                                                            |              |
| 441,558                   | Doosan Infracore International, Inc. (Doosan Holdings Europe, Ltd.), Tranche B Term Loan, 4.5%, 5/28/21 | \$ 444,307   |
| 585,940                   | Engility Corp. (fka TASC, Inc.), Term B2 Loan, 5.75%, 8/14/23                                           | 591,250      |
| 1,055,769                 | Manitowoc Co., Inc., Term B Loan, 5.75%, 3/3/23                                                         | 1,070,933    |
| 1,607,850                 | Navistar, Inc., Tranche B Term Loan, 6.5%, 8/7/20                                                       | 1,523,438    |
| 840,956                   | Terex Corp., US Term Loan, 3.5%, 8/13/21                                                                | 837,803      |
|                           |                                                                                                         | \$ 4,467,731 |
|                           | Electrical Components & Equipment - 1.7%                                                                |              |
| 1,961,122                 | Pelican Products, Inc., First Lien Term Loan, 5.25%, 4/10/20                                            | \$ 1,926,803 |
| 585,841                   | Southwire Company LLC, Initial Term Loan, 3.0%, 2/10/21                                                 | 581,691      |
| 1,290,128                 | WireCo WorldGroup, Inc., Term Loan B, 0.0%, 7/21/23                                                     | 1,296,983    |
| 1,554,807                 | WireCo WorldGroup, Inc., Term Loan, 6.0%, 2/15/17                                                       | 1,563,068    |
|                           |                                                                                                         | \$ 5,368,545 |
| Principal Amount USD (\$) |                                                                                                         | Value        |
|                           | Industrial Conglomerates - 0.9%                                                                         |              |
| 992,907                   | Filtration Group Corp., First Lien Term Loan, 4.25%, 11/20/20                                           | \$ 993,031   |
| 429,508                   | Filtration Group Corp., Second Lien Initial Term Loan, 8.25%, 11/22/21                                  | 424,878      |
| 167,494                   | Kleopatra Holdings 2 SCA, Initial German Borrower Dollar Term Loan, 5.0%, 4/28/20                       | 168,680      |

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|           |                                                                                            |              |
|-----------|--------------------------------------------------------------------------------------------|--------------|
| 391,935   | Kleopatra Holdings 2 SCA, Initial US Borrower Dollar Term Loan, 5.0%, 4/28/20              | 394,711      |
| 927,161   | Milacron LLC, Term Loan, 4.25%, 9/28/20                                                    | 931,508      |
|           |                                                                                            | \$ 2,912,808 |
| 870,533   | Industrial Machinery - 1.5% Gardner Denver, Inc., Initial Dollar Term Loan, 4.25%, 7/30/20 | \$ 827,732   |
| 1,970,000 | Mueller Water Products, Inc., Initial Term Loan, 4.0%, 11/24/21                            | 1,981,491    |
| 1,736,875 | NN, Inc., Initial Term Loan, 5.75%, 10/19/22                                               | 1,733,257    |
|           |                                                                                            | \$ 4,542,480 |
|           | Trading Companies & Distributors - 0.6%                                                    |              |
| 1,157,114 | AWAS Finance Luxembourg 2012 SA, Term Loan, 3.5%, 7/16/18                                  | \$ 1,163,985 |
| 650,124   | WESCO Distribution, Inc., Tranche B-1 Loan, 3.75%, 12/12/19                                | 652,155      |
|           |                                                                                            | \$ 1,816,140 |
|           | Total Capital Goods                                                                        | \$40,871,687 |
|           | COMMERCIAL & PROFESSIONAL SERVICES - 6.1%                                                  |              |
|           | Diversified Support Services - 1.8%                                                        |              |
| 771,425   | DH Publishing LP, Term B-3 Loan, 4.0%, 8/19/22                                             | \$ 772,954   |
| 1,059,539 | InfoGroup, Inc., Term Loan B, 7.0%, 5/28/18                                                | 1,044,970    |
| 699,120   | KAR Auction Services, Inc., Tranche B-2 Term Loan, 3.938%, 3/11/21                         | 701,888      |
| 534,945   | Language Line LLC, First Lien Initial Term Loan, 6.5%, 7/7/21                              | 536,171      |
| 1,497,916 | Language Line LLC, Second Lien Initial Term Loan, 10.75%, 7/7/22                           | 1,501,661    |
| 937,500   | Ryan LLC, Tranche B Term Loan, 6.75%, 8/7/20                                               | 923,437      |
|           |                                                                                            | \$ 5,481,081 |
|           | Environmental & Facilities Services - 2.5%                                                 |              |
| 566,079   | ADS Waste Holdings, Inc., Initial Tranche B-2 Term Loan, 3.75%, 10/9/19                    | \$ 565,725   |
| 500,000   | Infiltrator Systems Integrated LLC, Second Lien Term Loan, 9.75%, 5/26/23                  | 498,750      |
| 975,000   | Safway Group Holding LLC, Initial Term Loan, 5.75%, 8/21/23                                | 978,656      |
| 856,901   | US Ecology, Inc., Term Loan, 3.75%, 6/17/21                                                | 861,185      |

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|-----------|---------------------------------------------------------------------------|--------------|
| 735,688   | Waste Industries USA, Inc., Term B Loan, 3.5%, 2/27/20                    | 738,332      |
| 608,416   | Wastequip LLC, Term Loan, 5.5%, 8/9/19                                    | 608,797      |
| 1,741,802 | WCA Waste Systems, Inc., Term Loan B, 0.0%, 8/12/23                       | 1,742,347    |
| 471,743   | Wheelabrator Technologies, Inc., First Lien Term B Loan, 5.0%, 12/17/21   | 461,522      |
| 21,073    | Wheelabrator Technologies, Inc., First Lien Term C Loan, 5.0%, 12/17/21   | 20,616       |
| 1,500,000 | Wheelabrator Technologies, Inc., Second Lien Term B Loan, 8.25%, 12/19/22 | 1,419,000    |
|           |                                                                           | \$ 7,894,930 |
|           | Human Resource & Employment Services - 0.2%                               |              |
| 584,881   | On Assignment, Inc., Tranche B-1 Term Loan, 3.5%, 6/3/22                  | \$ 586,343   |
|           | Office Services & Supplies - 0.2%                                         |              |
| 650,000   | West Corp., Term B-12 Loan, 3.75%, 6/17/23                                | \$ 652,925   |
|           | Security & Alarm Services - 1.4%                                          |              |
| 176,968   | Garda Security, Term B Delayed Draw Loan, 5.5%, 11/6/20                   | \$ 174,756   |
| 1,399,067 | Garda Security, Term B Loan, 5.5%, 11/6/20                                | 1,381,578    |
| 1,154,689 | GEO Group, Inc., Term Loan, 3.25%, 4/3/20                                 | 1,108,502    |
| 1,114,450 | Protection One, Inc., First Lien Term B Loan, 4.75%, 7/1/21               | 1,126,987    |
| 500,000   | Protection One, Inc., First Lien Term B-1 Loan, 4.75%, 5/2/22             | 506,016      |
|           |                                                                           | \$ 4,297,839 |
|           | Total Commercial & Professional Services                                  | \$18,913,118 |
|           | CONSUMER DURABLES & APPAREL - 2.7%                                        |              |
|           | Home Furnishings - 0.6%                                                   |              |
| 1,867,406 | Serta Simmons Holdings LLC, Term Loan, 4.25%, 10/1/19                     | \$ 1,875,284 |
|           | Housewares & Specialties - 1.9%                                           |              |
| 1,475,000 | GP Investments Acquisition Corp., Term Loan, 0.0%, 6/22/23                | \$ 1,427,063 |
| 787,302   | Prestige Brands, Inc., Term B-3 Loan, 5.25%, 9/3/21                       | 790,624      |
| 2,050,949 | Reynolds Group Holdings, Inc., US Term Loan, 4.25%, 2/5/23                | 2,057,231    |
| 1,486,545 | World Kitchen LLC, US Term Loan, 5.5%, 3/4/19                             | 1,486,545    |
|           |                                                                           | \$ 5,761,463 |

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| Principal<br>Amount<br>USD (\$) |                                                                               | Value                     |
|---------------------------------|-------------------------------------------------------------------------------|---------------------------|
|                                 | Leisure Products - 0.2%                                                       |                           |
| 329,028                         | Bombardier Recreational Products, Inc.,<br>Term B Loan, 3.75%, 6/30/23        | \$ 328,822                |
| 403,406                         | Marine Acquisition Corp., Term Loan,<br>5.25%, 1/30/21                        | 402,776<br>\$ 731,598     |
|                                 | Total Consumer Durables & Apparel                                             | \$ 8,368,345              |
|                                 | CONSUMER SERVICES - 10.4%                                                     |                           |
|                                 | Casinos & Gaming - 1.5%                                                       |                           |
| 840,007                         | CityCenter Holdings LLC, Term B<br>Loan, 4.25%, 10/16/20                      | \$ 845,870                |
| 792,748                         | Eldorado Resorts, Inc., Initial Term<br>Loan, 4.25%, 7/25/22                  | 794,069                   |
| 2,968,092                       | Scientific Games International, Inc.,<br>Initial Term B-2 Loan, 6.0%, 10/1/21 | 2,970,410<br>\$ 4,610,349 |
|                                 | Education Services - 3.0%                                                     |                           |
| 3,405,238                       | Bright Horizons Family Solutions LLC,<br>Term B Loan, 5.25%, 1/30/20          | \$ 3,421,201              |
| 1,740,764                       | Cengage Learning, Inc., 2016<br>Refinancing Term Loan, 5.25%,<br>5/27/23      | 1,740,919                 |
| 1,465,327                       | Laureate Education, Inc., Series 2021<br>Extended Term Loan, 8.157%, 3/17/21  | 1,460,748                 |
| 2,512,220                       | Nord Anglia Education Finance LLC,<br>Initial Term Loan, 5.0%, 3/31/21        | 2,518,501<br>\$ 9,141,369 |
|                                 | Hotels, Resorts & Cruise Lines - 0.4%                                         |                           |
| 49,422                          | Hilton Worldwide Finance LLC, Series<br>B-1 Term Loan, 3.5%, 10/26/20         | \$ 49,623                 |
| 506,499                         | Hilton Worldwide Finance LLC, Series<br>B-2 Term Loan, 3.096%, 10/25/23       | 509,664                   |
| 798,503                         | Sabre, Inc., Term B Loan, 4.0%,<br>2/19/19                                    | 802,696<br>\$ 1,361,983   |
|                                 | Leisure Facilities - 1.7%                                                     |                           |
| 842,076                         | Cedar Fair LP, US Term Facility,<br>3.25%, 3/6/20                             | \$ 847,203                |
| 2,169,050                       | Fitness International LLC, Term B<br>Loan, 5.5%, 7/1/20                       | 2,167,017                 |
| 864,554                         | Life Time Fitness, Inc., Closing Date<br>Term Loan, 4.25%, 6/10/22            | 865,005                   |
| 1,286,450                       | Six Flags Theme Parks, Inc., Tranche B<br>Term Loan, 3.25%, 6/30/22           | 1,291,274<br>\$ 5,170,499 |

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|           |                                                                                                                                                         |              |
|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| 751,334   | Restaurants - 2.1%<br>1011778 BC Unlimited Liability Co.<br>(New Red Finance, Inc.) (aka Burger<br>King/Tim Hortons), Term B-2 Loan,<br>3.75%, 12/10/21 | \$ 755,560   |
| 1,946,858 | Landry's, Inc. (fka Landry's<br>Restaurants, Inc.), Term Loan B, 4.0%,<br>4/24/18                                                                       | 1,951,421    |
| 1,742,136 | NPC International, Inc., Term Loan,<br>4.75%, 12/28/18                                                                                                  | 1,746,492    |
| 1,965,000 | Red Lobster Management LLC, First<br>Lien Initial Term Loan, 6.25%, 7/28/21                                                                             | 1,969,913    |
|           |                                                                                                                                                         | \$ 6,423,386 |
| 834,437   | Specialized Consumer Services - 1.7%<br>Allied Universal Holdco LLC (fka<br>USAGM Holdco LLC), Incremental<br>Term Loan, 5.5%, 7/28/22                  | \$ 821,921   |
| 2,462,500 | Creative Artists Agency LLC, Initial<br>Term Loan, 5.0%, 12/17/21                                                                                       | 2,470,195    |
| 1,736,875 | KC MergerSub, Inc., First Lien Initial<br>Term Loan, 6.0%, 8/12/22                                                                                      | 1,745,559    |
| 380,858   | Weight Watchers International, Inc.,<br>Initial Tranche B-2 Term Loan, 4.0%,<br>4/2/20                                                                  | 293,261      |
|           |                                                                                                                                                         | \$ 5,330,936 |
|           | Total Consumer Services                                                                                                                                 | \$32,038,522 |
|           | DIVERSIFIED FINANCIALS - 3.3%                                                                                                                           |              |
|           | Asset Management & Custody Banks -<br>0.5%                                                                                                              |              |
| 1,498,761 | Vistra Group Ltd., USD Term Loan,<br>4.75%, 10/26/22                                                                                                    | \$ 1,496,888 |
|           | Consumer Finance - 0.5%                                                                                                                                 |              |
| 1,368,505 | Trans Union LLC, Term B-2 Loan,<br>3.5%, 4/9/21                                                                                                         | \$ 1,373,148 |
|           | Investment Banking & Brokerage -<br>0.9%                                                                                                                |              |
| 1,185,855 | Duff & Phelps Corp., Initial Term<br>Loan, 4.75%, 4/23/20                                                                                               | \$ 1,186,596 |
| 729,375   | Guggenheim Partners Investment<br>Management Holdings LLC, Initial<br>Term Loan, 4.25%, 7/22/20                                                         | 731,541      |
| 103,981   | LPL Holdings, Inc., 2021 Tranche B<br>Term Loan, 4.25%, 3/29/21                                                                                         | 104,631      |
| 742,500   | MJ Acquisition Corp., Term Loan,<br>4.0%, 6/1/22                                                                                                        | 745,284      |
|           |                                                                                                                                                         | \$ 2,768,052 |
|           | Other Diversified Financial Services -<br>1.0%                                                                                                          |              |
| 325,000   | Delos Finance S.a.r.l., Term Loan,<br>3.5%, 3/6/21                                                                                                      | \$ 326,625   |



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|                                 |                                                                                                                                   |              |
|---------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|--------------|
| 778,296                         | Fly Funding II S.a.r.l., Term Loan,<br>3.54%, 8/9/19                                                                              | 779,026      |
| 1,988,500                       | Livingston International, Inc., First Lien<br>Initial Term B-1 Loan, 5.0%, 4/18/19                                                | 1,858,005    |
|                                 |                                                                                                                                   | \$ 2,963,656 |
| Principal<br>Amount<br>USD (\$) |                                                                                                                                   | Value        |
| 1,236,225                       | Specialized Finance - 0.4%<br>DBRS, Ltd., Initial Term Loan, 6.25%,<br>3/4/22                                                     | \$ 1,213,561 |
|                                 | Total Diversified Financials                                                                                                      | \$ 9,815,305 |
| 783,333                         | ENERGY - 4.1%<br>Coal & Consumable Fuels - 0.1%<br>PT Bumi Resources Tbk, Term Loan,<br>18.0%, 11/4/16                            | \$ 178,208   |
| 1,402,664                       | Integrated Oil & Gas - 0.4%<br>TerraForm AP Acquisition Holdings<br>LLC, Term Loan, 7.0%, 6/27/22                                 | \$ 1,381,624 |
| 2,600,000                       | Oil & Gas Drilling - 0.7%<br>Jonah Energy LLC, Second Lien Initial<br>Term Loan, 7.5%, 5/12/21                                    | \$ 2,275,000 |
| 1,647,256                       | Oil & Gas Equipment & Services -<br>0.2%<br>FR Dixie Acquisition Corp., Term<br>Loan, 5.75%, 12/18/20                             | \$ 634,194   |
| 1,000,000                       | Oil & Gas Exploration & Production -<br>1.9%<br>California Resources Corp., Term Loan,<br>0.0%, 12/31/21                          | \$ 1,047,500 |
| 1,000,000                       | Chesapeake Energy Corp., Term Loan<br>Class A, 0.0%, 8/23/21                                                                      | 1,031,042    |
| 1,378,942                       | EP Energy LLC (fka Everest<br>Acquisition LLC), Term Loan, 9.75%,<br>6/30/21                                                      | 1,356,966    |
| 2,330,000                       | Gulf Finance LLC, Tranche B Term<br>Loan, 0.0%, 8/25/23                                                                           | 2,268,838    |
|                                 |                                                                                                                                   | \$ 5,704,346 |
| 896,252                         | Oil & Gas Refining & Marketing -<br>0.5%<br>Pilot Travel Centers LLC, 2016<br>Refinancing Tranche B Term Loan,<br>3.274%, 5/25/23 | \$ 901,741   |
| 567,254                         | Western Refining, Inc., Term Loan<br>2013, 5.25%, 11/12/20                                                                        | 555,436      |
|                                 |                                                                                                                                   | \$ 1,457,177 |
| 1,000,000                       | Oil & Gas Storage & Transportation -<br>0.3%<br>Energy Transfer Equity LP, 2013 Term<br>Loan, 3.292%, 12/2/19                     | \$ 984,688   |

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|           |                                                                                                 |                     |
|-----------|-------------------------------------------------------------------------------------------------|---------------------|
|           | Total Energy                                                                                    | \$12,615,237        |
|           | <b>FOOD &amp; STAPLES RETAILING -</b>                                                           |                     |
|           | 2.4%                                                                                            |                     |
|           | Drug Retail - 0.5%                                                                              |                     |
| 1,710,100 | Hearthside Group Holdings LLC, Term Loan, 4.5%, 6/2/21                                          | \$ 1,709,501        |
|           | Food Distributors - 1.3%                                                                        |                     |
| 694,505   | CTI Foods Holding Co., LLC, First Lien Term Loan, 4.5%, 6/29/20                                 | \$ 670,198          |
| 1,000,000 | CTI Foods Holding Co., LLC, Second Lien Term Loan, 8.25%, 6/28/21                               | 895,000             |
| 2,425,092 | Mill US Acquisition, First Lien Term Loan, 5.0%, 7/3/20                                         | 2,306,869           |
|           |                                                                                                 | \$ 3,872,067        |
|           | Food Retail - 0.6%                                                                              |                     |
| 1,389,375 | Albertson's LLC, Term B-6 Loan, 4.75%, 6/22/23                                                  | \$ 1,398,406        |
| 492,500   | Packers Holdings LLC, Term Loan, 4.75%, 12/2/21                                                 | 494,963             |
|           |                                                                                                 | \$ 1,893,369        |
|           | <b>Total Food &amp; Staples Retailing</b>                                                       | <b>\$ 7,474,937</b> |
|           | <b>FOOD, BEVERAGE &amp; TOBACCO -</b>                                                           |                     |
|           | 3.7%                                                                                            |                     |
|           | Packaged Foods & Meats - 3.7%                                                                   |                     |
| 388,734   | AdvancePierre Foods, Inc., Term Loan, 4.5%, 6/2/23                                              | \$ 391,164          |
| 1,650,000 | Amplify Snack Brands, Inc., Term Loan, 0.0%, 8/24/23                                            | 1,643,125           |
| 1,000,000 | Del Monte Foods, Inc., Second Lien Initial Term Loan, 8.25%, 8/18/21                            | 718,750             |
| 1,243,275 | Dole Food Co., Inc., Tranche B Term Loan, 4.5%, 11/1/18                                         | 1,248,196           |
| 1,500,000 | Give and Go Prepared Foods Corp., First Lien Term Loan, 6.5%, 7/29/23                           | 1,497,500           |
| 995,000   | JBS USA LLC, Incremental Term Loan, 4.0%, 10/30/22                                              | 995,415             |
| 1,420,000 | Maple Holdings Acquisition Corp. (aka Keuring Green Mountain, Inc.), Term Loan B, 5.25%, 3/3/23 | 1,435,975           |
| 1,945,801 | Pinnacle Foods Finance LLC, New Term Loan G, 3.252%, 4/29/20                                    | 1,954,314           |
| 1,473,750 | Shearer's Foods LLC, First Lien Term Loan, 4.938%, 6/30/21                                      | 1,458,091           |
|           | <b>Total Food, Beverage &amp; Tobacco</b>                                                       | <b>\$11,342,530</b> |
|           | <b>HEALTH CARE EQUIPMENT &amp; SERVICES - 14.2%</b>                                             |                     |
|           | Health Care Facilities - 4.0%                                                                   |                     |
| 422,875   |                                                                                                 | \$ 425,870          |

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|                           |                                                                                                 |              |
|---------------------------|-------------------------------------------------------------------------------------------------|--------------|
| 686,000                   | Acadia Healthcare Co., Inc., Tranche B-2 Term Loan, 4.5%, 2/16/23                               |              |
| 800,000                   | AmSurg Corp., Initial Term Loan, 3.5%, 7/16/21                                                  | 687,415      |
| 264,935                   | ATI Holdings Acquisition, Inc., First Lien Initial Term Loan, 5.5%, 5/10/23                     | 804,666      |
| 279,573                   | CHS/Community Health Systems, Inc., Incremental 2018 Term F Loan, 4.083%, 12/31/18              | 261,697      |
| 514,406                   | CHS/Community Health Systems, Inc., Incremental 2019 Term G Loan, 3.75%, 12/31/19               | 268,440      |
| 1,564,386                 | CHS/Community Health Systems, Inc., Incremental 2021 Term H Loan, 4.0%, 1/27/21                 | 493,687      |
| 1,988,196                 | Iasis Healthcare LLC, Term B-2 Loan, 4.5%, 5/3/18                                               | 1,550,697    |
|                           | Kindred Healthcare, Inc., Incremental Term Loan, 4.25%, 4/9/21                                  | 1,974,528    |
| Principal Amount USD (\$) |                                                                                                 | Value        |
|                           | Health Care Facilities - (continued)                                                            |              |
| 2,000,000                 | Prospect Medical Holdings, Inc., Term Loan, 7.0%, 6/30/22                                       | \$ 1,976,200 |
| 1,072,313                 | Quorum Health Corp., Term Loan, 6.75%, 4/29/22                                                  | 1,025,399    |
| 418,152                   | Select Medical Corp., Series E, Tranche B Term Loan, 6.0%, 6/1/18                               | 418,936      |
| 997,500                   | Select Medical Corp., Series F, Tranche B Term Loan, 6.0%, 3/3/21                               | 1,006,852    |
| 1,496,250                 | Vizient, Inc., Initial Term Loan, 6.25%, 2/13/23                                                | 1,515,577    |
|                           |                                                                                                 | \$12,409,964 |
|                           | Health Care Services - 7.0%                                                                     |              |
| 980,000                   | Aegis Toxicology Sciences Corp., Initial First Lien Term Loan, 5.5%, 2/24/21                    | \$ 891,800   |
| 1,110,111                 | Alliance Healthcare Services, Inc., Initial Term Loan, 4.25%, 6/3/19                            | 1,062,007    |
| 265,618                   | Ardent Legacy Acquisitions, Inc. (Ardent Mergerco LLC), Term Loan, 6.5%, 8/4/21                 | 265,950      |
| 607,394                   | Bioscrip, Inc., Initial Term B Loan, 6.5%, 7/31/20                                              | 583,099      |
| 364,437                   | Bioscrip, Inc., Term Loan, 6.5%, 7/31/20                                                        | 349,859      |
| 865,683                   | BSN Medical Luxembourg Holding S.a.r.l. (P & F Capital), Facility Term Loan B-1A, 4.0%, 8/28/19 | 861,354      |
| 1,323,631                 | (b)                                                                                             | 231,635      |

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|           |                                                                                                          |              |
|-----------|----------------------------------------------------------------------------------------------------------|--------------|
|           | CCS Medical, Inc., Second Lien Term Loan, 12.5%<br>(12.5% PIK 0% Cash), 5/1/18                           |              |
| 871,204   | DaVita HealthCare Partners, Inc., Term Loan B2, 3.5%, 6/24/21                                            | 876,195      |
| 1,157,828 | Emergency Medical Services Corp., Initial Term Loan, 4.25%, 5/25/18                                      | 1,160,180    |
| 472,625   | Envision Healthcare Corp. ( fka Emergency Medical Services Corp.), Tranche B-2 Term Loan, 4.5%, 10/28/22 | 474,313      |
| 1,470,000 | Genex Holdings, Inc., First Lien Term B Loan, 5.25%, 5/28/21                                             | 1,459,894    |
| 1,346,500 | Genoa, Healthcare Co., LLC, Initial First Lien Term Loan, 4.5%, 4/29/22                                  | 1,353,232    |
| 744,384   | Global Healthcare Exchange LLC, Initial Term Loan, 5.25%, 8/15/22                                        | 746,091      |
| 900,000   | Gold Merger Co., Inc. (aka ExamWorks Group, Inc.), Initial Term Loan, 4.75%, 7/27/23                     | 903,094      |
| 990,000   | HC Group Holdings III, Inc., Initial Term Loan, 6.0%, 4/7/22                                             | 991,237      |
| 1,243,869 | National Mentor Holdings, Inc., Tranche B Term Loan, 4.25%, 1/31/21                                      | 1,247,562    |
| 351,999   | National Surgical Hospitals, Inc., Term Loan, 4.5%, 6/1/22                                               | 349,571      |
| 937,774   | NVA Holdings, Inc., First Lien Term Loan, 4.75%, 8/14/21                                                 | 938,946      |
| 903,375   | Pharmaceutical Product Development, First Lien Term B Loan, 4.25%, 8/18/22                               | 907,440      |
| 1,225,000 | Precyse Acquisition Corp., First Lien Initial Term Loan, 6.5%, 10/20/22                                  | 1,229,594    |
| 1,508,683 | Steward Health Care System LLC, Term Loan, 6.75%, 4/10/20                                                | 1,509,588    |
| 985,000   | Surgery Center Holdings, Inc., Initial Term Loan, 5.25%, 11/3/20                                         | 986,847      |
| 1,787,900 | US Renal Care, Inc., First Lien Term Loan, 5.25%, 12/30/22                                               | 1,747,225    |
| 562,175   | Valitas Health Services, Inc., Term Loan B, 8.0%, 6/2/17                                                 | 297,953      |
|           |                                                                                                          | \$21,424,666 |
|           | Health Care Supplies - 1.6%                                                                              |              |
| 968,736   | Alere, Inc., Term Loan B, 4.25%, 6/20/22                                                                 | \$ 960,865   |
| 1,343,250 | Greatbatch Ltd., Term B Loan, 5.25%, 10/27/22                                                            | 1,328,978    |
| 559,300   | Halyard Health, Inc., Term Loan, 4.0%, 11/1/21                                                           | 559,999      |
| 860,259   | Kinetic Concepts, Inc., Dollar Term F Loan, 5.0%, 11/4/20                                                | 865,421      |

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|                                 |     |                                                                                            |                           |
|---------------------------------|-----|--------------------------------------------------------------------------------------------|---------------------------|
| 1,329,950                       |     | Sterigenics-Nordion Holdings LLC,<br>Initial Term Loan, 4.25%, 5/16/22                     | 1,329,950<br>\$ 5,045,213 |
|                                 |     | Health Care Technology - 1.4%                                                              |                           |
| 1,227,294                       |     | ConvaTec, Inc., Dollar Term Loan,<br>4.25%, 6/15/20                                        | \$ 1,232,472              |
| 2,034,883                       |     | Emdeon, Inc., Term B-2 Loan, 3.75%,<br>11/2/18                                             | 2,037,426                 |
| 196,500                         |     | Emdeon, Inc., Term B-3 Loan, 3.75%,<br>11/2/18                                             | 196,500                   |
| 1,125,775                       | (c) | Medical Card System, Inc., Term Loan,<br>1.5%, 5/31/19                                     | 731,754<br>\$ 4,198,152   |
|                                 |     | Managed Health Care - 0.2%                                                                 |                           |
| 431,720                         | (d) | MMM Holdings, Inc., MMM Term<br>Loan, 9.75%, 12/12/17                                      | \$ 379,914                |
| 313,859                         | (d) | MSO of Puerto Rico, Inc., Term Loan,<br>9.75%, 12/12/17                                    | 276,196<br>\$ 656,110     |
|                                 |     | Total Health Care Equipment &<br>Services                                                  | \$43,734,105              |
|                                 |     | HOUSEHOLD & PERSONAL<br>PRODUCTS - 1.2%                                                    |                           |
|                                 |     | Household Products - 0.4%                                                                  |                           |
| 734,108                         |     | Spectrum Brands, Inc., USD Term<br>Loan, 3.5%, 6/23/22                                     | \$ 737,779                |
| 73,770                          |     | Wash Multifamily Parent, Inc., First<br>Lien Initial Canadian Term Loan,<br>4.25%, 5/16/22 | 73,677                    |
| 421,229                         |     | Wash Multifamily Parent, Inc., First<br>Lien Initial US Term Loan, 4.25%,<br>5/16/22       | 420,703<br>\$ 1,232,159   |
| Principal<br>Amount<br>USD (\$) |     |                                                                                            | Value                     |
|                                 |     | Personal Products - 0.8%                                                                   |                           |
| 1,243,638                       |     | NBTY, Inc., Dollar Term Loan B,<br>5.0%, 5/5/23                                            | \$ 1,245,659              |
| 793,956                         |     | Party City Holdings, Inc., Term Loan,<br>4.25%, 8/19/22                                    | 796,224                   |
| 500,000                         |     | Revlon Consumer Products Corp.,<br>Term Loan B, 0.0%, 7/21/23                              | 500,893<br>\$ 2,542,776   |
|                                 |     | Total Household & Personal Products                                                        | \$ 3,774,935              |
|                                 |     | INSURANCE - 2.5%                                                                           |                           |
|                                 |     | Insurance Brokers - 0.8%                                                                   |                           |
| 1,642,220                       |     | Integro, Ltd., Term Loan B-1, 6.75%,<br>10/31/22                                           | \$ 1,617,586              |

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|           |                                                                                                                              |                           |
|-----------|------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| 982,509   | National Financial Partners Corp., 2014 Specified Refinancing Term Loan, 4.5%, 7/1/20                                        | 981,632<br>\$ 2,599,218   |
| 360,987   | Multi-Line Insurance - 0.1%<br>Alliant Holdings I LLC, Term Loan B, 4.5%, 8/12/22                                            | \$ 359,859                |
| 2,386,954 | Property & Casualty Insurance - 1.6%<br>Confie Seguros Holding II Co., First Lien Term Loan B, 5.75%, 11/9/18                | \$ 2,375,019              |
| 500,000   | Confie Seguros Holding II Co., Second Lien Term Loan, 10.25%, 5/8/19                                                         | 489,167                   |
| 1,906,282 | USI, Inc., Initial Term Loan, 4.25%, 12/27/19                                                                                | 1,905,289<br>\$ 4,769,475 |
|           | Total Insurance                                                                                                              | \$ 7,728,552              |
|           | MATERIALS - 14.8%                                                                                                            |                           |
| 1,048,679 | Commodity Chemicals - 0.3%<br>Tronox Pigments (Netherlands) BV, Closing Date Term Loan, 4.5%, 3/19/20                        | \$ 1,036,357              |
| 252,915   | Construction Materials - 0.8%<br>Faenza Acquisition GmbH (CeramTec Acquisition Corp.), Dollar Term B-3 Loan, 4.25%, 8/30/20  | \$ 254,022                |
| 827,476   | Faenza Acquisition GmbH (CeramTec Acquisition Corp.), Initial Dollar Term B-1 Loan, 4.25%, 8/30/20                           | 831,096                   |
| 91,719    | Faenza Acquisition GmbH (CeramTec Acquisition Corp.), Initial Dollar Term B-2 Loan, 4.25%, 8/30/20                           | 92,120                    |
| 600,000   | Headwaters, Inc., Term B-1 Loan, 4.0%, 3/24/22                                                                               | 601,500                   |
| 589,500   | Penn Engineering & Manufacturing Corp., Incremental Tranche B Term Loan, 4.0%, 8/27/21                                       | 590,974<br>\$ 2,369,712   |
| 299,420   | Diversified Chemicals - 3.0%<br>Allnex (Luxembourg) & Cy SCA (fka AI Chem & Cy SCA),<br>Tranche B-2 Term Loan, 0.0%, 4/17/23 | \$ 301,385                |
| 225,579   | Allnex (Luxembourg) & Cy SCA (fka AI Chem & Cy SCA),<br>Tranche B-3 Term Loan, 0.0%, 4/17/23                                 | 227,060                   |
| 1,586,569 | Axalta Coating Systems Dutch Holding B BV & Axalta Coating Systems US Holdings, Inc., Refinanced Term B Loan, 3.75%, 2/1/20  | 1,596,609                 |
| 1,230,072 | Azelis Finance SA (Azelis US Holdings, Inc.), First Lien Dollar Term Loan, 6.5%, 12/16/22                                    | 1,242,886                 |

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|                           |                                                                                                                                                      |              |
|---------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| 1,700,000                 | Nexeo Solutions LLC, Initial Term Loan, 5.25%, 6/9/23                                                                                                | 1,704,250    |
| 591,957                   | Orion Engineered Carbons GmbH (OEC Finance US LLC), Initial Dollar Term Loan, 4.75%, 7/25/21                                                         | 593,252      |
| 621,875                   | Plaskolite LLC, First Lien Term Loan, 7.0%, 11/3/22                                                                                                  | 623,818      |
| 325,000                   | Royal Holdings, Inc., Second Lien Initial Term Loan, 8.5%, 6/19/23                                                                                   | 320,938      |
| 835,698                   | Tata Chemicals North America, Term Loan, 3.75%, 8/7/20                                                                                               | 834,653      |
| 1,821,238                 | Univar USA, Inc., Initial Dollar Term Loan, 4.25%, 7/1/22                                                                                            | 1,821,048    |
|                           |                                                                                                                                                      | \$ 9,265,899 |
| 1,534,469                 | Diversified Metals & Mining - 2.7% FMG Resources (August 2006) Pty, Ltd. (FMG America Finance, Inc.), Term Loan, 3.75%, 6/30/19                      | \$ 1,526,660 |
| 1,750,000                 | Global Brass and Copper, Inc., Initial Term Loan, 5.25%, 7/18/23                                                                                     | 1,760,938    |
| 977,500                   | Hi-Crush Partners LP, Advance, 4.75%, 4/28/21                                                                                                        | 901,744      |
| 1,058,021                 | Monitronics International, Inc., 2013 Term Loan B, 4.25%, 3/23/18                                                                                    | 1,053,172    |
| 2,153,250                 | Novelis, Inc., Initial Term Loan, 4.0%, 6/2/22                                                                                                       | 2,159,979    |
| 998,130                   | US Silica Co., Term Loan, 4.0%, 7/23/20                                                                                                              | 956,957      |
|                           |                                                                                                                                                      | \$ 8,359,450 |
| 1,732,500                 | Fertilizers & Agricultural Chemicals - 0.6% Methanol Holdings (Trinidad), Ltd. (Methanol Holdings (Delaware) LLC), Initial Term Loan, 4.25%, 6/30/22 | \$ 1,723,837 |
| 1,218,054                 | Metal & Glass Containers - 2.2% Berry Plastics Corp., Term H Loan, 3.75%, 10/1/22                                                                    | \$ 1,221,183 |
| 1,448,396                 | BWay Intermediate Co., Inc., Initial Term Loan, 5.5%, 8/14/20                                                                                        | 1,455,337    |
| 794,003                   | Prolampac Intermediate, Inc., First Lien Term B Loan, 5.75%, 8/18/22                                                                                 | 790,530      |
| 1,458,382                 | Tank Holding Corp., Initial Term Loan, 5.25%, 3/16/22                                                                                                | 1,397,611    |
| 1,930,500                 | Tekni-Plex, Inc., USD Term Loan, 4.5%, 6/1/22                                                                                                        | 1,926,880    |
|                           |                                                                                                                                                      | \$ 6,791,541 |
| Principal Amount USD (\$) |                                                                                                                                                      | Value        |
| 1,549,824                 | Paper Packaging - 0.9%                                                                                                                               | \$ 1,562,901 |

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|           |                                                                                             |              |
|-----------|---------------------------------------------------------------------------------------------|--------------|
|           | Caraustar Industries, Inc., Incremental Term Loan, 8.0%, 5/1/19                             |              |
| 156,700   | Caraustar Industries, Inc., Term Loan, 8.0%, 5/1/19                                         | 158,022      |
| 1,209,688 | Onex Wizard Acquisition Co. I S.a.r.l. (aka SIG Combibloc Group), Term Loan, 4.25%, 3/11/22 | 1,212,819    |
|           |                                                                                             | \$ 2,933,742 |
|           | Paper Products - 1.0%                                                                       |              |
| 1,653,881 | Appvion, Inc., Term Commitment, 6.25%, 6/28/19                                              | \$ 1,631,140 |
| 951,335   | Exopack Holdings SA, USD Term Loan, 4.5%, 5/8/19                                            | 951,732      |
| 500,000   | Ranpak Corp., Second Lien Initial Term Loan, 8.25%, 10/3/22                                 | 456,250      |
| 200,730   | Ranpak Corp., Tranche B-1 USD Term Loan, 4.25%, 10/1/21                                     | 198,471      |
|           |                                                                                             | \$ 3,237,593 |
|           | Specialty Chemicals - 2.0%                                                                  |              |
| 1,468,500 | Ferro Corp., Term Loan, 4.0%, 7/30/21                                                       | \$ 1,474,007 |
| 129,151   | Huntsman International LLC, 2015 Extended Term B Dollar Loan, 3.603%, 4/19/19               | 129,514      |
| 982,279   | Macdermid, Inc., First Lien Tranche B Term Loan, 5.5%, 6/7/20                               | 983,583      |
| 591,000   | Macdermid, Inc., Tranche B-2 Term Loan, 5.5%, 6/7/20                                        | 591,053      |
| 1,600,000 | Omnova Solutions, Inc., Term B-2 Loan, 0.0%, 8/25/23                                        | 1,594,000    |
| 1,365,580 | PQ Corp., Tranche B-1 Term Loan, 5.75%, 11/4/22                                             | 1,376,249    |
|           |                                                                                             | \$ 6,148,406 |
|           | Steel - 1.3%                                                                                |              |
| 1,985,298 | Atkore International, Inc., First Lien Initial Term Loan, 4.5%, 4/9/21                      | \$ 1,986,952 |
| 650,513   | TMS International Corp., Term B Loan, 4.5%, 10/16/20                                        | 632,624      |
| 1,275,000 | Zekelman Industries, Inc. (fka JMC Steel Group, Inc.), Term Loan, 6.0%, 6/14/21             | 1,285,359    |
|           |                                                                                             | \$ 3,904,935 |
|           | Total Materials                                                                             | \$45,771,472 |
|           | MEDIA - 12.3%                                                                               |              |
|           | Advertising - 1.9%                                                                          |              |
| 3,042,103 | Affinion Group, Inc., Tranche B Term Loan, 6.75%, 4/30/18                                   | \$ 2,934,680 |
| 1,000,000 | CB Poly Investments LLC, First Lien Closing Date Term Loan, 6.25%, 8/16/23                  | 1,004,375    |
| 627,200   | Checkout Holding Corp., First Lien Term B Loan, 4.5%, 4/9/21                                | 555,072      |



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|           |                                                                                                                         |                           |
|-----------|-------------------------------------------------------------------------------------------------------------------------|---------------------------|
| 1,978,250 | Crossmark Holdings, Inc., First Lien<br>Term Loan, 4.5%, 12/20/19                                                       | 1,350,155<br>\$ 5,844,282 |
|           | Broadcasting - 3.5%                                                                                                     |                           |
| 362,863   | CBS Outdoor Americas Capital LLC<br>(CBS Outdoor Americas Capital Corp.),<br>Term Loan, 3.0%, 2/1/21                    | \$ 363,468                |
| 2,652,750 | Endemol, Term Loan, 6.75%, 8/13/21                                                                                      | 2,273,407                 |
| 265,625   | Entercom Radio LLC, Term B-2 Loan,<br>4.0%, 11/23/18                                                                    | 265,957                   |
| 532,752   | Gray Television, Inc., Initial Term<br>Loan, 3.938%, 6/13/21                                                            | 535,549                   |
| 814,514   | Hubbard Radio LLC, Term Loan,<br>4.25%, 5/27/22                                                                         | 800,260                   |
| 1,862,400 | MCC Iowa LLC, Tranche H Term<br>Loan, 3.25%, 1/29/21                                                                    | 1,865,007                 |
| 990,000   | Sinclair Television Group, Inc.,<br>Incremental Tranche B-1 Term Loan,<br>3.5%, 7/30/21                                 | 992,475                   |
| 1,007,797 | Sinclair Television Group, Inc.,<br>Tranche B Term Loan, 3.0%, 4/9/20                                                   | 1,009,365                 |
| 500,000   | Townsquare Media, Inc., Initial Term<br>Loan, 4.25%, 4/1/22                                                             | 499,479                   |
| 2,133,762 | Univision Communications, Inc.,<br>Replacement First Lien Term Loan,<br>4.0%, 3/1/20                                    | 2,136,429<br>\$10,741,396 |
|           | Cable & Satellite - 2.8%                                                                                                |                           |
| 1,983,650 | Charter Communications Operating<br>LLC, Term F Loan, 3.0%, 1/3/21                                                      | \$ 1,988,058              |
| 891,410   | Learfield Communications, Inc., First<br>Lien 2014 Replacement Term Loan,<br>4.25%, 10/9/20                             | 893,360                   |
| 3,363,234 | Telesat Canada, US Term B-2 Loan,<br>3.5%, 3/28/19                                                                      | 3,365,336                 |
| 575,000   | UPC Financing Partnership, Facility<br>AN, 4.08%, 8/31/24                                                               | 574,281                   |
| 1,117,713 | Virgin Media Investment Holdings,<br>Ltd., Facility F, 3.649%, 6/30/23                                                  | 1,118,212                 |
| 725,000   | WideOpenWest Finance LLC, New<br>Term B Loan, 0.0%, 8/18/23                                                             | 723,006<br>\$ 8,662,253   |
|           | Movies & Entertainment - 2.1%                                                                                           |                           |
| 1,149,224 | AMC Entertainment, Inc., Initial Term<br>Loan, 4.0%, 12/15/22                                                           | \$ 1,158,664              |
| 1,242,491 | CDS US Intermediate Holdings, Inc.<br>(Cirque Du Soleil Canada, Inc.), First<br>Lien Initial Term Loan, 5.0%, 7/8/22    | 1,227,115                 |
| 1,000,000 | CDS US Intermediate Holdings, Inc.<br>(Cirque Du Soleil Canada, Inc.), Second<br>Lien Initial Term Loan, 9.25%, 7/10/23 | 916,875                   |

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|                           |                                                                                                       |              |
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| 152,702                   | Cinedigm Digital Funding I LLC, Term Loan, 3.75%, 2/28/18                                             | 152,320      |
| 514,706                   | Kasima LLC, Term Loan, 3.25%, 5/17/21                                                                 | 515,912      |
| 1,067,000                 | Seminole Hard Rock Entertainment, Inc., Term Loan B, 3.5%, 5/14/20                                    | 1,068,556    |
| 1,275,132                 | WMG Acquisitions Corp., Tranche B Refinancing Term Loan, 3.75%, 7/1/20                                | 1,273,439    |
|                           |                                                                                                       | \$ 6,312,881 |
| Principal Amount USD (\$) |                                                                                                       | Value        |
| 868,000                   | Publishing - 2.0%<br>Houghton Mifflin Holdings, Inc., Term Loan, 4.0%, 5/28/21                        | \$ 861,852   |
| 163,102                   | Lee Enterprises, Inc., First Lien Term Loan, 7.25%, 3/31/19                                           | 163,200      |
| 3,000,000                 | McGraw-Hill Global Education Holdings LLC, First Lien Term B Loan, 5.0%, 5/4/22                       | 3,018,750    |
| 803,752                   | Quincy Newspapers, Inc., Term B Loan, 7.0%, 11/2/22                                                   | 808,273      |
| 1,382,500                 | Springer SBM Two GmbH, Initial Term B9 Loan, 4.75%, 8/14/20                                           | 1,339,873    |
|                           | Total Media                                                                                           | \$ 6,191,948 |
|                           | PHARMACEUTICALS,<br>BIOTECHNOLOGY & LIFE<br>SCIENCES - 3.0%                                           | \$37,752,760 |
| 907,223                   | Biotechnology - 0.6%<br>Alkermes, Inc., 2019 Term Loan, 3.5%, 9/25/19                                 | \$ 907,790   |
| 887,607                   | Lantheus Medical Imaging, Inc., Term Loan, 7.0%, 6/30/22                                              | 853,213      |
|                           |                                                                                                       | \$ 1,761,003 |
| 1,985,000                 | Life Sciences Tools & Services - 0.6%<br>Albany Molecular Research, Inc., Term Loan B, 5.75%, 7/16/21 | \$ 1,997,406 |
| 1,692,500                 | Pharmaceuticals - 1.8%<br>Concordia Healthcare Corp., Initial Dollar Term Loan, 5.25%, 10/21/21       | \$ 1,606,817 |
| 1,305,803                 | Endo Luxembourg Finance Company I S.a.r.l., Term Loan B, 3.75%, 9/26/22                               | 1,300,907    |
| 1,053,500                 | Patheon, Inc., Term Loan, 4.25%, 3/11/21                                                              | 1,052,578    |
| 827,042                   | Valeant Pharmaceuticals International, Inc., Series C-2 Tranche B Term Loan, 5.25%, 12/11/19          | 826,894      |
| 620,282                   | Valeant Pharmaceuticals International, Inc., Series D-2 Term Loan B, 5.0%,                            | 619,700      |

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|           |                                                                                               |  |              |
|-----------|-----------------------------------------------------------------------------------------------|--|--------------|
|           | 2/13/19                                                                                       |  | \$ 5,406,896 |
|           | Total Pharmaceuticals, Biotechnology & Life Sciences                                          |  | \$ 9,165,305 |
|           | REAL ESTATE - 3.1%                                                                            |  |              |
|           | Diversified REIT - 0.2%                                                                       |  |              |
| 450,000   | ESH Hospitality, Inc., Initial Term Loan, 0.0%, 8/30/23                                       |  | \$ 451,875   |
|           | Hotel & Resort REIT - 0.5%                                                                    |  |              |
| 1,361,588 | MGM Growth Properties Operating Partnership LP, Term B Loan, 4.0%, 4/25/23                    |  | \$ 1,374,565 |
|           | Real Estate Services - 0.8%                                                                   |  |              |
| 1,478,149 | Altisource Solutions S.a.r.l, Term Loan B, 4.5%, 12/9/20                                      |  | \$ 1,361,745 |
| 1,197,000 | GCA Services Group, Inc., Term Loan, 5.75%, 3/1/23                                            |  | 1,204,481    |
|           |                                                                                               |  | \$ 2,566,226 |
|           | Retail REITs - 1.0%                                                                           |  |              |
| 2,007,668 | DTZ US Borrower LLC, First Lien Initial Term Loan, 4.25%, 11/4/21                             |  | \$ 2,002,858 |
| 1,000,000 | DTZ US Borrower LLC, Second Lien Initial Term Loan, 9.25%, 11/4/22                            |  | 1,000,833    |
|           |                                                                                               |  | \$ 3,003,691 |
|           | Specialized REIT - 0.6%                                                                       |  |              |
| 1,980,000 | Communications Sales & Leasing, Inc. (CSL Capital, LLC), Term Loan, 5.0%, 10/24/22            |  | \$ 1,984,455 |
|           | Total Real Estate                                                                             |  | \$ 9,380,812 |
|           | RETAILING - 3.7%                                                                              |  |              |
|           | Apparel Retail - 0.6%                                                                         |  |              |
| 518,433   | Hudson's Bay Co., Term Loan B, 4.75%, 9/30/22                                                 |  | \$ 520,766   |
| 1,235,642 | Men's Wearhouse, Inc., Term Loan B, 4.5%, 6/18/21                                             |  | 1,209,385    |
|           |                                                                                               |  | \$ 1,730,151 |
|           | Automotive Retail - 0.6%                                                                      |  |              |
| 1,418,432 | CWGS Group LLC, Term Loan, 5.75%, 2/20/20                                                     |  | \$ 1,420,205 |
| 565,957   | Hertz Corp., Tranche Term B-1 Loan, 3.5%, 6/30/23                                             |  | 569,494      |
|           |                                                                                               |  | \$ 1,989,699 |
|           | Computer & Electronics Retail - 0.1%                                                          |  |              |
| 97,817    | (b)(c) Targus Group International, Inc., Term Loan A-2, 15.0% (15.0% PIK 0.0% cash), 12/31/19 |  | \$ 97,817    |
| 293,452   | (b)(c) Targus Group International, Inc., Term Loan B, 15.0% (15.0% PIK 0.0% cash), 12/31/19   |  | 293,452      |
|           |                                                                                               |  | \$ 391,269   |
|           | Home Improvement Retail - 0.5%                                                                |  |              |

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|           |                                                                                                            |              |
|-----------|------------------------------------------------------------------------------------------------------------|--------------|
| 1,434,860 | Apex Tool Group LLC, Term Loan,<br>4.5%, 1/31/20                                                           | \$ 1,414,682 |
| 1,234,853 | Homefurnishing Retail - 0.4%<br>Mattress Holdings Corp., 2016<br>Incremental Term Loan, 6.25%,<br>10/20/21 | \$ 1,237,169 |
| 1,221,279 | Specialty Stores - 1.5%<br>Dollar Tree, Inc., Term B-1 Loan,<br>3.5%, 7/6/22                               | \$ 1,226,141 |
| 1,492,500 | PetCo Animal Supplies, Inc., Tranche<br>B-1 Term Loan, 5.0%, 1/26/23                                       | 1,504,760    |
| 1,975,000 | Petsmart, Inc., Tranche B-1 Loan,<br>4.25%, 3/11/22                                                        | 1,981,069    |
|           | Total Retailing                                                                                            | \$ 4,711,970 |
|           |                                                                                                            | \$11,474,940 |

Principal  
Amount  
USD (\$)

Value

|           |                                                                                    |              |
|-----------|------------------------------------------------------------------------------------|--------------|
|           | SEMICONDUCTORS &<br>SEMICONDUCTOR EQUIPMENT -<br>1.6%                              |              |
|           | Semiconductor Equipment - 0.3%                                                     |              |
| 549,188   | Entegris, Inc., Tranche B Term Loan,<br>3.5%, 4/30/21                              | \$ 551,591   |
| 343,253   | VAT Lux II S.a.r.l., Term Loan, 4.25%,<br>2/11/21                                  | 344,540      |
|           |                                                                                    | \$ 896,131   |
|           | Semiconductors - 1.3%                                                              |              |
| 1,014,615 | Avago Technologies Cayman Holdings<br>Ltd., Term B-3 Loan, 3.508%, 2/1/23          | \$ 1,024,338 |
| 1,742,606 | M/A-COM Technology Solutions<br>Holdings, Inc., Initial Term Loan, 4.5%,<br>5/7/21 | 1,757,854    |
| 358,481   | Microsemi Corp., Term B Loan, 3.75%,<br>1/15/23                                    | 361,477      |
| 850,000   | ON Semiconductor Corp., Closing Date<br>Term Loan, 5.25%, /31/23                   | 861,886      |
|           |                                                                                    | \$ 4,005,555 |
|           | Total Semiconductors & Semiconductor<br>Equipment                                  | \$ 4,901,686 |
|           | SOFTWARE & SERVICES - 8.8%                                                         |              |
|           | Application Software - 2.7%                                                        |              |
| 945,655   | Applied Systems, Inc., First Lien Term<br>Loan, 4.0%, 1/25/21                      | \$ 948,907   |
| 977,215   | Applied Systems, Inc., Second Lien<br>Term Loan, 7.5%, 1/24/22                     | 983,322      |
| 971,044   | Epiq Systems, Inc., Term Loan, 4.5%,<br>8/27/20                                    | 971,044      |
| 1,019,188 |                                                                                    | 1,009,315    |

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|           |                                                                                     |              |
|-----------|-------------------------------------------------------------------------------------|--------------|
|           | Infor (US), Inc., Tranche B-5 Term Loan, 3.75%, 6/3/20                              |              |
| 1,714,134 | STG-Fairway Acquisitions, Inc., First Lien Term Loan, 6.25%, 6/30/22                | 1,683,065    |
| 1,408,324 | Verint Systems, Inc., Tranche B Incremental Term Loan, 3.507%, 9/6/19               | 1,413,077    |
| 1,257,205 | VF Holding Corp., First Lien Initial Term Loan, 4.75%, 6/30/23                      | 1,261,232    |
|           |                                                                                     | \$ 8,269,962 |
|           | Data Processing & Outsourced Services - 1.2%                                        |              |
| 1,045,142 | First Data Corp., 2021 Extended Dollar Term Loan, 4.522%, 3/24/21                   | \$ 1,051,318 |
| 1,750,000 | First Data Corp., New 2022 B Dollar Term Loan, 4.272%, 7/8/22                       | 1,759,236    |
| 750,000   | WEX, Inc., Term B Loan, 4.25%, 6/30/23                                              | 757,594      |
|           |                                                                                     | \$ 3,568,148 |
|           | Home Entertainment Software - 0.4%                                                  |              |
| 1,248,239 | MA Financeco LLC, Initial Tranche B-2 Term Loan, 4.502%, 11/19/21                   | \$ 1,252,530 |
|           | Internet Software & Services - 0.8%                                                 |              |
| 978,581   | Avast Software BV, Term Loan B, 0.0%, 8/3/22                                        | \$ 981,843   |
| 1,011,875 | Match Group, Inc., Term B-1 Loan, 5.5%, 11/16/22                                    | 1,021,994    |
| 442,739   | Zayo Group LLC (Zayo Capital, Inc.), Term Loan, 3.75%, 5/6/21                       | 443,846      |
|           |                                                                                     | \$ 2,447,683 |
|           | IT Consulting & Other Services - 2.4%                                               |              |
| 780,488   | Booz Allen Hamilton, Inc., New Refinancing Tranche B Term Loan, 3.257%, 6/30/23     | \$ 787,317   |
| 3,430,000 | Evergreen Skills Lux S.a.r.l., First Lien Initial Term Loan, 5.75%, 4/28/21         | 2,888,705    |
| 1,000,000 | Evergreen Skills Lux S.a.r.l., Second Lien Initial Term Loan, 9.25%, 4/28/22        | 544,167      |
| 477,233   | Kronos, Inc., First Lien Incremental Term Loan, 4.5%, 10/30/19                      | 479,730      |
| 492,006   | Science Applications International Corp., Incremental Tranche B Loan, 3.25%, 5/4/22 | 495,389      |
| 1,364,688 | Sitel Worldwide Corp., First Lien Term B-1 Loan, 6.5%, 9/18/21                      | 1,360,139    |
| 921,875   | Taxact, Inc. (H.D. Vest, Inc.), Initial Term Loan, 7.0%, 1/3/23                     | 931,094      |
|           |                                                                                     | \$ 7,486,541 |
|           | Systems Software - 1.3%                                                             |              |
| 1,231,250 | AVG Technologies NV (AVG Corporate Services BV), Term Loan, 5.75%, 10/15/20         | \$ 1,234,714 |

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|                                 |                                                                                                                   |              |
|---------------------------------|-------------------------------------------------------------------------------------------------------------------|--------------|
| 400,000                         | EZE Software Group LLC, First Lien<br>2016 Incremental Term Loan, 4.5%,<br>4/4/20                                 | 399,500      |
| 1,249,500                       | MSC.Software Corp., Term Loan,<br>5.0%, 5/29/20                                                                   | 1,243,252    |
| 1,245,056                       | Rovi Solutions Corp., Term B Loan,<br>3.75%, 7/2/21                                                               | 1,241,749    |
|                                 |                                                                                                                   | \$ 4,119,215 |
|                                 | Total Software & Services                                                                                         | \$27,144,079 |
|                                 | <b>TECHNOLOGY HARDWARE &amp;<br/>EQUIPMENT - 3.5%</b>                                                             |              |
|                                 | Communications Equipment - 0.5%                                                                                   |              |
| 904,363                         | Audio Visual Services Group, Inc., First<br>Lien Term Loan, 4.5%, 1/25/21                                         | \$ 904,363   |
| 496,250                         | Commscope, Inc., Tranche 5 Term<br>Loan, 3.75%, 12/29/22                                                          | 499,041      |
|                                 |                                                                                                                   | \$ 1,403,404 |
|                                 | Electronic Components - 0.6%                                                                                      |              |
| 671,189                         | Generac Power Systems, Inc., Term<br>Loan, 3.5%, 5/31/20                                                          | \$ 671,608   |
| 1,209,688                       | Mirion Technologies (Finance) LLC<br>(Mirion Technologies, Inc.), First Lien<br>Initial Term Loan, 5.75%, 3/31/22 | 1,211,956    |
|                                 |                                                                                                                   | \$ 1,883,564 |
| Principal<br>Amount<br>USD (\$) |                                                                                                                   | Value        |
|                                 | Electronic Manufacturing Services -<br>0.5%                                                                       |              |
| 1,894,594                       | 4L Technologies, Inc. (fka Clover<br>Holdings, Inc.), Term Loan, 7.0%,<br>5/8/20                                  | \$ 1,690,925 |
|                                 | Technology Distributors - 1.0%                                                                                    |              |
| 496,155                         | CDW LLC (fka CDW Corp.), Term<br>Loan, 3.0%, 8/17/23                                                              | \$ 495,845   |
| 1,378,867                       | Deltek, Inc., First Lien Term Loan,<br>5.0%, 6/25/22                                                              | 1,386,336    |
| 135,335                         | SS&C European Holdings S.a.r.l., Term<br>B-2 Loan, 4.0%, 7/8/22                                                   | 136,410      |
| 1,062,296                       | SS&C Technologies, Inc., Term B-1<br>Loan, 4.0%, 7/8/22                                                           | 1,070,737    |
|                                 |                                                                                                                   | \$ 3,089,328 |
|                                 | Technology Hardware, Storage &<br>Peripherals - 0.9%                                                              |              |
| 1,250,000                       | Dell International LLC, Term Loan B,<br>0.0%, 9/7/23                                                              | \$ 1,256,641 |
| 700,000                         | Diebold, Inc., Dollar Term B Loan,<br>5.25%, 11/6/23                                                              | 703,172      |
| 800,000                         | Western Digital Corp., US Term B-1<br>Loan, 4.5%, 4/29/23                                                         | 804,333      |

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|           |                                                                                            |              |
|-----------|--------------------------------------------------------------------------------------------|--------------|
|           |                                                                                            | \$ 2,764,146 |
|           | Total Technology Hardware & Equipment                                                      | \$10,831,367 |
|           | TELECOMMUNICATION SERVICES                                                                 |              |
|           | - 2.3%                                                                                     |              |
|           | Integrated Telecommunication Services                                                      |              |
|           | - 1.3%                                                                                     |              |
| 1,234,375 | GCI Holdings, Inc., New Term B Loan, 4.0%, 2/2/22                                          | \$ 1,238,489 |
| 1,000,000 | Level 3 Financing, Inc., Tranche B 2022 Term Loan, 3.5%, 5/31/22                           | 1,006,875    |
| 845,275   | Securus Technologies Holdings, Inc., Initial First Lien Term Loan, 4.75%, 4/30/20          | 836,822      |
| 158,426   | Securus Technologies Holdings, Inc., Term Loan B2, 5.25%, 4/30/20                          | 157,634      |
| 618,450   | Windstream Services LLC (fka Windstream Corp.), Tranche B-6 Term Loan, 5.75%, 3/29/21      | 623,862      |
|           |                                                                                            | \$ 3,863,682 |
|           | Wireless Telecommunication Services - 1.0%                                                 |              |
| 2,532,843 | Altice US Finance I Corp. (Cequel Communications, LLC), Initial Term Loan, 4.25%, 12/14/22 | \$ 2,545,824 |
| 720,343   | Intelsat Jackson Holdings SA, Tranche B-2 Term Loan, 3.75%, 6/30/19                        | 685,316      |
|           |                                                                                            | \$ 3,231,140 |
|           | Total Telecommunication Services                                                           | \$ 7,094,822 |
|           | TRANSPORTATION - 4.8%                                                                      |              |
|           | Air Freight & Logistics - 0.5%                                                             |              |
| 1,708,493 | Dematic Corp., New Incremental Term Loan, 4.25%, 12/28/19                                  | \$ 1,709,560 |
|           | Airlines - 2.6%                                                                            |              |
| 2,910,656 | American Airlines, Inc., 2015 New Term Loan, 3.25%, 6/27/20                                | \$ 2,914,597 |
| 2,100,000 | American Airlines, Inc., Class B Term Loan, 3.502%, 4/28/23                                | 2,106,750    |
| 241,875   | Continental Airlines, Inc. (United Air Lines, Inc.), Class B Term Loan, 3.25%, 4/1/19      | 242,379      |
| 1,447,500 | Delta Air Lines, Inc., 2014 Term B-1 Loan, 3.25%, 10/18/18                                 | 1,452,727    |
| 1,254,938 | US Airways, Inc., Tranche B-1 Term Loan, 3.5%, 5/23/19                                     | 1,256,954    |
|           |                                                                                            | \$ 7,973,407 |
|           | Marine - 0.9%                                                                              |              |
| 1,700,287 | Commercial Barge Line Co., Initial Term Loan, 9.75%, 11/12/20                              | \$ 1,640,777 |

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|                           |                                                                                |                           |
|---------------------------|--------------------------------------------------------------------------------|---------------------------|
| 1,126,132                 | Navios Maritime Partners LP, Term Loan, 5.25%, 6/27/18                         | 1,011,642<br>\$ 2,652,419 |
|                           | Trucking - 0.8%                                                                |                           |
| 404,873                   | PODS LLC, Initial First Lien Term Loan, 4.5%, 2/2/22                           | \$ 404,999                |
| 780,000                   | Syncreon Global Finance, Inc., Term Loan, 5.25%, 10/28/20                      | 680,550                   |
| 1,621,092                 | YRC Worldwide, Inc., Initial Term Loan, 8.0%, 2/13/19                          | 1,511,668<br>\$ 2,597,217 |
|                           | Total Transportation                                                           | \$14,932,603              |
|                           | UTILITIES - 3.5%                                                               |                           |
|                           | Electric Utilities - 1.8%                                                      |                           |
| 1,422,558                 | APLH Holdings, Ltd., Partnership, Term Loan, 6.0%, 4/13/23                     | \$ 1,432,042              |
| 2,182,500                 | Calpine Construction Finance Co., LP, Term B-1 Loan, 3.0%, 5/3/20              | 2,161,766                 |
| 975,405                   | ExGen Renewables LLC, Term Loan, 5.25%, 2/8/21                                 | 980,588                   |
| 102,143                   | Texas Competitive Electric Holdings Co. LLC (TXU), Term C Loan, 5.0%, 10/31/17 | 102,500                   |
| 447,857                   | Texas Competitive Electric Holdings Co. LLC (TXU), Term Loan, 5.0%, 10/31/17   | 449,425                   |
| 477,149                   | TPF II Power LLC (TPF II Covert Midco LLC), Term Loan, 5.0%, 10/2/21           | 480,250<br>\$ 5,606,571   |
|                           | Independent Power Producers & Energy Traders - 1.3%                            |                           |
| 1,643,400                 | Calpine Corp., Term Loan B, 3.5%, 5/27/22                                      | \$ 1,647,124              |
| 1,044,615                 | Dynegy, Inc., Tranche B-2 Term Loan, 4.0%, 4/23/20                             | 1,045,159                 |
| 1,207,601                 | NRG Energy, Inc., Term Loan, 3.5%, 6/30/23                                     | 1,208,249<br>\$ 3,900,532 |
|                           | Multi-Utilities - 0.1%                                                         |                           |
| 450,000                   | EFS Cogen Holdings I LLC, Term B Advance, 5.25%, 6/28/23                       | \$ 453,000                |
| Principal Amount USD (\$) |                                                                                | Value                     |
|                           | Water Utilities - 0.3%                                                         |                           |
| 845,000                   | WTG Holdings III Corp., First Lien Term Loan, 4.75%, 1/15/21                   | \$ 849,226                |
|                           | Total Utilities                                                                | \$10,809,329              |



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|           |        |                                                                                          |                           |
|-----------|--------|------------------------------------------------------------------------------------------|---------------------------|
|           |        | TOTAL SENIOR SECURED<br>FLOATING RATE LOAN<br>INTERESTS<br>(Cost \$413,917,130)          | \$407,960,024             |
|           |        | COLLATERALIZED LOAN<br>OBLIGATIONS - 2.1% of Net Assets                                  |                           |
|           |        | BANKS - 2.1%                                                                             |                           |
|           |        | Diversified Banks - 0.6%                                                                 |                           |
| 1,000,000 | (a)    | Primus, Ltd., Series 2007-2A, Class D,<br>3.08%, 7/15/21 (144A)                          | \$ 959,985                |
| 951,289   | (a)    | Stanfield McLaren, Ltd.,<br>Series 2007-1A, Class B2L, 5.329%,<br>2/27/21 (144A)         | 848,405<br>\$ 1,808,390   |
|           |        | Thriffs & Mortgage Finance - 1.5%                                                        |                           |
| 1,000,000 | (a)    | ACA, Ltd., Series 2007-1A, Class D,<br>3.03%, 6/15/22 (144A)                             | \$ 965,033                |
| 1,000,000 | (a)    | Landmark CDO, Ltd., Series 2007-9A,<br>Class E, 4.18%, 4/15/21 (144A)                    | 958,000                   |
| 700,000   | (a)    | NCF Dealer Floorplan Master Trust,<br>Series 2016-1A, Class C, 9.012%,<br>3/21/22 (144A) | 691,679                   |
| 2,000,000 | (a)    | Stone Tower, Ltd., Series 2007-6A,<br>Class C, 2.029%, 4/17/21 (144A)                    | 1,930,885<br>\$ 4,545,597 |
|           |        | Total Banks                                                                              | \$ 6,353,987              |
|           |        | TOTAL COLLATERALIZED LOAN<br>OBLIGATIONS<br>(Cost \$6,105,043)                           | \$ 6,353,987              |
|           |        | CORPORATE BONDS & NOTES<br>- 5.8% of Net Assets                                          |                           |
|           |        | AUTOMOBILES & COMPONENTS -<br>0.3%                                                       |                           |
|           |        | Auto Parts & Equipment - 0.3%                                                            |                           |
| 1,000,000 |        | International Automotive Components<br>Group SA, 9.125%, 6/1/18 (144A)                   | \$ 988,750                |
|           |        | Total Automobiles & Components                                                           | \$ 988,750                |
|           |        | BANKS - 0.4%                                                                             |                           |
|           |        | Diversified Banks - 0.4%                                                                 |                           |
| 1,100,000 | (e)(f) | BNP Paribas SA, 7.625% (144A)                                                            | \$ 1,156,650              |
|           |        | Total Banks                                                                              | \$ 1,156,650              |
|           |        | CAPITAL GOODS - 0.3%                                                                     |                           |
|           |        | Trading Companies & Distributors -<br>0.3%                                               |                           |
| 900,000   |        | United Rentals North America, Inc.,<br>4.625%, 7/15/23                                   | \$ 920,745                |
|           |        | Total Capital Goods                                                                      | \$ 920,745                |

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|                  |        |                                                                                |              |
|------------------|--------|--------------------------------------------------------------------------------|--------------|
|                  |        | ENERGY - 0.7%                                                                  |              |
|                  |        | Oil & Gas Equipment & Services - 0.2%                                          |              |
| 720,000          | (a)    | FTS International, Inc., 8.153%, 6/15/20 (144A)                                | \$ 586,800   |
|                  |        | Oil & Gas Exploration & Production - 0.5%                                      |              |
| 500,000          |        | Gulfport Energy Corp., 6.625%, 5/1/23                                          | \$ 513,750   |
| 500,000          |        | Memorial Resource Development Corp., 5.875%, 7/1/22                            | 505,000      |
| 625,000          |        | WPX Energy, Inc., 7.5%, 8/1/20                                                 | 641,797      |
|                  |        |                                                                                | \$ 1,660,547 |
|                  |        | Total Energy                                                                   | \$ 2,247,347 |
|                  |        | HEALTH CARE EQUIPMENT & SERVICES - 0.3%                                        |              |
|                  |        | Health Care Facilities - 0.3%                                                  |              |
| 201,000          |        | CHS/Community Health Systems, Inc., 5.125%, 8/15/18                            | \$ 203,513   |
| 1,000,000        |        | CHS/Community Health Systems, Inc., 6.875%, 2/1/22                             | 830,000      |
|                  |        | Total Health Care Equipment & Services                                         | \$ 1,033,513 |
|                  |        | INSURANCE - 1.4%                                                               |              |
|                  |        | Reinsurance - 1.4%                                                             |              |
| 500,000          | (a)    | Alamo Re, Ltd., 6.11%, 6/7/18 (144A) (Cat Bond)                                | \$ 516,900   |
| 300,000          | (g)(h) | Artex Segregated Account (Kane SAC, Ltd.), Variable Rate Notes, 6/15/17        | 281,250      |
| 400,000          | (g)(h) | Berwick Segregated Account (Kane SAC, Ltd.), Variable Rate Notes, 2/1/18       | 415,920      |
| 250,000          | (g)(h) | Carnousite Segregated Account (Kane SAC, Ltd.), Variable Rate Notes, 11/30/20  | 260,275      |
| 250,000          | (g)(h) | Gleneagles Segregated Account (Kane SAC, Ltd.), Variable Rate Notes, 11/30/20  | 266,250      |
| 400,000          | (g)(h) | Gullane Segregated Account (Kane SAC, Ltd.), Variable Rate Notes, 11/30/20     | 416,400      |
| 250,000          | (a)    | Kilimanjaro Re, Ltd., Series 2015-1, Class D, 9.58%, 12/6/19 (144A) (Cat Bond) | 257,225      |
| 250,000          | (a)    | Kilimanjaro Re, Ltd., Series 2015-1, Class E, 7.08%, 12/6/19 (144A) (Cat Bond) | 255,725      |
| 250,000          | (g)(h) | Madison Re, Variable Rate Notes, 3/31/19                                       | 256,275      |
| Principal Amount |        |                                                                                | Value        |

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|           |        |                                                                                            |              |
|-----------|--------|--------------------------------------------------------------------------------------------|--------------|
| USD (\$)  |        |                                                                                            |              |
|           |        | Reinsurance - (continued)                                                                  |              |
| 250,000   | (a)    | Mythen Re, Ltd. Series 2012-2, Class A, 9.098%, 1/5/17 (144A) (Cat Bond)                   | \$ 252,525   |
| 400,000   | (g)(h) | Pangaea Re Segregated Account (Kane SAC, Ltd.), Series 2016-1, Variable Rate Notes, 2/1/20 | 413,120      |
| 350,000   | (i)    | Resilience Re, Ltd., 4/7/17 (Cat Bond)                                                     | 331,660      |
| 400,000   | (g)(h) | St. Andrews Segregated Account (Kane SAC, Ltd.), Variable Rate Notes, 2/1/18               | 413,760      |
|           |        | Total Insurance                                                                            | \$ 4,337,285 |
|           |        | MATERIALS - 0.7%                                                                           |              |
|           |        | Commodity Chemicals - 0.4%                                                                 |              |
| 1,230,000 |        | Rain CII Carbon LLC / CII Carbon Corp., 8.0%, 12/1/18 (144A)                               | \$ 1,190,025 |
|           |        | Metal & Glass Containers - 0.3%                                                            |              |
| 1,000,000 | (a)    | Ardagh Packaging Finance Plc / Ardagh Holdings USA, Inc., 4.067%, 5/15/21 (144A)           | \$ 1,017,500 |
|           |        | Total Materials                                                                            | \$ 2,207,525 |
|           |        | SEMICONDUCTORS & SEMICONDUCTOR EQUIPMENT - 0.3%                                            |              |
|           |        | Semiconductors - 0.3%                                                                      |              |
| 750,000   |        | Micron Technology, Inc., 5.25%, 8/1/23 (144A)                                              | \$ 725,625   |
|           |        | Total Semiconductors & Semiconductor Equipment                                             | \$ 725,625   |
|           |        | SOFTWARE & SERVICES - 0.3%                                                                 |              |
|           |        | Internet Software & Services - 0.3%                                                        |              |
| 920,000   |        | j2 Cloud Services, Inc., 8.0%, 8/1/20                                                      | \$ 959,100   |
|           |        | Total Software & Services                                                                  | \$ 959,100   |
|           |        | TELECOMMUNICATION SERVICES - 0.7%                                                          |              |
|           |        | Integrated Telecommunication Services - 0.7%                                               |              |
| 1,000,000 |        | CenturyLink, Inc., 6.45%, 6/15/21                                                          | \$ 1,074,375 |
| 1,000,000 |        | Frontier Communications Corp., 10.5%, 9/15/22                                              | 1,088,125    |
|           |        | Total Telecommunication Services                                                           | \$ 2,162,500 |
|           |        | UTILITIES - 0.4%                                                                           |              |
|           |        | Independent Power Producers & Energy Traders - 0.4%                                        |              |
| 1,125,000 |        | NRG Energy, Inc., 6.25%, 7/15/22                                                           | \$ 1,148,906 |
|           |        | Total Utilities                                                                            | \$ 1,148,906 |

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|           |     |  |                                                                      |              |
|-----------|-----|--|----------------------------------------------------------------------|--------------|
|           |     |  | TOTAL CORPORATE BONDS &<br>NOTES<br>(Cost \$17,348,461)              | \$17,887,946 |
|           |     |  | US GOVERNMENT AND AGENCY<br>OBLIGATIONS - 5.1% of Net Assets         |              |
| 3,270,000 | (a) |  | U.S. Treasury Notes, 0.503%, 10/31/17                                | \$ 3,274,575 |
| 3,365,000 | (a) |  | U.S. Treasury Notes, 0.607%, 1/31/18                                 | 3,372,282    |
| 8,980,000 | (a) |  | U.S. Treasury Notes, 0.525%, 4/30/18                                 | 8,989,402    |
|           |     |  |                                                                      | \$15,636,259 |
|           |     |  | TOTAL US GOVERNMENT AND<br>AGENCY OBLIGATIONS<br>(Cost \$15,625,894) | \$15,636,259 |
| Shares    |     |  |                                                                      |              |
|           |     |  | EXCHANGE-TRADED FUNDS<br>- 1.1% of Net Assets                        |              |
|           |     |  | DIVERSIFIED FINANCIALS - 1.1%                                        |              |
|           |     |  | Other Diversified Financial Services -<br>1.1%                       |              |
| 27,000    |     |  | iShares iBoxx \$ High Yield Corporate<br>Bond ETF                    | \$ 2,341,170 |
| 42,000    |     |  | PowerShares Senior Loan Portfolio                                    | 975,660      |
|           |     |  | Total Diversified Financials                                         | \$ 3,316,830 |
|           |     |  | TOTAL EXCHANGE-TRADED<br>FUNDS<br>(Cost \$3,179,147)                 | \$ 3,316,830 |
|           |     |  | COMMON STOCKS - 0.4% of Net<br>Assets                                |              |
|           |     |  | CONSUMER DURABLES &<br>APPAREL - 0.1%                                |              |
|           |     |  | Homebuilding - 0.1%                                                  |              |
| 31,348    | (j) |  | WAICCS Las Vegas 3 LLC                                               | \$ 374,922   |
|           |     |  |                                                                      | —            |
|           |     |  | Total Consumer Durables & Apparel                                    | \$ 374,922   |
|           |     |  | INDUSTRIALS - 0.0%†                                                  |              |
|           |     |  | Diversified Support Services - 0.0%†                                 |              |
| 31        | (j) |  | IAP Worldwide Services, Inc.                                         | \$ 42,515    |
|           |     |  | Total Industrials                                                    | \$ 42,515    |
|           |     |  | MEDIA - 0.1%                                                         |              |
|           |     |  | Publishing - 0.1%                                                    |              |
| 14,548    | (j) |  | Cengage Learning Acquisitions, Inc.                                  | \$ 363,700   |
| EUR 497   | (j) |  | Solocal Group SA                                                     | 1,447        |
|           |     |  | Total Media                                                          | \$ 365,147   |
|           |     |  | PHARMACEUTICALS,<br>BIOTECHNOLOGY & LIFE<br>SCIENCES - 0.0%†         |              |
|           |     |  | Biotechnology - 0.0%†                                                |              |
| 2,454     | (j) |  | Progenics Pharmaceuticals, Inc.                                      | \$ 15,411    |

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|                           |        |                                                                                                                                                                                    |    |               |
|---------------------------|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|---------------|
|                           |        | Total Pharmaceuticals, Biotechnology & Life Sciences                                                                                                                               | \$ | 15,411        |
|                           |        | RETAILING - 0.1%                                                                                                                                                                   |    |               |
| 91,346                    | (c)(j) | Computer & Electronics Retail - 0.1%                                                                                                                                               |    |               |
|                           |        | Targus Cayman SubCo., Ltd.                                                                                                                                                         | \$ | 319,711       |
|                           |        | Total Retailing                                                                                                                                                                    | \$ | 319,711       |
| Shares                    |        |                                                                                                                                                                                    |    | Value         |
|                           |        | TRANSPORTATION - 0.1%                                                                                                                                                              |    |               |
|                           |        | Air Freight & Logistics - 0.1%                                                                                                                                                     |    |               |
| 710                       | (j)    | CEVA Holdings LLC                                                                                                                                                                  | \$ | 248,426       |
|                           |        | Total Transportation                                                                                                                                                               | \$ | 248,426       |
|                           |        | UTILITIES - 0.0%†                                                                                                                                                                  |    |               |
|                           |        | Independent Power Producers & Energy Traders - 0.0%†                                                                                                                               |    |               |
| 775                       |        | NRG Energy, Inc.                                                                                                                                                                   | \$ | 9,385         |
|                           |        | Total Utilities                                                                                                                                                                    | \$ | 9,385         |
|                           |        | TOTAL COMMON STOCKS<br>(Cost \$2,071,399)                                                                                                                                          | \$ | 1,375,517     |
| Principal Amount USD (\$) |        |                                                                                                                                                                                    |    |               |
|                           |        | TEMPORARY CASH                                                                                                                                                                     |    |               |
|                           |        | INVESTMENTS - 2.4% of Net Assets                                                                                                                                                   |    |               |
| 1,505,000                 |        | REPURCHASE AGREEMENT - 0.5%                                                                                                                                                        |    |               |
|                           |        | \$1,505,000 ScotiaBank, 0.34%, dated 8/31/16,<br>plus accrued interest on 9/1/16<br>collateralized<br>by the following:                                                            |    |               |
|                           |        | \$97,374 U.S. Treasury Strip, 2.375%, 1/15/17, \$1,005,746 Government National Mortgage Association, 3.0%, 9/10/45, \$432,034 Federal National Mortgage Association, 3.5%, 7/1/46. | \$ | 1,505,000     |
| 6,000,000                 | (i)    | TREASURY BILL - 1.9%                                                                                                                                                               |    |               |
|                           |        | U.S. Treasury Bill, 9/15/16                                                                                                                                                        | \$ | 5,999,532     |
|                           |        | TOTAL TEMPORARY CASH INVESTMENTS<br>(Cost \$7,504,434)                                                                                                                             | \$ | 7,504,532     |
|                           |        | TOTAL INVESTMENTS IN SECURITIES - 149.3%<br>(Cost - \$465,751,508) (k)                                                                                                             | \$ | 460,035,095   |
|                           |        | OTHER ASSETS AND LIABILITIES - (49.3%)                                                                                                                                             | \$ | (151,872,668) |
|                           |        | NET ASSETS APPLICABLE TO COMMON SHAREOWNERS - 100.0%                                                                                                                               | \$ | 308,162,427   |

|                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| REIT<br>(144A) | Real Estate Investment Trust.<br>Security is exempt from registration under Rule 144A of the Securities Act of 1933. Such securities may be resold normally to qualified institutional buyers in a transaction exempt from registration. At August 31, 2016, the value of these securities amounted to \$13,301,712, or 4.3% of total net assets applicable to common shareowners.                                                                                                                                                                                                              |
| (Cat Bond)     | Catastrophe or event-linked bond. At August 31, 2016, the value of these securities amounted to \$1,614,035 or 0.5% of total net assets applicable to common shareowners.                                                                                                                                                                                                                                                                                                                                                                                                                       |
| †              | Amount rounds to less than 0.1%.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| *              | Senior secured floating rate loan interests in which the Trust invests generally pay interest at rates that are periodically redetermined by reference to a base lending plus a premium. These base lending rates are generally (i) the lending rate offered by one or more major European banks, such as LIBOR (London InterBank Offered Rate), (ii) the prime rate offered by one or more major United States banks, (iii) the rate of a certificate of deposit or (iv) other base lending rates used by commercial lenders. The interest rate shown is the rate accruing at August 31, 2016. |

- (a) Floating rate note. The rate shown is the coupon rate at August 31, 2016.
- (b) Payment in Kind (PIK) security which may pay interest in the form of additional principal amount.
- (c) Security is valued using fair value methods (other than prices supplied by independent pricing services).
- (d) Security is in default.
- (e) The interest rate is subject to change periodically. The interest rate shown is the rate at August 31, 2016.
- (f) Security is perpetual in nature and has no stated maturity date.
- (g) Structured reinsurance investment. At August 31, 2016, the value of these securities amounted to \$2,723,250, or 0.9% of total net assets

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- applicable to common shareowners.
- (h) Rate to be determined.
  - (i) Security issued with a zero coupon. Income is recognized through accretion of discount.
  - (j) Non-income producing.

- (k) At August 31, 2016, the net unrealized depreciation on investments based on cost for federal tax purposes of \$465,762,499 was as follows:

|                                                                                                                |    |              |
|----------------------------------------------------------------------------------------------------------------|----|--------------|
| Aggregate gross unrealized appreciation for all investments in which there is an excess of value over tax cost | \$ | 4,437,203    |
| Aggregate gross unrealized depreciation for all investments in which there is an excess of tax cost over value |    | (10,164,607) |
| Net unrealized depreciation                                                                                    | \$ | (5,727,404)  |

For financial reporting purposes net unrealized depreciation on investments was \$5,716,413 and cost of investments aggregated \$465,751,508.

Principal amounts are denominated in U.S. dollars unless otherwise noted.

EUR - Euro

CENTRALLY CLEARED CREDIT DEFAULT SWAP AGREEMENTS - SELL PROTECTION

| Notional<br>Principal (\$)(1) | Exchange | Obligation<br>Entity/Index | Coupon | Credit<br>Rating(2) | Expiration<br>Date | Paid/<br>(Received) | Net<br>Unrealized<br>Appreciation |
|-------------------------------|----------|----------------------------|--------|---------------------|--------------------|---------------------|-----------------------------------|
|-------------------------------|----------|----------------------------|--------|---------------------|--------------------|---------------------|-----------------------------------|

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|           |                             |                            |          |          |
|-----------|-----------------------------|----------------------------|----------|----------|
| 1,078,000 | Markit CDX 5.00% B+         | 6/20/20                    | \$64,893 | \$16,761 |
|           | North America               |                            |          |          |
|           | Chicago Mercantile Exchange | High Yield Index Series 24 |          |          |
| 1,103,850 | Markit CDX 5.00% B+         | 12/20/20                   | (10,498) | 76,122   |
|           | North America               |                            |          |          |
|           | Chicago Mercantile Exchange | High Yield Index Series 25 |          |          |
|           |                             |                            | \$54,395 | \$92,883 |

- (1) The notional amount is the maximum amount that a seller of credit protection would be obligated to pay upon occurrence of a credit event.  
Based on Standard & Poor's rating of the issuer or weighted average of all the underlying securities of the index.
- (2)

Various inputs are used in determining the value of the Trust's investments. These inputs are summarized in the three broad levels below.

Level 1 - quoted prices in active markets for identical securities.

Level 2 - other significant observable inputs (including quoted prices for similar securities, interest rates, prepayment speeds, credit risks, etc.).

Level 3 - significant unobservable inputs (including the Trust's own assumptions in determining fair value of investments).

The following is a summary of the inputs used as of August 31, 2016, in valuing the Trust's investments.

|                                                       | Level 1 | Level 2     | Level 3   | Total       |
|-------------------------------------------------------|---------|-------------|-----------|-------------|
| Senior Secured Floating Rate Loan Interests           |         |             |           |             |
| Health Care Equipment & Services                      |         |             |           |             |
| Health Care Technology                                | \$-     | \$3,466,398 | \$731,754 | \$4,198,152 |
| Retailing                                             |         |             |           |             |
| Computer & Electronics Retail                         | -       | -           | 391,269   | 391,269     |
| All Other Senior Secured Floating Rate Loan Interests | -       | 403,370,603 | -         | 403,370,603 |
| Collateralized Loan Obligations                       | -       | 6,353,987   | -         | 6,353,987   |
| Corporate Bonds & Notes                               |         |             |           |             |
| Insurance                                             |         |             |           |             |
| Reinsurance                                           | -       | 1,282,375   | 3,054,910 | 4,337,285   |
| All Other Corporate Bonds                             | -       | 13,550,661  | -         | 13,550,661  |



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|                                                          |             |               |             |               |
|----------------------------------------------------------|-------------|---------------|-------------|---------------|
| & Notes                                                  |             |               |             |               |
| U.S. Government and Agency Obligations                   | –           | 15,636,259    | –           | 15,636,259    |
| Exchange-Traded Funds                                    | 3,316,830   | –             | –           | 3,316,830     |
| Common Stocks                                            |             |               |             |               |
| Consumer Durables & Apparel                              |             |               |             |               |
| Homebuilding                                             | –           | 374,922       | –           | 374,922       |
| Industrials                                              |             |               |             |               |
| Diversified Support Services                             | –           | 42,515        | –           | 42,515        |
| Media                                                    |             |               |             |               |
| Publishing                                               | 1,447       | 363,700       | –           | 365,147       |
| Retailing                                                |             |               |             |               |
| Computer & Electronics                                   |             |               |             |               |
| Retail                                                   | –           | –             | 319,711     | 319,711       |
| Transportation                                           |             |               |             |               |
| Air Freight & Logistics                                  | –           | 248,426       | –           | 248,426       |
| All Other Common Stocks                                  | 24,796      | –             | –           | 24,796        |
| Repurchase Agreement                                     | –           | 1,505,000     | –           | 1,505,000     |
| Treasury Bill                                            | –           | 5,999,532     | –           | 5,999,532     |
| Total Investments in Securities                          | \$3,343,073 | \$452,194,378 | \$4,497,644 | \$460,035,095 |
| Other Financial Instruments                              |             |               |             |               |
| Unrealized appreciation on credit default swap contracts | \$–         | \$92,883      | \$–         | \$92,883      |
| Total Other Financial Instruments                        | \$–         | \$92,883      | \$–         | \$92,883      |

The following is a summary of the fair valuation of certain of the Trust's assets and liabilities as of August 31, 2016:

|                              | Level 1 | Level 2         | Level 3 | Total           |
|------------------------------|---------|-----------------|---------|-----------------|
| Assets:                      |         |                 |         |                 |
| Foreign currencies, at value | \$–     | \$56,103        | \$–     | \$56,103        |
| Liabilities:                 |         |                 |         |                 |
| Credit agreement             | –       | (143,450,000)   | –       | (143,450,000)   |
| Total                        | \$–     | \$(143,393,897) | \$–     | \$(143,393,897) |

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The following is a reconciliation of assets valued using significant unobservable inputs (Level 3):

|                                             | Balance<br>as of<br>11/30/15 | Change in                  |                                              | Purchases   | Sales         | Accrued<br>discounts/<br>premiums | Transfers<br>in and<br>out of<br>Level<br>3<br>categories* | Transfers<br>in<br>and<br>out of<br>Level<br>3* | Balance<br>as of<br>8/31/16 |
|---------------------------------------------|------------------------------|----------------------------|----------------------------------------------|-------------|---------------|-----------------------------------|------------------------------------------------------------|-------------------------------------------------|-----------------------------|
|                                             |                              | Realized<br>gain<br>(loss) | Unrealized<br>appreciation<br>(depreciation) |             |               |                                   |                                                            |                                                 |                             |
| Senior Secured Floating Rate Loan Interests |                              |                            |                                              |             |               |                                   |                                                            |                                                 |                             |
| Health Care Equipment & Services            |                              |                            |                                              |             |               |                                   |                                                            |                                                 |                             |
| Health Care Technology                      | \$-                          | \$-                        | \$ (274,123 )                                | \$976,680   | \$-           | \$29,197                          | \$-                                                        | \$-                                             | \$731,754                   |
| Retailing                                   |                              |                            |                                              |             |               |                                   |                                                            |                                                 |                             |
| Computer & Electronics                      |                              |                            |                                              |             |               |                                   |                                                            |                                                 |                             |
| Retail                                      | -                            | -                          | -                                            | 391,269     | -             | -                                 | -                                                          | -                                               | 391,269                     |
| Corporate Bonds & Notes                     |                              |                            |                                              |             |               |                                   |                                                            |                                                 |                             |
| Insurance                                   |                              |                            |                                              |             |               |                                   |                                                            |                                                 |                             |
| Reinsurance                                 | 1,197,861                    | -                          | (10,301 )                                    | 2,939,589   | (1,090,200)   | 17,961                            | -                                                          | -                                               | 3,054,910                   |
| Common Stocks                               |                              |                            |                                              |             |               |                                   |                                                            |                                                 |                             |
| Retailing                                   |                              |                            |                                              |             |               |                                   |                                                            |                                                 |                             |
| Computer & Electronics                      |                              |                            |                                              |             |               |                                   |                                                            |                                                 |                             |
| Retail                                      | -                            | -                          | -                                            | 319,711     | -             | -                                 | -                                                          | -                                               | 319,711                     |
| Total                                       | \$1,197,861                  | \$-                        | \$ (284,424 )                                | \$4,627,249 | \$(1,090,200) | \$47,158                          | \$-                                                        | \$-                                             | \$4,497,644                 |

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\*Transfers are calculated on the beginning of period value. For the nine months ended August 31, 2016, there were no transfers between Levels 1, 2 and 3.

Net change in unrealized depreciation of Level 3 investments still held and considered Level 3 at August 31, 2016: \$(176,763).

### ITEM 2. CONTROLS AND PROCEDURES.

(a) Disclose the conclusions of the registrant's principal executive and principal financial officers, or persons performing similar functions, regarding the effectiveness of the registrant's disclosure controls and procedures (as defined in Rule 30a-3(c) under the Act (17 CFR 270.30a-3(c))) as of a date within 90 days of the filing date of the report that includes the disclosure required by this paragraph, based on the evaluation of these controls and procedures required by Rule 30a-3(b) under the Act (17 CFR 270.30a-3(b)) and Rule 13a-15(b) or 15d-15(b) under the Exchange Act (17 CFR 240.13a-15(b) or 240.15d-15(b)).

The registrant's principal executive officer and principal financial officer have concluded that the registrant's disclosure controls and procedures are effective based on their evaluation of these controls and procedures as of a date within 90 days of the filing date of this report.

(b) Disclose any change in the registrant's internal controls over financial reporting (as defined in Rule 30a-3(d) under the Act (17 CFR 270.30a-3(d))) that occurred during the registrant's last fiscal quarter that has materially affected, or is reasonably likely to materially affect, the registrant's internal control over financial reporting.

There were no significant changes in the registrant's internal control over financial reporting that occurred during the second fiscal quarter of the period covered by this report that have materially affected, or are reasonably likely to materially affect, the registrant's internal control over financial reporting.

### ITEM 3. EXHIBITS.

File as exhibits as part of this Form a separate certification for each principal executive officer and principal financial officer of the registrant as required by Rule 30a-2(a) under the Act (17 CFR 270.30a-2(a)), exactly as set forth below:

#### CERTIFICATIONS

I, [identify the certifying individual], certify that:

1. I have reviewed this report on Form N-Q of [identify registrant];
2. Based on my knowledge, this report does not contain any untrue statement of a material fact or omit to state a material fact necessary to make the statements made, in light of the circumstances under which such statements were made, not misleading with respect to the period covered by this report;
3. Based on my knowledge, the schedules of investments included in this report

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fairly present in all material respects the investments of the registrant as of the end of the fiscal quarter for which the report is filed;

4. The registrants other certifying officer(s) and I are responsible for establishing and maintaining disclosure controls and procedures (as defined in Rule 30a-3(c) under the Investment Company Act of 1940) and internal control over financial reporting (as defined in Rule 30a-3(d) under the Investment Company Act of 1940) for the registrant and have:

(a) Designed such disclosure controls and procedures, or caused such disclosure controls and procedures to be designed under our supervision, to ensure that material information relating to the registrant, including its consolidated subsidiaries, is made known to us by others within those entities, particularly during the period in which this report is being prepared;

(b) Designed such internal control over financial reporting, or caused such internal control over financial reporting to be designed under our supervision, to provide reasonable assurance regarding the reliability of financial reporting and the preparation of financial statements for external purposes in accordance with generally accepted accounting principles;

(c) Evaluated the effectiveness of the registrants disclosure controls and procedures and presented in this report our conclusions about the effectiveness of the disclosure controls and procedures, as of a date within 90 days prior to the filing date of this report, based on such evaluation; and

(d) Disclosed in this report any change in the registrants internal control over financial reporting that occurred during the registrants most recent fiscal quarter that has materially affected, or is reasonably likely to materially affect, the registrants internal control over financial reporting; and

5. The registrants other certifying officer(s) and I have disclosed to the registrants auditors and the audit committee of the registrants board of directors (or persons performing the equivalent functions):

(a) All significant deficiencies and material weaknesses in the design or operation of internal control over financial reporting which are reasonably likely to adversely affect the registrants ability to record, process, summarize, and report financial information; and

(b) Any fraud, whether or not material, that involves management or other employees who have a significant role in the registrants internal control over financial reporting.

Date:

[Signature] [Title]

Filed herewith.

<PAGE>

SIGNATURES

[See General Instruction F]

Pursuant to the requirements of the Securities Exchange Act of 1934 and the

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Investment Company Act of 1940, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

(Registrant) Pioneer Floating Rate Trust

By (Signature and Title)\* /s/ Lisa M.Jones

-----  
Lisa M.Jones, President and Chief Executive Officer

Date October 26, 2016

Pursuant to the requirements of the Securities Exchange Act of 1934 and the Investment Company Act of 1940, this report has been signed below by the following persons on behalf of the registrant and in the capacities and on the dates indicated.

By (Signature and Title)\* /s/ Lisa M.Jones

-----  
Lisa M.Jones, President and Chief Executive Officer

Date October 26, 2016

By (Signature and Title)\* /s/ Mark E. Bradley

-----  
Mark E. Bradley, Treasurer and Chief Accounting  
and Financial Officer

Date October 26, 2016

\* Print the name and title of each signing officer under his or her signature.