

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

Pioneer Floating Rate Trust
Form N-Q
October 29, 2018

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, 2018

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.

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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 schedules need not be audited.

Pioneer Floating
Rate Trust

NQ | August 31, 2018

Ticker Symbol: PHD

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| Principal Amount USD (\$) | Value |
|---------------------------------|--|
| | UNAFFILIATED ISSUERS - 151.2% |
| | SENIOR SECURED FLOATING RATE LOAN INTERESTS - 136.3% of Net Assets*(a) |
| | AUTOMOBILES & COMPONENTS - 4.3% |
| | Auto Parts & Equipment - 3.0% |
| 1,555,162 | Allison Transmission, Inc., New Term Loan, 3.82% (LIBOR + 175 bps), 9/23/22 \$1,565,020 |
| 1,501,500 | American Axle & Manufacturing, Inc., Tranche B Term Loan, 4.373% (LIBOR + 225 bps), 4/6/24 1,503,064 |
| 790,029 | Cooper-Standard Automotive, Inc., Additional Term B-1 Loan, 4.334% (LIBOR + 200 bps), 11/2/23 793,241 |
| 375,000 | Horizon Global Corp., 2017 Replacement Term Loan, 8.076% (LIBOR + 600 bps), 6/30/21 366,562 |
| 493,750 | Innovative Xcessories & Services LLC, Term Loan, 6.82% (LIBOR + 475 bps), 11/29/22 494,676 |
| 1,089,712 | Superior Industries International, Inc., Replacement Term Loan, 6.076% (LIBOR + 400 bps), 5/22/24 1,093,117 |
| 1,721,453 | Tower Automotive Holdings USA LLC, Initial Term Loan, 4.875% (LIBOR + 275 bps), 3/7/24 1,730,060 |
| 1,490,625 | Trico Group LLC, First Lien Initial Term Loan, 8.813% (LIBOR + 650 bps), 2/2/24 1,498,078 |
| | \$9,043,818 |
| | Automobile Manufacturers - 1.1% |
| 500,000 | Deck Chassis Acquisition, Inc., Second Lien Initial Term Loan, 8.076% (LIBOR + 600 bps), 6/15/23 \$502,500 |
| 683,201 | Federal-Mogul Corp., Tranche C Term Loan, 5.815% (LIBOR + 375 bps), 4/15/21 685,905 |
| 736,667 | Octavius Corp., New Tranche B Term Loan, 5.738% (LIBOR + 350 bps), 11/8/23 740,350 |
| 1,081,458 | TI Group Automotive Systems LLC, Initial US Term Loan, 4.576% (LIBOR + 250 bps), 6/30/22 1,085,162 |
| 466,667 | Visteon Corp., New Term Loan, 3.859% (LIBOR + 175 bps), 3/25/24 466,667 |
| | \$3,480,584 |
| | Tires & Rubber - 0.2% |
| 691,667 | Goodyear Tire & Rubber Co., Second Lien Term Loan, 4.07% (LIBOR + 200 bps), 3/3/25 \$692,642 |
| | Total Automobiles & Components \$13,217,044 |
| | CAPITAL GOODS – 16.6% |
| | Aerospace & Defense - 3.9% |
| 924,697 | Accudyne Industries Borrower SCA/Accudyne Industries LLC (fka Silver II US Holdings LLC), Initial Term Loan, \$928,613 5.076% (LIBOR + 300 bps), 8/18/24 |
| 1,655,978 | Alion Science and Technology Corp., First Lien Term Loan, 6.576% (LIBOR + 450 bps), 8/19/21 1,667,018 |
| 1,980,000 | Constellis Holdings LLC, First Lien Term B Loan, 7.334% (LIBOR + 500 bps), 4/21/24 1,980,826 |

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| 1,570,692 | DAE Aviation Holdings, Inc., Initial Term Loan, 5.83% (LIBOR + 375 bps), 7/7/22 | 1,578,546 |
| 920,994 | DynCorp International, Inc., Term Loan B2, 8.077% (LIBOR + 600 bps), 7/7/20 | 924,832 |
| 445,431 | Engility Corp. (fka TASC, Inc.), Term B2 Loan, 4.826% (LIBOR + 275 bps), 8/14/23 | 448,076 |
| 241,860 | IAP Worldwide Services, Inc., Second Lien Term Loan, 8.834% (LIBOR + 650 bps), 7/18/19 | 238,233 |
| 1,413,947 | MacDonald, Dettwiler and Associates, Ltd., Term Loan B, 4.83% (LIBOR + 275 bps), 10/4/24 | 1,387,689 |
| 497,500 | MRO Holdings, Inc., Initial Term Loan, 7.584% (LIBOR + 525 bps), 10/25/23 | 501,853 |
| 986,598 | Transdigm, Inc., New Tranche F Term Loan, 4.576% (LIBOR + 250 bps), 6/9/23 | 986,295 |
| 297,008 | Transdigm, Inc., New Tranche G Term Loan, 4.576% (LIBOR + 250 bps), 8/22/24 | 296,845 |
| 850,000 | WP CPP Holdings LLC, First Lien Initial Term Loan, 6.214% (LIBOR + 375 bps), 4/30/25 | 854,356 |
| | | \$11,793,182 |
| | Building Products - 3.0% | |
| 1,138,788 | Armstrong World Industries, Inc., Term Loan B, 4.932% (LIBOR + 275 bps), 3/31/23 | \$1,143,533 |
| 1,687,765 | Builders FirstSource, Inc., Refinancing Term Loan, 5.334% (LIBOR + 300 bps), 2/29/24 | 1,686,886 |
| 750,000 | Hamilton Holdco LLC (Reece International Pty, Ltd), Term Loan, 4.34% (LIBOR + 200 bps), 7/2/25 | 750,225 |
| 897,750 | Janus International Group LLC, Initial First Lien Term Loan, 5.076% (LIBOR + 300 bps), 2/12/25 | 886,528 |
| 339,150 | NCI Building Systems, Inc., Initial Term Loan, 4.076% (LIBOR + 200 bps), 2/7/25 | 339,433 |
| 1,265,326 | Quikrete Holdings, Inc., First Lien Initial Term Loan, 4.826% (LIBOR + 275 bps), 11/15/23 | 1,265,404 |
| 600,000 | SRS Distribution, Inc., Initial Term Loan, 5.441% (LIBOR + 325 bps), 5/23/25 | 588,803 |
| 1,663,167 | Summit Materials LLC, New Term Loan, 4.076% (LIBOR + 200 bps), 11/21/24 | 1,666,286 |
| 742,514 | Unifrax I LLC, Initial Dollar Term Loan, 5.834% (LIBOR + 350 bps), 4/4/24 | 747,619 |
| | | \$9,074,717 |
| | Construction & Engineering - 1.0% | |
| 648,375 | American Traffic Solutions, Inc., Initial First Lien Term Loan, 5.825% (LIBOR + 375 bps), 2/28/25 | \$653,103 |
| 1,488,750 | HD Supply Waterworks, Ltd., Initial Term Loan, 5.307% (LIBOR + 300 bps), 8/1/24 | 1,497,115 |
| 943,373 | Installed Building Products, Inc., Tranche B-2 Term Loan, 4.576% (LIBOR + 250 bps), 4/15/25 | 940,572 |
| | | \$3,090,790 |
| | Construction Machinery & Heavy Trucks - 1.7% | |
| 589,094 | Clark Equipment Co. (aka Doosan Bobcat, Inc.), Repriced Term Loan, 4.334% (LIBOR + 200 bps), 5/18/24 | \$589,544 |
| 1,706,250 | | 1,716,914 |

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| | Commercial Vehicle Group, Inc., Initial Term Loan, 8.076% (LIBOR + 600 bps), 4/12/23 | |
| 1,908,584 | Navistar, Inc., Tranche B Term Loan, 5.58% (LIBOR + 350 bps), 11/6/24 | 1,915,742 |
| 826,218 | Terex Corp., Incremental US Term Loan, 4.334% (LIBOR + 200 bps), 1/31/24 | 828,111 |
| | | \$5,050,311 |
| | Electrical Components & Equipment – 2.0% | |
| 722,459 | Compass Power Generation LLC, Tranche B-1 Term Loan, 5.576% (LIBOR + 350 bps), 12/20/24 | \$726,071 |
| 923,491 | DG Investment Intermediate Holdings 2, Inc. (aka Convergint Technologies Holdings LLC), First Lien Initial Term Loan, 5.076% (LIBOR + 300 bps), 2/3/25 | 918,297 |
| 785,958 | Energy Acquisition LP, First Lien Initial Term Loan, 6.589% (LIBOR + 425 bps), 6/26/25 | 783,011 |
| 1,150,000 | Pelican Products, Inc., First Lien Term Loan, 5.581% (LIBOR + 350 bps), 5/1/25 | 1,152,395 |
| 700,000 | Southwire Co., Initial Term Loan, 4.06% (LIBOR + 200 bps), 5/19/25 | 702,771 |
| 1,913,022 | WireCo WorldGroup, Inc., First Lien Initial Term Loan, 7.076% (LIBOR + 500 bps), 9/29/23 | 1,936,935 |
| | | \$6,219,480 |
| Principal Amount USD (\$) | | Value |
| | Industrial Conglomerates - 2.5% | |
| 496,250 | AI Aqua Merger Sub, Inc., 2017 First Lien Incremental Term Loan B, 5.326% (LIBOR + 325 bps), 12/13/23 | \$493,769 |
| 348,909 | AVSC Holding Corp., First Lien Initial Term Loan, 5.543% (LIBOR + 325 bps), 3/3/25 | 347,709 |
| 1,000,000 | CTC AcquiCo GmbH, Facility B2, 5.565% (LIBOR + 325 bps), 3/7/25 | 992,500 |
| 1,210,511 | DTI Holdco, Inc., Replacement B-1 Term Loan, 6.945% (LIBOR + 475 bps), 9/29/23 | 1,211,647 |
| 832,435 | Filtration Group Corp., Initial Dollar Term Loan, 5.076% (LIBOR + 300 bps), 3/29/25 | 836,523 |
| 649,611 | Gates Global LLC, Initial B-2 Dollar Term Loan, 5.084% (LIBOR + 275 bps), 4/1/24 | 653,509 |
| 475,000 | Hyster-Yale Materials Holding, Inc., Term Loan, 5.326% (LIBOR + 325 bps), 5/30/23 | 477,375 |
| 844,461 | Milacron LLC, Term B Loan, 4.576% (LIBOR + 250 bps), 9/28/23 | 846,044 |
| 837,620 | ProAmpac PG Borrower LLC, First Lien Initial Term Loan, 5.735% (LIBOR + 350 bps), 11/20/23 | 836,224 |
| 1,086,912 | Shape Technologies Group, Inc., Initial Term Loan, 5.134% (LIBOR + 300 bps), 4/20/25 | 1,087,591 |
| | | \$7,782,891 |
| | Industrial Machinery - 2.2% | |
| 434,939 | Blount International, Inc., Refinancing Term Loan, 6.331% (LIBOR + 425 bps), 4/12/23 | \$438,609 |
| 995,000 | | 999,353 |

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| | Circor International, Inc., Initial Term Loan, 5.567% (LIBOR + 350 bps), 12/11/24 | |
| 800,910 | Columbus McKinnon Corp., Repriced Term Loan, 4.834% (LIBOR + 250 bps), 1/31/24 | 804,414 |
| 650,000 | EaglePicher Technologies LLC, Initial First Lien Term Loan, 5.326% (LIBOR + 325 bps), 3/8/25 | 649,390 |
| 1,058,176 | Gardner Denver, Inc., Tranche B-1 Dollar Term Loan, 4.826% (LIBOR + 275 bps), 7/30/24 | 1,063,549 |
| 584,550 | NN, Inc., Tranche B Term Loan, 5.826% (LIBOR + 375 bps), 10/19/22 | 583,910 |
| 1,304,689 | Tank Holding Corp. Replacement Term Loan, 5.651% (LIBOR + 350 bps), 3/16/22 | 1,310,805 |
| 940,385 | Welbilt, Inc. (fka Manitowoc Foodservice, Inc.), Term B Loan, 4.826% (LIBOR + 275 bps), 3/3/23 | 947,720 |
| | | \$6,797,750 |
| | Trading Companies & Distributors - 0.3% | |
| 750,000(b) | Beacon Roofing Supply, Inc., Initial Term Loan, 1/2/25 | \$747,723 |
| 100,723 | WESCO Distribution, Inc., Tranche B-1 Term Loan, 5.076% (LIBOR + 300 bps), 12/12/19 | 100,849 |
| | | \$848,572 |
| | Total Capital Goods | \$50,657,693 |
| | COMMERCIAL & PROFESSIONAL SERVICES - 5.4% | |
| | Diversified Support Services - 1.6% | |
| 620,890 | Access CIG LLC, First Lien Term B Loan, 5.826% (LIBOR + 375 bps), 2/27/25 | \$624,311 |
| 2,075,265 | Asurion LLC (fka Asurion Corp.), New B-7 Term Loan, 5.076% (LIBOR + 300 bps), 11/3/24 | 2,082,676 |
| 288,324 | Asurion LLC (fka Asurion Corp.), Replacement B-6 Term Loan, 5.076% (LIBOR + 300 bps), 11/3/23 | 289,375 |
| 675,000 | Asurion LLC (fka Asurion Corp.), Second Lien Replacement B-2 Term Loan, 8.576% (LIBOR + 650 bps), 8/4/25 | 690,187 |
| 453,832 | KAR Auction Services, Inc., Tranche B-4 Term Loan, 4.375% (LIBOR + 225 bps), 3/11/21 | 455,815 |
| 593,331 | KAR Auction Services, Inc., Tranche B-5 Term Loan, 4.625% (LIBOR + 250 bps), 3/9/23 | 596,483 |
| | | \$4,738,847 |
| | Environmental & Facilities Services - 1.6% | |
| 864,283 | Advanced Disposal Services, Inc. (fka ADS Waste Holdings, Inc.), Additional Term Loan, 4.207% (LIBOR + 225 bps), 11/10/23 | \$867,057 |
| 578,177 | GFL Environmental, Inc., Effective Date Incremental Term Loan, 5.084% (LIBOR + 275 bps), 5/30/25 | 576,189 |
| 1,004,195 | Infiltrator Water Technologies LLC, First Lien Term B-2 Loan, 5.334% (LIBOR + 300 bps), 5/27/22 | 1,008,903 |
| 320,365 | Patriot Container Corp., First Lien Closing Date Term Loan, 5.566% (LIBOR + 350 bps), 3/20/25 | 322,267 |
| 1,522,938 | WCA Waste Systems, Inc., Initial Term Loan, 4.576% (LIBOR + 250 bps), 8/11/23 | 1,519,131 |
| 550,527 | Wrangler Buyer Corp. (aka Waste Industries USA, Inc.), Initial Term Loan, 4.826% (LIBOR + 275 bps), 9/27/24 | 553,365 |

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| | | \$4,846,912 |
| | Human Resource & Employment Services - 0.2% | |
| 363,505 | On Assignment, Inc., Initial Term B-1 Loan, 4.076% (LIBOR + 200 bps), 6/3/22 | \$364,565 |
| 191,484 | On Assignment, Inc., Initial Term B-2 Loan, 4.076% (LIBOR + 200 bps), 4/2/25 | 191,843 |
| | | \$556,408 |
| | Office Services & Supplies - 0.8% | |
| 348,250 | Diamond (BC) BV, Term Loan, 5.076% (LIBOR + 300 bps), 9/6/24 | \$341,938 |
| 800,000 | West Corp., Incremental Term B-1 Loan, 5.576% (LIBOR + 350 bps), 10/10/24 | 795,666 |
| 1,404,930 | West Corp., Initial Term B Loan, 6.076% (LIBOR + 400 bps), 10/10/24 | 1,397,320 |
| | | \$2,534,924 |
| | Security & Alarm Services - 1.2% | |
| 921,697 | Allied Universal Holdco LLC (fka USAGM Holdco LLC), First Lien Initial Term Loan, 5.826% (LIBOR + 375 bps), 7/28/22 | \$910,608 |
| 1,268,636 | GW Honos Security Corp. (Garda World Security Corp.), Term B Loan, 5.8% (LIBOR + 350 bps), 5/24/24 | 1,273,789 |
| 1,590,324 | Prime Security Services Borrower LLC, First Lien 2016-2 Refinancing Term B-1 Loan, 4.826% (LIBOR + 275 bps), 5/2/22 | 1,597,033 |
| | | \$3,781,430 |
| | Total Commercial & Professional Services | \$16,458,521 |
| | CONSUMER DURABLES & APPAREL – 3.6% | |
| | Homebuilding - 0.5% | |
| 1,500,000 | Interior Logic Group Holdings IV LLC, Initial Term Loan, 6.342% (LIBOR + 400 bps), 5/30/25 | \$1,504,688 |
| | Home Furnishing Retail - 0.7% | |
| 1,855,241 | Serta Simmons Bedding LLC, First Lien Initial Term Loan, 5.579% (LIBOR + 350 bps), 11/8/23 | \$1,593,767 |
| Principal Amount USD (\$) | | Value |
| | Home Furnishing Retail - (continued) | |
| 901,867 | Serta Simmons Bedding LLC, Second Lien Initial Term Loan, 10.071% (LIBOR + 800 bps), 11/8/24 | \$632,997 |
| | | \$2,226,764 |
| | Household Appliances - 0.5% | |
| 1,240,625 | Global Appliance, Inc., Tranche B Term Loan, 6.08% (LIBOR + 400 bps), 9/29/24 | \$1,238,299 |
| 348,250 | Ring Container Technologies Group LLC, First Lien Initial Term Loan, 4.826% (LIBOR + 275 bps), 10/31/24 | 348,794 |
| | | \$1,587,093 |
| | Housewares & Specialties - 0.8% | |
| 495,705 | Prestige Brands, Inc., Term B-4 Loan, 4.076% (LIBOR + 200 bps), 1/26/24 | \$495,926 |
| 2,015,134 | Reynolds Group Holdings, Inc., Incremental US Term Loan, 4.826% (LIBOR + 275 bps), 2/5/23 | 2,023,720 |

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| | | \$2,519,646 |
| | Leisure Products - 1.1% | |
| 1,000,000 | 24 Hour Fitness Worldwide, Inc., Term Loan, 5.576% (LIBOR + 350 bps), 5/30/25 | \$1,009,375 |
| 1,946,856 | Fitness International LLC, Term B Loan, 5.468% (LIBOR + 325 bps), 4/18/25 | 1,954,887 |
| 324,095 | Bombardier Recreational Products, Inc., Term B Loan, 4.08% (LIBOR + 200 bps), 5/23/25 | 323,487 |
| | | \$3,287,749 |
| | Total Consumer Durables & Apparel | \$11,125,940 |
| | CONSUMER SERVICES – 9.4% | |
| | Casinos & Gaming - 3.7% | |
| 2,096,727 | Boyd Gaming Corp., Refinancing Term B Loan, 4.207% (LIBOR + 225 bps), 9/15/23 | \$2,109,832 |
| 297,000 | CityCenter Holdings LLC, Term B Loan, 4.326% (LIBOR + 225 bps), 4/18/24 | 297,239 |
| 494,871 | Eldorado Resorts, Inc., Term Loan, 4.408% (LIBOR + 225 bps), 4/17/24 | 497,654 |
| 2,023,800 | Golden Nugget, Inc. (aka Landry's Inc.), Initial Term B Loan, 4.822% (LIBOR + 275 bps), 10/4/23 | 2,032,654 |
| 450,000(b) | Penn National Gaming, Inc., Term Loan B, 8/14/25 | 451,406 |
| 2,826,729 | Scientific Games International, Inc., Initial Term B-5 Loan, 4.826% (LIBOR + 275 bps), 8/14/24 | 2,823,447 |
| 525,000 | Stars Group Holdings BV, USD Term Loan, 5.831% (LIBOR + 350 bps), 7/10/25 | 529,594 |
| 479,504 | Station Casinos LLC, Term B Facility Loan, 4.58% (LIBOR + 250 bps), 6/8/23 | 481,391 |
| 1,977,273 | VICI Properties 1 LLC, Term B Loan, 4.067% (LIBOR + 200 bps), 12/20/24 | 1,979,744 |
| | | \$11,202,961 |
| | Education Services - 2.2% | |
| 3,353,961 | Bright Horizons Family Solutions LLC (fka Bright Horizons Family Solutions, Inc.), Term B Loan, 3.826% (LIBOR + 175 bps), 11/7/23 | \$3,359,522 |
| 2,003,112 | KUEHG Corp. (fka KC MergerSub, Inc.), Term B-2 Loan, 6.084% (LIBOR + 375 bps), 8/12/22 | 2,008,871 |
| 1,303,228 | Laureate Education, Inc., Series 2024 Term Loan, 5.576% (LIBOR + 350 bps), 4/26/24 | 1,308,213 |
| | | \$6,676,606 |
| | Hotels, Resorts & Cruise Lines - 0.7% | |
| 467,291 | Hilton Worldwide Finance LLC, Series B-2 Term Loan, 3.815% (LIBOR + 175 bps), 10/25/23 | \$469,277 |
| 600,000(b) | Marriott Ownership Resorts, Inc., Initial Term Loan, 8/29/25 | 602,055 |
| 1,131,856 | Sabre GBLB, Inc. (fka Sabre, Inc.), 2018 Other Term B Loan, 4.076% (LIBOR + 200 bps), 2/22/24 | 1,134,685 |
| | | \$2,206,017 |
| | Leisure Facilities - 1.0% | |
| 833,000 | Cedar Fair LP, US Term B Loan, 3.826% (LIBOR + 175 bps), 4/13/24 | \$835,082 |
| 847,333 | | 848,569 |

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| | Life Time Fitness, Inc., 2017 Refinancing Term Loan, 5.062% (LIBOR + 275 bps), 6/10/22 | |
| 1,286,450 | Six Flags Theme Parks, Inc., Tranche B Term Loan, 3.82% (LIBOR + 175 bps), 6/30/22 | 1,293,887 |
| | | \$2,977,538 |
| | Restaurants - 1.4% | |
| 1,475,678 | 1011778 BC Unlimited Liability Co. (New Red Finance, Inc.) (aka Burger King/Tim Hortons), Term B-3 Loan, 4.326% (LIBOR + 225 bps), 2/16/24 | \$1,476,747 |
| 1,000,000 | Dhanani Group, Inc., Term Loan, 5.827% (LIBOR + 375 bps), 7/20/25 | 995,000 |
| 548,625 | IRB Holding Corp. (aka Arby's / Buffalo Wild Wings), Term B Loan, 5.321% (LIBOR + 325 bps), 2/5/25 | 552,103 |
| 247,500 | NPC International, Inc., First Lien Initial Term Loan, 5.576% (LIBOR + 350 bps), 4/19/24 | 249,511 |
| 992,607 | TMK Hawk Parent Corp., First Lien Initial Term Loan, 5.58% (LIBOR + 350 bps), 8/28/24 | 993,434 |
| | | \$4,266,795 |
| | Specialized Consumer Services – 0.4% | |
| 1,379,317 | Creative Artists Agency LLC, Refinancing Term Loan, 5.064% (LIBOR + 300 bps), 2/15/24 | \$1,384,274 |
| | Total Consumer Services | \$28,714,191 |
| | DIVERSIFIED FINANCIALS – 4.6% | |
| | Asset Management & Custody Banks - 0.5% | |
| 1,468,579 | Vistra Group, Ltd., First Lien Initial Dollar Term Loan, 5.076% (LIBOR + 300 bps), 10/26/22 | \$1,468,579 |
| | Consumer Finance - 0.6% | |
| 900,000 | Blackhawk Network Holdings, Inc., First Lien Term Loan, 5.183% (LIBOR + 300 bps), 6/15/25 | \$904,163 |
| 1,057,882 | Trans Union LLC, 2017 Replacement Term B-3 Loan, 4.076% (LIBOR + 200 bps), 4/10/23 | 1,061,407 |
| | | \$1,965,570 |
| | Diversified Capital Markets - 0.5% | |
| 981,697 | Freedom Mortgage Corp., Initial Term Loan, 6.815% (LIBOR + 475 bps), 2/23/22 | \$989,060 |
| 681,500 | Pre-Paid Legal Services, Inc. (aka LegalShield), First Lien Initial Term Loan, 5.326% (LIBOR + 325 bps), 5/1/25 | 685,049 |
| | | \$1,674,109 |
| | Investment Banking & Brokerage - 0.8% | |
| 1,421,438 | Deerfield Dakota Holding LLC (fka Dakota Holding Corp.), Initial Term Loan, 5.584% (LIBOR + 325 bps), 2/13/25 | \$1,425,625 |
| Principal Amount USD (\$) | | Value |
| | Investment Banking & Brokerage - (continued) | |
| 566,652 | Guggenheim Partners Investment Management Holdings LLC, Term B Loan, 4.826% (LIBOR + 275 bps), 7/21/23 | \$570,548 |
| 445,384 | LPL Holdings, Inc., Tranche B Term Loan, 4.484% (LIBOR + 225 bps), 9/23/24 | 446,590 |
| | | \$2,442,763 |

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| | Other Diversified Financial Services - 1.0% | |
| 324,373 | Delos Finance S.a r.l., New Term Loan, 4.084% (LIBOR + 175 bps), 10/6/23 | \$325,725 |
| 697,201 | Fly Funding II S.a r.l., Term Loan, 4.35% (LIBOR + 200 bps), 2/9/23 | 698,072 |
| 1,947,961 | Livingston International, Inc., First Lien Refinancing Term B-3 Loan, 8.084% (LIBOR + 575 bps), 3/20/20 | 1,950,396 |
| | | \$2,974,193 |
| | Specialized Finance – 1.2% | |
| 680,060 | Avast Software BV, 2018 Refinancing Dollar Term Loan, 4.834% (LIBOR + 250 bps), 9/29/23 | \$683,413 |
| 1,211,124 | DBRS, Ltd., Initial Term Loan, 7.563% (LIBOR + 525 bps), 3/4/22 | 1,215,665 |
| 525,000 | Globallogic Holdings, Inc., Initial Term Loan, 5.424% (LIBOR + 325 bps), 8/1/25 | 528,937 |
| 1,000,000 | Sigma Holdco BV (aka Flora Foods), Facility B2, 5.081% (LIBOR + 300 bps), 7/2/25 | 999,531 |
| | | \$3,427,546 |
| | Total Diversified Financials | \$13,952,760 |
| | ENERGY - 4.6% | |
| | Oil & Gas Drilling - 0.8% | |
| 1,000,000 | Gavilan Resources LLC, Second Lien Initial Term Loan, 8.077% (LIBOR + 600 bps), 3/1/24 | \$958,750 |
| 1,500,000 | Traverse Midstream Partners LLC, Advance Term Loan, 6.34% (LIBOR + 400 bps), 9/27/24 | 1,508,321 |
| | | \$2,467,071 |
| | Oil & Gas Equipment & Services - 0.8% | |
| 500,000 | Apergy Corp., Initial Term Loan, 4.625% (LIBOR + 250 bps), 5/9/25 | \$502,604 |
| 604,013 | Keane Group Holdings LLC, Initial Term Loan, 5.875% (LIBOR + 375 bps), 5/25/25 | 603,258 |
| 1,246,875 | McDermott International, Inc., Term Loan, 7.076% (LIBOR + 500 bps), 5/12/25 | 1,262,202 |
| | | \$2,368,064 |
| | Oil & Gas Exploration & Production - 1.3% | |
| 1,000,000 | California Resources Corp., Term Loan, 12.44% (LIBOR + 1,038 bps), 12/31/21 | \$1,108,438 |
| 1,000,000 | Chesapeake Energy Corp., Term Loan Class A, 9.576% (LIBOR + 750 bps), 8/23/21 | 1,045,938 |
| 399,000 | Lucid Energy Group II Borrower LLC, Initial Term Loan, 5.077% (LIBOR + 300 bps), 2/17/25 | 399,247 |
| 1,243,750 | Medallion Midland Acquisition LLC, Initial Term Loan, 5.326% (LIBOR + 325 bps), 10/30/24 | 1,234,941 |
| 112,830 | MEG Energy Corp., Initial Term Loan, 5.58% (LIBOR + 350 bps), 12/31/23 | 113,183 |
| | | \$3,901,747 |
| | Oil & Gas Refining & Marketing - 0.4% | |
| 1,396,500 | Delek US Holdings, Inc., Initial Term Loan, 4.576% (LIBOR + 250 bps), 3/31/25 | \$1,402,319 |
| | Oil & Gas Storage & Transportation - 1.0% | |
| 1,195,887 | | \$1,195,887 |

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| | Energy Transfer Equity LP, Refinanced Loan, 4.065% (LIBOR + 200 bps), 2/2/24 | |
| 2,019,459 | Gulf Finance LLC, Tranche B Term Loan, 7.59% (LIBOR + 525 bps), 8/25/23 | 1,745,150 |
| | | \$2,941,037 |
| | Pipeline - 0.3% | |
| 1,034,583 | Summit Midstream Partners Holdings LLC, Term Loan Credit Facility, 8.076% (LIBOR + 600 bps), 5/13/22 | \$1,049,456 |
| | Total Energy | \$14,129,694 |
| | FOOD & STAPLES RETAILING – 2.7% | |
| | Drug Retail - 0.6% | |
| 1,700,000 | H-Food Holdings LLC, Initial Term Loan, 5.065% (LIBOR + 300 bps), 5/23/25 | \$1,689,387 |
| | Food Distributors - 0.8% | |
| 894,505 | CTI Foods Holding Co., LLC, First Lien Term Loan, 5.58% (LIBOR + 350 bps), 6/29/20 | \$722,313 |
| 1,000,000 | CTI Foods Holding Co., LLC, Second Lien Term Loan, 9.33% (LIBOR + 725 bps), 6/28/21 | 700,000 |
| 1,113,157 | Mill US Acquisition, First Lien Term Loan, 6.34% (LIBOR + 400 bps), 7/3/20 | 1,076,980 |
| | | \$2,499,293 |
| | Food Retail - 1.3% | |
| 1,372,043 | Albertson's LLC, 2017-1 Term B-6 Loan, 5.311% (LIBOR + 300 bps), 6/22/23 | 1,369,577 |
| 1,542,250 | Packers Holdings LLC, Initial Term Loan, 5.321% (LIBOR + 325 bps), 12/4/24 | 1,544,178 |
| 990,000 | SIWF Holdings, Inc., First Lien Initial Term Loan, 6.314% (LIBOR + 425 bps), 6/15/25 | 996,188 |
| | | \$3,909,943 |
| | Total Food & Staples Retailing | \$8,098,623 |
| | FOOD, BEVERAGE & TOBACCO - 3.7% | |
| | Packaged Foods & Meats - 3.5% | |
| 400,000 | CHG PPC Parent LLC, First Lien Initial Term Loan, 4.826% (LIBOR + 275 bps), 3/31/25 | \$401,125 |
| 781,973 | Chobani LLC, First Lien New Term Loan, 5.576% (LIBOR + 350 bps), 10/10/23 | 744,829 |
| 1,205,637 | Dole Food Co., Inc., Tranche B Term Loan, 4.829% (LIBOR + 275 bps/PRIME + 175 bps), 4/6/24 | 1,205,166 |
| 1,439,125 | Give and Go Prepared Foods Corp. (fka GG Foods Acquisition Corp.), First Lien 2017 Term Loan, 6.584% (LIBOR + 425 bps), 7/29/23 | 1,331,191 |
| 350,000 | Herbalife Nutrition, Ltd., Term Loan B, 5.326% (LIBOR + 325 bps), 8/18/25 | 351,750 |
| 1,840,441 | JBS USA Lux SA (fka JBS USA LLC), Initial Term Loan, 4.835% (LIBOR + 250 bps), 10/30/22 | 1,841,448 |
| 1,066,130 | Pinnacle Foods Finance LLC, Initial B Term Loan, 3.832% (LIBOR + 175 bps), 2/2/24 | 1,067,596 |
| 1,960,000 | Post Holdings, Inc., Series A Incremental Term Loan, 4.07% (LIBOR + 200 bps), 5/24/24 | 1,961,264 |
| Principal Amount | | Value |

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| USD (\$) | | |
|--------------|---|--------------|
| | Packaged Foods & Meats - (continued) | |
| 1,443,652 | Shearer's Foods LLC, First Lien Term Loan, 6.326% (LIBOR + 425 bps), 6/30/21 | \$1,427,110 |
| | | \$10,331,479 |
| | Soft Drinks - 0.2% | |
| 500,000 | Sunshine Investments BV, Facility B3, 5.564% (LIBOR + 325 bps), 3/28/25 | \$498,125 |
| | Total Food, Beverage & Tobacco | \$10,829,604 |
| | HEALTH CARE EQUIPMENT & SERVICES - 13.6% | |
| | Health Care Distributors - 0.3% | |
| 997,500 | PharMerica Corp., First Lien Initial Term Loan, 5.567% (LIBOR + 350 bps), 12/6/24 | \$1,005,605 |
| | Health Care Equipment - 0.4% | |
| 1,231,250 | Cidron Healthcare, Ltd. (aka ConvaTec, Inc.), Term B Loan, 4.584% (LIBOR + 225 bps), 10/25/23 | \$1,237,406 |
| | Health Care Facilities - 2.6% | |
| 1,468,429 | Acadia Healthcare Co., Inc., Tranche B-4 Term Loan, 4.576% (LIBOR + 250 bps), 2/16/23 | \$1,478,219 |
| 1,427,810 | ATI Holdings Acquisition, Inc., First Lien Initial Term Loan, 5.567% (LIBOR + 350 bps), 5/10/23 | 1,430,487 |
| 910,000(b) | Auris LuxCo (aka Sivantos Group), First Lien Term loan B, 7/24/25 | 917,963 |
| 584,260 | CHS/Community Health Systems, Inc., Incremental 2021 Term H Loan, 5.563% (LIBOR + 325 bps), 1/27/21 | 577,282 |
| 1,000,000 | Kindred Healthcare LLC, Closing Date Term Loan, 7.375% (LIBOR + 500 bps), 7/2/25 | 1,000,630 |
| 602,971 | Quorum Health Corp., Term Loan, 8.826% (LIBOR + 675 bps), 4/29/22 | 611,047 |
| 1,393,019 | Select Medical Corp., Tranche B Term Loan, 4.821% (LIBOR + 275 bps/PRIME + 175 bps), 3/1/21 | 1,404,035 |
| 445,221 | Vizient, Inc., Term B-4 Loan, 4.826% (LIBOR + 275 bps), 2/13/23 | 445,962 |
| | | \$7,865,625 |
| | Health Care Services - 6.7% | |
| 1,500,000 | Alliance HealthCare Services, Inc., Second Lien Initial Term Loan, 12.076% (LIBOR + 1,000 bps), 4/24/24 | \$1,492,500 |
| 1,711,671(c) | CCS Medical, Inc., Second Lien Term Loan, 14.0% (14.00% PIK 0.0% cash) (PRIME + 900 bps), 5/31/19 | 14,977 |
| 1,212,219 | Concentra, Inc., First Lien Tranche B-1 Term Loan, 4.84% (LIBOR + 275 bps), 6/1/22 | 1,215,755 |
| 853,425 | DaVita HealthCare Partners, Inc., Term Loan B2, 4.826% (LIBOR + 275 bps), 6/24/21 | 858,454 |
| 810,000 | Diplomat Pharmacy, Inc., Initial Term B Loan, 6.58% (LIBOR + 450 bps), 12/20/24 | 815,569 |
| 1,357,683 | Envision Healthcare Corp. (fka Emergency Medical Services Corp.), Initial Term Loan, 5.08% (LIBOR + 300 bps), 12/1/23 | 1,359,098 |
| 884,312 | ExamWorks Group, Inc. (fka Gold Merger Co., Inc.), Term B-1 Loan, 5.326% (LIBOR + 325 bps), 7/27/23 | 891,405 |
| 1,000,000 | | 997,500 |

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| | Genex Holdings, Inc., Second Lien Initial Term Loan, 9.071% (LIBOR + 700 bps), 3/2/26 | |
| 1,776,088 | Genoa Healthcare Co., LLC, First Lien Term Loan, 5.326% (LIBOR + 325 bps), 10/30/23 | 1,785,338 |
| 100,000 | Genoa Healthcare Co., LLC, Second Lien Initial Term Loan, 10.076% (LIBOR + 800 bps), 10/28/24 | 101,250 |
| 448,636 | Gentiva Health Services, Inc., First Lien Closing Date Initial Term Loan, 6.125% (LIBOR + 375 bps), 7/2/25 | 452,550 |
| 1,103,689 | GHX Ultimate Parent Corp., First Lien Initial Term Loan, 5.584% (LIBOR + 325 bps), 6/28/24 | 1,103,689 |
| 1,461,139 | HC Group Holdings III, Inc., First Lien Refinancing Term Loan, 5.826% (LIBOR + 375 bps), 4/7/22 | 1,470,271 |
| 453,416 | MPH Acquisition Holdings LLC, Initial Term Loan, 5.084% (LIBOR + 275 bps), 6/7/23 | 453,558 |
| 1,615,310 | National Mentor Holdings, Inc., Tranche B Term Loan, 5.334% (LIBOR + 300 bps), 1/31/21 | 1,623,638 |
| 1,298,992 | nThrive, Inc. (fka Precyse Acquisition Corp.), Additional Term B-2 Loan, 6.576% (LIBOR + 450 bps), 10/20/22 | 1,303,864 |
| 2,191,205 | NVA Holdings, Inc., First Lien Term B-3 Loan, 4.826% (LIBOR + 275 bps), 2/2/25 | 2,187,097 |
| 493,750 | Team Health Holdings, Inc., Initial Term Loan, 4.826% (LIBOR + 275 bps), 2/6/24 | 473,794 |
| 1,751,962 | US Renal Care, Inc., First Lien Initial Term Loan, 6.584% (LIBOR + 425 bps), 12/30/22 | 1,714,002 |
| | | \$20,314,309 |
| | Health Care Supplies - 1.1% | |
| 899,938 | Greatbatch, Ltd., New Term B Loan, 5.07% (LIBOR + 300 bps), 10/27/22 | \$906,350 |
| 668,250 | Kinetic Concepts, Inc., Dollar Term Loan, 5.584% (LIBOR + 325 bps), 2/2/24 | 671,758 |
| 1,794,658 | Sterigenics-Nordion Holdings LLC, Incremental Term Loan, 5.334% (LIBOR + 300 bps), 5/15/22 | 1,801,836 |
| | | \$3,379,944 |
| | Health Care Technology - 1.9% | |
| 1,550,469 | Change Healthcare Holdings, Inc. (fka Emdeon, Inc.), Closing Date Term Loan, 4.826% (LIBOR + 275 bps), 3/1/24 | \$1,552,795 |
| 1,246,875 | Chloe OX Parent LLC, Initial Term Loan, 6.834% (LIBOR + 450 bps), 12/23/24 | 1,252,330 |
| 500,000 | Iqvia Inc. (Quintiles IMS), Term B-3 Dollar Loan, 4.084% (LIBOR + 175 bps), 6/11/25 | 500,235 |
| 1,065,775^ | Medical Card System, Inc., Term Loan, 5.5% (LIBOR + 450 bps), 9/2/19 | 692,754 |
| 1,534,212 | Press Ganey Holdings, Inc., First Lien Replacement Term Loan, 4.826% (LIBOR + 275 bps), 10/23/23 | 1,539,647 |
| 300,000 | Sound Inpatient Physicians, Inc., First Lien Initial Term Loan, 5.076% (LIBOR + 300 bps), 6/27/25 | 301,781 |
| | | \$5,839,542 |
| | Managed Health Care - 0.6% | |
| 1,965,075 | Prospect Medical Holdings, Inc., Term B-1 Loan, 7.625% (LIBOR + 550 bps), 2/22/24 | \$1,974,900 |

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| | Total Health Care Equipment & Services | \$41,617,331 |
| | HOUSEHOLD & PERSONAL PRODUCTS - 3.0% | |
| | Cleaning Products - 0.6% | |
| 760,225 | Parfums Holding Co., Inc., First Lien Initial Term Loan, 7.063% (LIBOR + 475 bps), 6/30/24 | \$767,828 |
| 1,000,000 | Parfums Holding Co., Inc., Second Lien Initial Term Loan, 10.83% (LIBOR + 875 bps), 6/30/25 | 1,010,000 |
| | | \$1,777,828 |
| Principal Amount USD (\$) | | Value |
| | Household Products - 1.8% | |
| 496,250 | Alphabet Holding Co., Inc. (aka Nature's Bounty), First Lien Initial Term Loan B, 5.576% (LIBOR + 350 bps), 9/26/24 | \$470,445 |
| 1,500,000 | Alphabet Holding Co., Inc. (aka Nature's Bounty), Second Lien Initial Term Loan, 9.826% (LIBOR + 775 bps), 9/26/25 | 1,338,750 |
| 953,729 | Spectrum Brands, Inc., 2017 Refinanced USD Term Loan, 4.349% (LIBOR + 200 bps), 6/23/22 | 955,741 |
| 1,217,700 | Springer Science + Business Media GmbH, Initial Term B13 Loan, 5.576% (LIBOR + 350 bps), 8/15/22 | 1,219,693 |
| 1,485,000 | WKI Holding Co., Inc., Initial Term Loan, 6.343% (LIBOR + 400 bps), 5/1/24 | 1,466,437 |
| | | \$5,451,066 |
| | Personal Products - 0.6% | |
| 930,625 | Revlon Consumer Products Corp., Initial Term Loan B, 5.811% (LIBOR + 350 bps), 9/7/23 | \$699,907 |
| 1,340,391 | Twist Beauty International Holdings SA, Facility B2, 5.445% (LIBOR + 275 bps), 4/22/24 | 1,330,338 |
| | | \$2,030,245 |
| | Total Household & Personal Products | \$9,259,139 |
| | INSURANCE - 3.0% | |
| | Insurance Brokers - 0.1% | |
| 442,211 | NFP Corp., Term B Loan, 5.076% (LIBOR + 300 bps), 1/8/24 | \$442,418 |
| | Life & Health Insurance - 0.6% | |
| 1,856,682 | Integro, Ltd., First Lien Initial Term Loan, 8.068% (LIBOR + 575 bps), 10/31/22 | \$1,861,324 |
| | Property & Casualty Insurance - 2.3% | |
| 885,176 | Acrisure LLC, First Lien 2017-2 Refinancing Term Loan, 6.592% (LIBOR + 425 bps), 11/22/23 | \$888,938 |
| 900,813 | Alliant Holdings Intermediate LLC, Initial Term Loan, 5.067% (LIBOR + 300 bps), 5/9/25 | 901,887 |
| 615,000 | AmWINS Group, Inc., First Lien Term Loan, 4.827% (LIBOR + 275 bps), 1/25/24 | 616,367 |
| 500,000 | Confie Seguros Holding II Co., Second Lien Term Loan, 11.576% (LIBOR + 950 bps), 5/8/19 | 493,750 |
| 2,367,329 | Confie Seguros Holding II Co., Term B Loan, 7.326% (LIBOR + 525 bps), 4/19/22 | 2,347,207 |
| 1,657,475 | | 1,655,748 |

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| | USI, Inc. (fka Compass Investors, Inc.), 2017 New Term Loan, 5.334% (LIBOR + 300 bps), 5/16/24 | \$6,903,897 |
| | Total Insurance | \$9,207,639 |
| | MATERIALS - 16.6% | |
| | Construction Materials - 1.7% | |
| 959,500 | 84 Lumber Co., Term B-1 Loan, 7.315% (LIBOR + 525 bps), 10/25/23 | \$969,894 |
| 1,229,403 | American Bath Group LLC, First Lien Replacement Term Loan, 6.584% (LIBOR + 425 bps), 9/30/23 | 1,238,624 |
| 493,750 | American Builders & Contractors Supply Co., Inc., Term B-2 Loan, 4.076% (LIBOR + 200 bps), 10/31/23 | 492,207 |
| 494,464 | Associated Asphalt Partners LLC, Tranche B Term Loan, 7.326% (LIBOR + 525 bps), 4/5/24 | 488,902 |
| 500,000(b) | Boyd Corp., Second Lien Term Loan, 8/14/26 | 500,938 |
| 530,000(b) | Boyd Corp., Term Loan B, 8/14/25 | 531,104 |
| 866,250 | Penn Engineering & Manufacturing Corp., Tranche B Term Loan, 4.826% (LIBOR + 275 bps), 6/27/24 | 870,851 |
| | | \$5,092,520 |
| | Diversified Chemicals - 4.5% | |
| 805,843 | Allnex (Luxembourg) & Cy SCA (fka AI Chem & Cy SCA), Tranche B-2 Term Loan, 5.567% (LIBOR + 325 bps), 9/13/23 | \$811,886 |
| 607,138 | Allnex (Luxembourg) & Cy SCA (fka AI Chem & Cy SCA), Tranche B-3 Term Loan, 5.567% (LIBOR + 325 bps), 9/13/23 | 611,692 |
| 497,500 | Avantor, Inc., Initial Dollar Term Loan, 6.076% (LIBOR + 400 bps), 11/21/24 | 503,667 |
| 1,234,661 | Axalta Coating Systems Dutch Holding B BV (Axalta Coating Systems US Holdings, Inc.), Term B-3 Dollar Loan, 4.084% (LIBOR + 175 bps), 6/1/24 | 1,236,590 |
| 1,205,601 | Azelis Finance SA (Azelis US Holding, Inc.), 2017 Refinancing Dollar Term Loan, 6.084% (LIBOR + 375 bps), 12/16/22 | 1,208,615 |
| 1,000,000 | Chemours Co., Tranche B-2 US Dollar Term Loan, 3.83% (LIBOR + 175 bps), 4/3/25 | 999,838 |
| 1,666,223 | Nexeo Solutions LLC, Term B-1 Loan, 5.58% (LIBOR + 325 bps), 6/9/23 | 1,677,678 |
| 560,362 | Orion Engineered Carbons GmbH, Initial Dollar Term Loan, 4.334% (LIBOR + 200 bps), 7/25/24 | 560,015 |
| 1,457,729 | Plaskolite LLC, First Lien Term Loan, 5.576% (LIBOR + 350 bps), 11/3/22 | 1,457,729 |
| 1,361,963 | Tata Chemicals North America, Term Loan, 5.125% (LIBOR + 275 bps), 8/7/20 | 1,367,070 |
| 406,099 | Tronox, Ltd., First Lien Blocked Dollar Term Loan, 5.076% (LIBOR + 300 bps), 9/23/24 | 408,087 |
| 937,151 | Tronox, Ltd., First Lien Initial Dollar Term Loan, 5.076% (LIBOR + 300 bps), 9/23/24 | 941,739 |
| 1,376,551 | Univar USA, Inc., Term B-3 Loan, 4.326% (LIBOR + 225 bps), 7/1/24 | 1,382,287 |
| 497,500 | | 502,268 |

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| | Vantage Specialty Chemicals, Inc., First Lien Closing Date Term Loan, 6.076% (LIBOR + 400 bps), 10/28/24 | \$13,669,161 |
| | Diversified Metals & Mining – 2.3% | |
| 1,600,000 | Aleris International, Inc., Initial Term Loan, 6.826% (LIBOR + 475 bps), 2/27/23 | \$1,626,000 |
| 2,219,375 | Global Brass and Copper, Inc. Initial Term Loan, 4.625% (LIBOR + 250 bps), 5/29/25 | 2,229,029 |
| 975,000 | Oxbow Carbon LLC, First Lien Tranche B Term Loan, 5.576% (LIBOR + 350 bps), 1/4/23 | 983,531 |
| 1,250,000 | UNIMIN Corp., Initial Term Loan, 6.05% (LIBOR + 375 bps), 6/1/25 | 1,238,281 |
| 947,625 | US Silica Co., Term Loan, 6.125% (LIBOR + 400 bps), 5/1/25 | 947,507 |
| | | \$7,024,348 |
| | Metal & Glass Containers - 1.0% | |
| 625,000 | Ball Metalpack Finco LLC, First Lien Initial Term Loan, 6.576% (LIBOR + 450 bps), 7/31/25 | \$631,250 |
| 949,416 | BWay Holding Co., Initial Term Loan, 5.581% (LIBOR + 325 bps), 4/3/24 | 946,350 |
| 1,496,250 | IBC Capital I, Ltd. (aka Goodpack, Ltd.), First Lien Tranche B-1 Term Loan, 6.085% (LIBOR + 375 bps), 9/11/23 | 1,506,226 |
| | | \$3,083,826 |
| Principal Amount USD (\$) | | Value |
| | Paper Packaging - 2.5% | |
| 943,270 | Berry Global, Inc. (fka Berry Plastics Corp.), Term Q Loan, 4.186% (LIBOR + 200 bps), 10/1/22 | \$944,596 |
| 2,007,934 | Caraustar Industries, Inc., Refinancing Term Loan, 7.834% (LIBOR + 550 bps), 3/14/22 | \$2,023,747 |
| 1,498,333 | Expera Specialty Solutions LLC, Term Loan B, 6.205% (LIBOR + 425 bps), 11/3/23 | 1,501,611 |
| 1,095,188 | Onex Wizard Acquisition Co. I S.a.r.l. (aka SIG Combibloc Group), Term Loan, 4.826% (LIBOR + 275 bps), 3/11/22 | 1,100,587 |
| 992,500 | Plastipak Holdings, Inc., Tranche B Term Loan, 4.58% (LIBOR + 250 bps), 10/14/24 | 992,872 |
| 1,044,750 | Trident TPI Holdings, Inc., Tranche B-1 Term Loan, 5.326% (LIBOR + 325 bps), 10/17/24 | 1,044,097 |
| | | \$7,607,510 |
| | Paper Products - 0.6% | |
| 298,148 | Ranpak Corp., Second Lien Initial Term Loan, 9.31% (LIBOR + 725 bps), 10/3/22 | \$300,384 |
| 1,552,988 | Ranpak Corp., Tranche B-1 USD Term Loan, 5.326% (LIBOR + 325 bps), 10/1/21 | 1,558,812 |
| | | \$1,859,196 |
| | Specialty Chemicals - 2.0% | |
| 1,447,393 | Ferro Corporation, Tranche B-1 Term Loan, 4.584% (LIBOR + 225 bps), 2/14/24 | \$1,456,740 |

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| 338,483 | H.B. Fuller Co., Commitment, 4.077% (LIBOR + 200 bps), 10/20/24 | 338,694 |
| 1,084,330 | MacDermid, Inc. (Platform Specialty Products Corp.), Tranche B-6 Term Loan, 5.076% (LIBOR + 300 bps), 6/7/23 | 1,089,244 |
| 1,385,143 | Omnova Solutions, Inc., Term B-2 Loan, 5.326% (LIBOR + 325 bps), 8/25/23 | 1,393,800 |
| 1,338,413 | PQ Corp., Third Amendment Tranche B-1 Term Loan, 4.576% (LIBOR + 250 bps), 2/8/25 | 1,341,620 |
| 494,962 | Versum Materials, Inc. (fka Versum Materials LLC), Term Loan, 4.334% (LIBOR + 200 bps), 9/29/23 | 496,818 |
| | | \$6,116,916 |
| | Steel – 2.0% | |
| 1,950,629 | Atkore International, Inc., First Lien Initial Incremental Term Loan, 5.09% (LIBOR + 275 bps), 12/22/23 | \$1,957,642 |
| 992,500 | Big River Steel LLC, Closing Date Term Loan, 7.334% (LIBOR + 500 bps), 8/23/23 | 1,006,147 |
| 403,988 | Phoenix Services International LLC, Term B Loan, 5.83% (LIBOR + 375 bps), 3/1/25 | 406,344 |
| 837,880 | TMS International Corp. (aka Tube City IMS Corp.), Term B-2 Loan, 4.826% (LIBOR + 275 bps), 8/14/24 | 841,546 |
| 1,939,096 | Zekelman Industries, Inc. (fka JMC Steel Group, Inc.), Term Loan, 4.582% (LIBOR + 225 bps), 6/14/21 | 1,940,918 |
| | | \$6,152,597 |
| | Total Materials | \$50,606,074 |
| | MEDIA - 12.1% | |
| | Advertising - 1.6% | |
| 1,921,639 | CB Poly Investments LLC, First Lien Closing Date Term Loan, 5.826% (LIBOR + 375 bps), 8/16/23 | \$1,936,656 |
| 611,200 | Checkout Holding Corp., First Lien Term B Loan, 5.813% (LIBOR + 350 bps), 4/9/21 | 302,238 |
| 1,124,074 | Crossmark Holdings, Inc., First Lien Term Loan, 5.834% (LIBOR + 350 bps), 12/20/19 | 710,977 |
| 342,128 | Outfront Media Capital LLC (Outfront Media Capital Corp.), Term Loan, 4.075% (LIBOR + 200 bps), 3/18/24 | 344,113 |
| 1,635,000 | Red Ventures LLC (New Imagitas, Inc.), First Lien Term Loan, 6.076% (LIBOR + 400 bps), 11/8/24 | 1,655,693 |
| | | \$4,949,677 |
| | Broadcasting - 3.8% | |
| 754,530 | A-L Parent LLC (aka Learfield Communications), First Lien Initial Term Loan, 5.33% (LIBOR + 325 bps), 12/1/23 | \$761,133 |
| 193,538 | CBS Radio, Inc., Term B-1 Loan, 4.816% (LIBOR + 275 bps), 11/18/24 | 192,084 |
| 493,750 | CSC Holdings LLC (fka CSC Holdings, Inc. (Cablevision)), March 2017 Refinancing Term Loan, 4.314% (LIBOR + 225 bps), 7/17/25 | 492,975 |
| 728,809 | Gray Television, Inc., Term B-2 Loan, 4.331% (LIBOR + 225 bps), 2/7/24 | 730,891 |
| 1,116,062 | Hubbard Radio LLC, Term Loan, 5.08% (LIBOR + 300 bps), 3/28/25 | 1,119,784 |

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|---------------------------|---|--------------|
| 1,939,534 | MediArena Acquisition BV (fka AP NMT Acquisition BV), First Lien Dollar Term B Loan, 8.087% (LIBOR + 575 bps), 8/13/21 | 1,947,009 |
| 56,758 | Mission Broadcasting, Inc., Term B-2 Loan, 4.582% (LIBOR + 250 bps), 1/17/24 | 56,953 |
| 417,086 | Nexstar Broadcasting, Inc., Term B-2 Loan, 4.582% (LIBOR + 250 bps), 1/17/24 | 418,998 |
| 521,063 | Raycom TV Broadcasting LLC, Tranche B-1 Term Loan, 4.326% (LIBOR + 225 bps), 8/23/24 | 522,040 |
| 2,057,532 | Sinclair Television Group, Inc., Tranche B Term Loan, 4.33% (LIBOR + 225 bps), 1/3/24 | 2,061,365 |
| 1,198,436 | Townsquare Media, Inc., Additional Term B Loan, 5.076% (LIBOR + 300 bps), 4/1/22 | 1,201,058 |
| 2,088,251 | Univision Communications, Inc., 2017 Replacement Repriced First Lien Term Loan, 4.826% (LIBOR + 275 bps), 3/15/24 | 2,010,593 |
| | | \$11,514,883 |
| | Cable & Satellite - 3.7% | |
| 2,494,961 | Altice US Finance I Corp., March 2017 Refinancing Term Loan, 4.326% (LIBOR + 225 bps), 7/28/25 | \$2,492,883 |
| 346,500 | Cable One, Inc., Incremental Term B-1 Loan, 4.09% (LIBOR + 175 bps), 5/1/24 | 348,232 |
| 1,948,298 | Charter Communications Operating LLC (aka CCO Safari LLC), Term B Loan, 4.08% (LIBOR + 200 bps), 4/30/25 | 1,951,341 |
| 1,824,612 | MCC Iowa LLC, Tranche M Term Loan, 3.96% (LIBOR + 200 bps), 1/15/25 | 1,831,454 |
| 1,985,000 | SFR Group SA, USD Term Loan B-12, 5.751% (LIBOR + 369 bps), 1/31/26 | 1,916,353 |
| 285,000 | Telenet Financing USD LLC, Term Loan AN Facility, 4.313% (LIBOR + 225 bps), 8/15/26 | 281,972 |
| 500,000 | Unitymedia Finance LLC, Facility E Term Loan, 4.063% (LIBOR + 200 bps), 6/1/23 | 499,821 |
| 915,370 | UPC Financing Partnership, Facility AR, 4.563% (LIBOR + 250 bps), 1/15/26 | 913,326 |
| 1,117,713 | Virgin Media Bristol LLC, Facility K, 4.563% (LIBOR + 250 bps), 1/15/26 | 1,118,499 |
| | | \$11,353,881 |
| Principal Amount USD (\$) | | Value |
| | Movies & Entertainment - 1.3% | |
| 1,126,066 | AMC Entertainment, Inc., Initial Term Loan, 4.313% (LIBOR + 225 bps), 12/15/22 | \$1,128,412 |
| 1,000,000 | CDS US Intermediate Holdings, Inc. (Cirque Du Soleil Canada, Inc.), Second Lien Initial Term Loan, 10.326% (LIBOR + 825 bps), 7/10/23 | 979,583 |
| 198,529 | Kasima LLC, Term Loan, 4.734% (LIBOR + 250 bps), 5/17/21 | 200,018 |
| 470,858 | Live Nation Entertainment, Inc., Term B-3 Loan, 3.875% (LIBOR + 175 bps), 10/31/23 | 472,621 |
| 1,045,000 | | 1,050,878 |

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|-----------|--|--------------|
| | Seminole Hard Rock Entertainment, Inc., Term Loan, 5.087% (LIBOR + 275 bps), 5/14/20 | \$3,831,512 |
| | Publishing - 1.7% | |
| 670,680 | DH Publishing LP, Term B-6 Loan, 4.327% (LIBOR + 225 bps), 8/20/23 | \$672,105 |
| 9,581 | Lee Enterprises, Inc., First Lien Term Loan, 8.326% (LIBOR + 625 bps), 3/31/19 | 9,592 |
| 2,436,842 | McGraw-Hill Global Education Holdings LLC, First Lien Term B Loan, 6.076% (LIBOR + 400 bps), 5/4/22 | 2,333,783 |
| 1,612,671 | Quincy Newspapers, Inc., Term Loan B, 5.131% (LIBOR + 300 bps/PRIME + 200 bps), 11/2/22 | 1,619,388 |
| 549,911 | Trader Corp., First Lien 2017 Refinancing Term Loan, 5.065% (LIBOR + 300 bps), 9/28/23 | 551,974 |
| | | \$5,186,842 |
| | Total Media | \$36,836,795 |
| | PHARMACEUTICALS, BIOTECHNOLOGY & LIFE SCIENCES - 3.9% | |
| | Biotechnology - 0.5% | |
| 1,066,025 | Alkermes, Inc., 2023 Term Loan, 4.34% (LIBOR + 225 bps), 3/27/23 | \$1,066,691 |
| 444,375 | Lantheus Holdings, Inc., Replacement Term Loan, 5.826% (LIBOR + 375 bps), 6/30/22 | 446,041 |
| | | \$1,512,732 |
| | Life Sciences Tools & Services - 1.3% | |
| 1,736,875 | Albany Molecular Research, Inc., First Lien Initial Term Loan, 5.326% (LIBOR + 325 bps), 8/30/24 | \$1,737,092 |
| 1,000,000 | Albany Molecular Research, Inc., Second Lien Initial Term Loan, 9.076% (LIBOR + 700 bps), 8/30/25 | 1,001,667 |
| 271,979 | Catalent Pharma Solutions, Inc. (fka Cardinal Health 409, Inc.), Dollar Term Loan, 4.326% (LIBOR + 225 bps), 5/20/24 | 273,466 |
| 890,909 | Explorer Holdings, Inc., Initial Term Loan, 6.084% (LIBOR + 375 bps), 5/2/23 | 895,364 |
| | | \$3,907,589 |
| | Pharmaceuticals - 2.1% | |
| 1,593,900 | Endo Luxembourg Finance Company I S.a.r.l., Initial Term Loan, 6.375% (LIBOR + 425 bps), 4/29/24 | \$1,605,845 |
| 866,145 | Horizon Pharma, Inc., Third Amendment Refinanced Term Loan, 5.375% (LIBOR + 325 bps), 3/29/24 | 889,964 |
| 1,096,315 | Jaguar Holding Co. I LLC (aka Pharmaceutical Product Development LLC), 2018 Term Loan, 4.576% (LIBOR + 250 bps), 8/18/22 | 1,096,467 |
| 297,750 | Parexel International Corp., Term Loan B, 4.826% (LIBOR + 275 bps), 9/27/24 | 297,843 |
| 2,576,187 | Valeant Pharmaceuticals International, Inc., Initial Term Loan, 5.081% (LIBOR + 300 bps), 6/2/25 | 2,588,264 |
| | | \$6,478,383 |
| | Total Pharmaceuticals, Biotechnology & Life Sciences | \$11,898,704 |
| | REAL ESTATE - 1.6% | |
| | Diversified REIT - 0.2% | |

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| | | |
|---------------------------|---|--------------|
| 421,510 | ESH Hospitality, Inc., Third Repriced Term Loan, 4.076% (LIBOR + 200 bps), 8/30/23 | \$421,539 |
| | Hotel & Resort REIT - 0.4% | |
| 1,334,288 | MGM Growth Properties Operating Partnership LP, Term B Loan, 4.076% (LIBOR + 200 bps), 3/21/25 | \$1,335,837 |
| | Retail REIT - 0.4% | |
| 1,200,000(b) | DTZ U.S. Borrower LLC (aka Cushman & Wakefield), Closing Date Term Loan, 8/21/25 | \$1,198,375 |
| | Specialized REIT - 0.6% | |
| 1,940,512 | Communications Sales & Leasing, Inc. (CSL Capital LLC), Shortfall Term Loan, 5.076% (LIBOR + 300 bps), 10/24/22 | \$1,863,485 |
| | Total Real Estate | \$4,819,236 |
| | RETAILING - 4.1% | |
| | Apparel Retail - 0.5% | |
| 518,433 | Hudson's Bay Co., Term Loan B, 5.315% (LIBOR + 325 bps), 9/30/22 | \$499,640 |
| 1,124,955 | Men's Wearhouse, Inc., Tranche B-2 Term Loan, 5.582% (LIBOR + 350 bps), 4/9/25 | 1,134,095 |
| | | \$1,633,735 |
| | Automotive Retail - 0.5% | |
| 1,388,977 | CWGS Group LLC, Term Loan, 4.83% (LIBOR + 275 bps), 11/8/23 | \$1,373,351 |
| | Department Stores - 0.7% | |
| 446,625 | Archroma Finance S.a.r.l., First Lien Facility B2, 6.583% (LIBOR + 425 bps), 8/12/24 | \$447,742 |
| 484,076 | J.C. Penney Corp., Inc., Term Loan, 6.567% (LIBOR + 425 bps), 6/23/23 | 442,473 |
| 1,500,000(b) | Neiman Marcus Group, Ltd., LLC, Other Term Loan, 10/25/20 | 1,397,812 |
| | | \$2,288,027 |
| | Internet & Direct Marketing Retail - 0.2% | |
| 550,000 | Shutterfly, Inc., Incremental Term Loan, 4.83% (LIBOR + 275 bps), 8/17/24 | \$552,131 |
| | Specialty Stores - 2.2% | |
| 992,500 | Bass Pro Group LLC, Initial Term Loan, 7.076% (LIBOR + 500 bps), 9/25/24 | \$1,002,053 |
| 739,850 | Michaels Stores, Inc., 2018 New Replacement Term B Loan, 4.572% (LIBOR + 250 bps), 1/30/23 | 739,480 |
| 480,651 | Party City Holdings, Inc., 2018 Replacement Term Loan, 5.053% (LIBOR + 275 bps), 8/19/22 | 483,299 |
| 2,428,121 | PetSmart, Inc., Tranche B-2 Term Loan, 5.09% (LIBOR + 300 bps), 3/11/22 | 2,083,415 |
| Principal Amount USD (\$) | | Value |
| | Specialty Stores - (continued) | |
| 2,481,250 | Staples, Inc., Term Loan B, 6.343% (LIBOR + 400 bps), 9/12/24 | \$2,478,665 |
| | | \$6,786,912 |
| | Total Retailing | \$12,634,156 |

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SEMICONDUCTORS & SEMICONDUCTOR

EQUIPMENT - 1.9%

Semiconductor Equipment - 0.8%

| | | |
|-----------|---|-------------|
| 181,892 | Entegris, Inc., New Tranche B Term Loan, 4.326% (LIBOR + 225 bps), 4/30/21 | \$182,119 |
| 1,711,977 | MACOM Technology Solutions Holdings, Inc. (fka M/A-COM Technology Solutions Holdings, Inc.), Initial Term Loan, 4.326% (LIBOR + 225 bps), 5/17/24 | 1,683,443 |
| 246,851 | Micron Technology, Inc., Term Loan, 3.83% (LIBOR + 175 bps), 4/26/22 | 248,086 |
| 212,096 | MKS Instruments, Inc., Tranche B-3 Term Loan, 3.826% (LIBOR + 175 bps), 5/1/23 | 213,156 |
| | | \$2,326,804 |

Semiconductors - 1.1%

| | | |
|-----------|--|-------------|
| 495,009 | Bright Bidco BV (aka Lumileds LLC), 2018 Refinancing Term B Loan, 5.751% (LIBOR + 350 bps), 6/30/24 | \$491,916 |
| 1,250,000 | Microchip Technology, Inc., Initial Term Loan, 4.08% (LIBOR + 200 bps), 5/29/25 | 1,249,865 |
| 1,185,188 | Mirion Technologies (Finance) LLC (Mirion Technologies, Inc.), First Lien Initial Term Loan, 6.976% (LIBOR + 475 bps), 3/31/22 | 1,182,224 |
| 400,169 | ON Semiconductor Corp., 2018 New Replacement Term B-3 Loan, 3.826% (LIBOR + 175 bps), 3/31/23 | 401,292 |
| | | \$3,325,297 |
| | Total Semiconductors & Semiconductor Equipment | \$5,652,101 |

SOFTWARE & SERVICES - 8.0%

Application Software - 2.0%

| | | |
|-----------|---|-------------|
| 794,000 | Applied Systems, Inc., First Lien Initial Term Loan, 5.334% (LIBOR + 300 bps), 9/19/24 | \$798,466 |
| 750,000 | Applied Systems, Inc., Second Lien Initial Term Loan, 9.334% (LIBOR + 700 bps), 9/19/25 | 776,719 |
| 400,000 | Dynatrace LLC, First Lien Term Loan, 5.316% (LIBOR + 325 bps), 8/25/25 | 402,250 |
| 250,000 | Dynatrace LLC, Second Lien Term Loan, 9.066% (LIBOR + 700 bps), 8/24/26 | 252,812 |
| 749,254 | Infor (US), Inc. (fka Lawson Software, Inc.), Tranche B-6 Term Loan, 4.826% (LIBOR + 275 bps), 2/1/22 | 750,603 |
| 1,714,134 | STG-Fairway Acquisitions, Inc., First Lien Term Loan, 7.592% (LIBOR + 525 bps), 6/30/22 | 1,714,134 |
| 1,318,289 | Verint Systems, Inc., Refinancing Term Loan, 4.082% (LIBOR + 200 bps), 6/28/24 | 1,320,761 |
| | | \$6,015,745 |

Data Processing & Outsourced Services - 1.4%

| | | |
|--------------|---|-------------|
| 1,000,000(b) | Everi Payments, Inc., Term B loan, 5/9/24 | \$1,007,125 |
| 1,571,377 | First Data Corp., 2022D New Dollar Term Loan, 4.066% (LIBOR + 200 bps), 7/8/22 | 1,570,886 |
| 1,131,090 | First Data Corp., 2024A New Dollar Term Loan, 4.066% (LIBOR + 200 bps), 4/26/24 | 1,130,737 |
| 735,000 | WEX, Inc., Term B-2 Loan, 4.326% (LIBOR + 225 bps), 6/30/23 | 737,628 |
| | | \$4,446,376 |

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|---------------------|---|--------------|
| | Internet Software & Services - 0.9% | |
| 908,093 | Match Group, Inc. (fka The Match Group, Inc.), Additional Term B-1 Loan, 4.577% (LIBOR + 250 bps), 11/16/22 | \$914,904 |
| 1,876,916 | Rackspace Hosting, Inc., First Lien Term B Loan, 5.348% (LIBOR + 300 bps), 11/3/23 | 1,870,024 |
| | | \$2,784,928 |
| | IT Consulting & Other Services - 2.4% | |
| 768,805 | Booz Allen Hamilton, Inc., New Refinancing Tranche B Term Loan, 4.076% (LIBOR + 200 bps), 6/30/23 | \$773,226 |
| 988,926 | Go Daddy Operating Co., LLC (GD Finance Co, Inc.), Tranche B-1 Term Loan, 4.326% (LIBOR + 225 bps), 2/15/24 | 992,547 |
| 469,083 | Kronos, Inc., First Lien Incremental Term Loan, 5.343% (LIBOR + 300 bps), 11/1/23 | 470,752 |
| 1,485,000 | Peraton Corp. (fka MHVC Acquisition Corp.), First Lien Initial Term Loan, 7.59% (LIBOR + 525 bps), 4/29/24 | 1,496,138 |
| 299,250 | Rocket Software, Inc., First Lien Term Loan, 6.084% (LIBOR + 375 bps), 10/14/23 | 302,093 |
| 700,000 | Rocket Software, Inc., Second Lien Term Loan, 11.834% (LIBOR + 950 bps), 10/14/24 | 703,500 |
| 1,337,120 | Tempo Acquisition LLC, Initial Term Loan, 5.076% (LIBOR + 300 bps), 5/1/24 | 1,341,967 |
| 1,200,000(b) | Verscend Holding Corp., Term B Loan, 8/27/25 | 1,209,374 |
| | | \$7,289,597 |
| | Systems Software - 1.3% | |
| 1,871,236 | EZE Software Group LLC, First Lien Term B-2 Loan, 5.076% (LIBOR + 300 bps), 4/6/20 | \$1,877,864 |
| 321,161 | Ivanti Software, Inc. (fka LANDesk Group, Inc.), First Lien Term Loan, 6.33% (LIBOR + 425 bps), 1/20/24 | 321,401 |
| 496,250 | Project Silverback Holdings Corp., First Lien New Term Loan, 5.566% (LIBOR + 350 bps), 8/21/24 | 476,400 |
| 1,219,646 | Rovi Solutions Corp., Term B Loan, 4.58% (LIBOR + 250 bps), 7/2/21 | 1,218,732 |
| | | \$3,894,397 |
| | Total Software & Services | \$24,431,043 |
| | TECHNOLOGY HARDWARE & EQUIPMENT - 2.7% | |
| | Communications Equipment - 0.4% | |
| 194,500 | Commscope, Inc., Tranche 5 Term Loan, 4.076% (LIBOR + 200 bps), 12/29/22 | \$195,806 |
| 1,125,000 | Plantronics, Inc., Initial Term B Loan, 4.576% (LIBOR + 250 bps), 7/2/25 | 1,125,000 |
| | | \$1,320,806 |
| | Electronic Manufacturing Services - 0.3% | |
| 836,808 | 4L Technologies, Inc. (fka Clover Holdings, Inc.), Term Loan, 6.576% (LIBOR + 450 bps), 5/8/20 | \$822,686 |
| | Technology Distributors - 0.8% | |
| 1,030,333 | CDW LLC (aka AP Exhaust Acquisition LLC) (fka CDW Corp.), Term Loan, 3.83% (LIBOR + 175 bps), 8/17/23 | \$1,032,071 |
| Principal Amount | | Value |

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|-----------|--|--------------|
| USD (\$) | | |
| | Technology Distributors - (continued) | |
| 585,060 | SS&C Technologies Holdings, Inc., 2017 Refinancing New Term B-1 Loan, 4.326% (LIBOR + 225 bps), 7/8/22 | \$587,741 |
| 658,127 | SS&C Technologies Holdings, Inc., Term B-3 Loan, 4.326% (LIBOR + 225 bps), 4/16/25 | 659,567 |
| 256,011 | SS&C Technologies Holdings, Inc., Term B-4 Loan, 4.326% (LIBOR + 225 bps), 4/16/25 | 256,571 |
| | | \$2,535,950 |
| | Technology Hardware, Storage & Peripherals - 1.2% | |
| 1,127,584 | Dell International LLC, Refinancing Term B Loan, 4.08% (LIBOR + 200 bps), 9/7/23 | \$1,128,234 |
| 1,201,179 | Diebold Nixdorf, Inc. (fka Diebold, Inc.), New Dollar Term B Loan, 4.875% (LIBOR + 275 bps), 11/6/23 | 1,049,030 |
| 1,401,210 | Western Digital Corp., US Term B-4 Loan, 3.816% (LIBOR + 175 bps), 4/29/23 | 1,403,582 |
| | | \$3,580,846 |
| | Total Technology Hardware & Equipment | \$8,260,288 |
| | TELECOMMUNICATION SERVICES - 3.6% | |
| | Integrated Telecommunication Services - 2.8% | |
| 654,000 | Altice France SA, USD TLB-[13] Incremental Term Loan, 6.067% (LIBOR + 400 bps), 8/14/26 | \$637,957 |
| 2,526,776 | CenturyLink, Inc., Initial Term B Loan, 4.826% (LIBOR + 275 bps), 1/31/25 | 2,500,720 |
| 1,094,000 | Frontier Communications Corp., Term B-1 Loan, 5.83% (LIBOR + 375 bps), 6/15/24 | 1,059,813 |
| 949,616 | GCI Holdings, Inc., New Term B Loan, 4.326% (LIBOR + 225 bps), 2/2/22 | 950,803 |
| 1,243,406 | Level 3 Financing, Inc., Tranche B 2024 Term Loan, 4.317% (LIBOR + 225 bps), 2/22/24 | 1,245,996 |
| 250,000 | Securus Technologies Holdings, Inc., Second Lien Term Loan, 10.326% (LIBOR + 825 bps), 11/1/25 | 250,703 |
| 248,750 | Securus Technologies Holdings, Inc., Term Loan, 6.576% (LIBOR + 450 bps), 11/1/24 | 249,268 |
| 1,000,000 | TDC AS, Facility B2, 5.839% (LIBOR + 350 bps), 6/4/25 | 1,009,062 |
| 542,980 | Windstream Services LLC (fka Windstream Corp.), 2016 Term Loan Tranche B-6, 6.06% (LIBOR + 400 bps), 3/29/21 | 507,686 |
| | | \$8,412,008 |
| | Wireless Telecommunication Services - 0.8% | |
| 2,547,800 | Sprint Communications, Inc., Initial Term Loan, 4.625% (LIBOR + 250 bps), 2/2/24 | \$2,552,047 |
| | Total Telecommunication Services | \$10,964,055 |
| | TRANSPORTATION - 4.2% | |
| | Airlines - 2.4% | |
| 833,700 | Air Canada, Replacement Term Loan, 4.073% (LIBOR + 200 bps), 10/6/23 | \$837,347 |
| 1,242,388 | American Airlines, Inc., 2017 Class B Term Loan, 4.063% (LIBOR + 200 bps), 12/14/23 | 1,235,400 |
| 2,881,181 | American Airlines, Inc., 2018 Replacement Term Loan, 3.815% (LIBOR + 175 bps), 6/27/25 | 2,824,958 |

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|-----------|---|--------------|
| 2,058,000 | American Airlines, Inc., Replacement Class B Term Loan, 4.065% (LIBOR + 200 bps), 4/28/23 | 2,045,996 |
| 237,617 | United AirLines, Inc., Refinanced Term Loan, 3.826% (LIBOR + 175 bps), 4/1/24 | 240,736 |
| | | \$7,184,437 |
| | Marine - 0.8% | |
| 1,528,106 | Commercial Barge Line Co., Initial Term Loan, 10.826% (LIBOR + 875 bps), 11/12/20 | \$1,238,721 |
| 1,171,876 | Navios Maritime Partners LP, Initial Term Loan, 7.33% (LIBOR + 500 bps), 9/14/20 | 1,176,759 |
| | | \$2,415,480 |
| | Trucking - 1.0% | |
| 397,000 | PODS LLC, Tranche B-4 Term Loan, 4.821% (LIBOR + 275 bps), 12/6/24 | \$398,440 |
| 764,000 | Syncreon Global Finance, Inc., Term Loan, 6.326% (LIBOR + 425 bps), 10/28/20 | 723,890 |
| 1,920,682 | YRC Worldwide, Inc., Tranche B-1 Term Loan, 10.576% (LIBOR + 850 bps), 7/26/22 | 1,956,095 |
| | | \$3,078,425 |
| | Total Transportation | \$12,678,342 |
| | UTILITIES - 3.1% | |
| | Electric Utilities - 1.7% | |
| 1,185,972 | APLP Holdings, Ltd., Partnership, Term Loan, 5.076% (LIBOR + 300 bps), 4/13/23 | \$1,190,419 |
| 1,442,750 | Calpine Construction Finance Co., LP, Term B Loan, 4.576% (LIBOR + 250 bps), 1/15/25 | 1,445,756 |
| 132,761 | Helix Gen Funding LLC, Term Loan, 5.826% (LIBOR + 375 bps), 6/3/24 | 128,405 |
| 698,250 | St. Joseph Energy Center LLC, Term B Loan Advance, 5.844% (LIBOR + 350 bps/PRIME + 250 bps), 4/10/25 | 702,614 |
| 1,237,762 | TPF II Power LLC (TPF II Convert Midco LLC), Term Loan, 5.826% (LIBOR + 375 bps), 10/2/23 | 1,239,563 |
| 441,139 | Vistra Operations Co., LLC (fka Tex Operations Co., LLC), Initial Term Loan, 4.076% (LIBOR + 200 bps), 8/4/23 | 440,956 |
| | | \$5,147,713 |
| | Independent Power Producers & Energy Traders - 1.1% | |
| 1,205,168 | Calpine Corp., Term Loan, 4.84% (LIBOR + 250 bps), 1/15/24 | \$1,208,391 |
| 862,581 | NRG Energy, Inc., Term Loan, 4.084% (LIBOR + 175 bps), 6/30/23 | 862,792 |
| 1,282,368 | TerraForm AP Acquisition Holdings LLC, Term Loan, 6.584% (LIBOR + 425 bps), 6/27/22 | 1,285,174 |
| | | \$3,356,357 |
| | Water Utilities - 0.3% | |
| 369,375 | Culligan NewCo., Ltd., First Lien Tranche B-1 Term Loan, 5.326% (LIBOR + 325 bps), 12/13/23 | \$368,221 |
| 558,538 | WTG Holdings III Corp., Refinancing 2017-2 First Lien Term Loan, 5.076% (LIBOR + 300 bps), 12/20/24 | 562,203 |
| | | \$930,424 |
| | Total Utilities | \$9,434,494 |

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TOTAL SENIOR SECURED FLOATING RATE LOAN INTERESTS

| | | |
|---------------------------|--|---------------|
| | (Cost \$418,935,126) | \$415,483,467 |
| Shares | | Value |
| | COMMON STOCKS - 0.1% of Net Assets | |
| | CONSUMER DURABLES & APPAREL - 0.0%† | |
| | Homebuilding - 0.0%† | |
| 31,348(d) | WAICCS Las Vegas 3 LLC | \$100,000 |
| | Total Consumer Durables & Apparel | \$100,000 |
| | HEALTH CARE EQUIPMENT & SERVICES - 0.0%† | |
| | Health Care Technology - 0.0%† | |
| 209,625^(d) | Medical Card System, Inc. | \$2,096 |
| | Total Health Care Equipment & Services | \$2,096 |
| | MEDIA - 0.0%† | |
| | Publishing - 0.0%† | |
| 1,242(d) | Solocal Group SA | \$1,494 |
| | Total Media | \$1,494 |
| | PHARMACEUTICALS, BIOTECHNOLOGY & LIFE SCIENCES - 0.0%† | |
| | Biotechnology - 0.0%† | |
| 2,454(d) | Progenics Pharmaceuticals, Inc. | \$19,215 |
| | Total Pharmaceuticals, Biotechnology & Life Sciences | \$19,215 |
| | RETAILING - 0.1% | |
| | Computer & Electronics Retail - 0.1% | |
| 91,346^(d) | Targus Cayman SubCo., Ltd. | \$190,000 |
| | Total Retailing | \$190,000 |
| | TRANSPORTATION - 0.0%† | |
| | Airlines - 0.0%† | |
| 732 | Delta Air Lines, Inc. | \$42,808 |
| | Total Transportation | \$42,808 |
| | UTILITIES - 0.0%† | |
| | Independent Power Producers & Energy Traders - 0.0%† | |
| 775 | NRG Energy, Inc. | \$27,427 |
| | Total Utilities | \$27,427 |
| | TOTAL COMMON STOCKS | |
| | (Cost \$831,665) | \$383,040 |
| Principal Amount USD (\$) | | Value |
| | ASSET BACKED SECURITY - 0.2% of Net Assets | |
| | BANKS - 0.2% | |
| | Thriffs & Mortgage Finance - 0.2% | |
| 500,000(a) | Hertz Fleet Lease Funding LP, Series 2016-1, Class E, 5.563% (1 Month USD LIBOR + 350 bps), 4/10/30 (144A) | \$501,525 |
| | Total Banks | \$501,525 |
| | TOTAL ASSET BACKED SECURITY | |
| | (Cost \$503,250) | \$501,525 |
| | CORPORATE BONDS - 7.2% of Net Assets | |
| | BANKS - 0.4% | |
| | Diversified Banks - 0.4% | |

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| | | |
|------------------|--|-------------|
| 1,100,000(e)(f) | BNP Paribas SA, 7.625% (5 Year USD Swap Rate + 631 bps) (144A) | \$1,168,750 |
| | Total Banks | \$1,168,750 |
| | CAPITAL GOODS - 0.3% | |
| | Trading Companies & Distributors - 0.3% | |
| 900,000 | United Rentals North America, Inc., 4.625%, 7/15/23 | \$909,675 |
| | Total Capital Goods | \$909,675 |
| | DIVERSIFIED FINANCIALS - 0.2% | |
| | Diversified Capital Markets - 0.2% | |
| 700,000 | Avation Capital SA, 6.5%, 5/15/21 (144A) | \$702,625 |
| | Total Diversified Financials | \$702,625 |
| | ENERGY - 1.3% | |
| | Oil & Gas Equipment & Services - 0.6% | |
| 1,000,000 | Archrock Partners LP/Archrock Partners Finance Corp., 6.0%, 10/1/22 | \$997,500 |
| 1,000,000 | FTS International, Inc., 6.25%, 5/1/22 | 981,250 |
| | | \$1,978,750 |
| | Oil & Gas Exploration & Production - 0.1% | |
| 245,000 | Gulfport Energy Corp., 6.625%, 5/1/23 | \$249,900 |
| | Oil & Gas Storage & Transportation - 0.6% | |
| 1,000,000(a) | Golar LNG Partners LP, 6.71% (3 Month USD LIBOR + 440 bps), 5/22/20 | \$982,500 |
| 800,000(a) | Golar LNG Partners LP, 8.564% (3 Month USD LIBOR + 625 bps), 5/18/21 (144A) | 804,000 |
| | | \$1,786,500 |
| | Total Energy | \$4,015,150 |
| | HEALTH CARE EQUIPMENT & SERVICES - 0.2% | |
| | Health Care Facilities - 0.2% | |
| 500,000 | CHS/Community Health Systems, Inc., 6.25%, 3/31/23 | \$475,000 |
| 48,000 | CHS/Community Health Systems, Inc., 8.125%, 6/30/24 (144A) | 39,480 |
| | Total Health Care Equipment & Services | \$514,480 |
| | INSURANCE - 2.4% | |
| | Reinsurance - 2.4% | |
| 1,175,254+(g)(h) | Berwick Re 2018-1, Variable Rate Notes, 12/31/21 | \$1,230,961 |
| 250,000+(g)(h) | Carnoustie Re 2016, Variable Rate Notes, 11/30/20 | 6,750 |
| 250,000+(g)(h) | Carnoustie Re 2017, Variable Rate Notes, 11/30/21 | 63,550 |
| 400,000+(g)(h) | Eden Re II, Variable Rate Notes, 3/22/22 (144A) | 431,120 |
| | Principal Amount | Value |
| | USD (\$) | |
| | Reinsurance - (continued) | |
| 250,000+(g)(h) | Formby Re 2018, Variable Rate Notes, 6/15/19 | \$253,706 |
| 250,000+(g)(h) | Gleneagles Re 2016, Variable Rate Notes, 11/30/20 | 23,218 |
| 250,000+(g)(h) | Harambee Re 2018, Variable Rate Notes, 12/31/21 | 267,175 |
| 272,363+(g)(h) | Kilarney Re 2018, Variable Rate Notes, 4/15/19 | 251,418 |
| 400,000(a) | Kilimanjaro II Re, 7.921% (6 Month USD LIBOR + 572 bps), 4/20/21 (144A) (Cat Bond) | 405,240 |
| 250,000(a) | Kilimanjaro Re, 8.849% (3 Month U.S. Treasury Bill + 675 bps), 12/6/19 (144A) (Cat Bond) | 249,400 |
| 250,000(a) | | 251,000 |

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| | | |
|----------------|---|-------------|
| | Kilimanjaro Re, 11.349% (3 Month U.S. Treasury Bill + 925 bps), 12/6/19 (144A) (Cat Bond) | |
| 250,000+(g)(h) | Limestone Re, Variable Rate Notes, 3/1/22 | 254,225 |
| 300,000+(g)(h) | Lorenz Re 2018, Variable Rate Notes, 7/1/21 | 310,560 |
| 250,000+(g)(h) | Madison Re 2016, Variable Rate Notes, 3/31/19 | 6,950 |
| 300,000+(g)(h) | Merion Re 2018-2, Variable Rate Notes, 12/31/21 | 331,184 |
| 400,000+(g)(h) | Pangaea Re 2016-1, Variable Rate Notes, 11/30/20 | 640 |
| 400,000+(g)(h) | Pangaea Re 2017-1, Variable Rate Notes, 11/30/21 | 1,808 |
| 400,000+(g)(h) | Pangaea Re 2018-1, Variable Rate Notes, 12/31/21 | 436,352 |
| 400,000+(g)(h) | Pangaea Re 2018-3, Variable Rate Notes, 7/1/22 | 410,880 |
| 400,000+(g)(h) | Pinehurst Re 2018-1, Variable Rate Notes, 1/15/19 | 392,270 |
| 250,000+(g)(h) | Promissum Re 2018, Variable Rate Notes, 6/15/19 | 239,225 |
| 250,000+(g)(h) | Resilience Re, Variable Rate Notes, 1/3/18 | 238,575 |
| 250,000+(g)(h) | Resilience Re, Variable Rate Notes, 4/6/18 | 260,325 |
| 300,000+(g)(h) | Resilience Re, Variable Rate Notes, 1/8/19 (144A) | 300,000 |
| 300,000+(g)(h) | Resilience Re, Variable Rate Notes, 5/1/19 | 3,000 |
| 400,000+(g)(h) | St. Andrews Re 2017-1, Variable Rate Notes, 2/1/19 | 27,120 |
| 347,597+(g)(h) | St. Andrews Re 2017-4, Variable Rate Notes, 6/1/19 | 34,204 |
| 250,000(a) | Ursa Re, 3.5% (ZERO + 350 bps), 5/27/20 (144A) (Cat Bond) | 249,525 |
| 250,000+(g)(h) | Woburn Re 2018, Variable Rate Notes, 12/31/21 | 262,456 |
| | Total Insurance | \$7,192,837 |
| | MATERIALS - 0.2% | |
| | Commodity Chemicals - 0.2% | |
| 758,000 | Rain CII Carbon LLC/CII Carbon Corp., 7.25%, 4/1/25 (144A) | \$776,950 |
| | Total Materials | \$776,950 |
| | MEDIA - 0.6% | |
| | Broadcasting - 0.1% | |
| 300,000 | CSC Holdings LLC, 5.5%, 4/15/27 (144A) | \$292,125 |
| | Cable & Satellite - 0.5% | |
| 750,000 | Hughes Satellite Systems Corp., 5.25%, 8/1/26 | \$717,187 |
| 1,000,000 | Sirius XM Radio, Inc., 3.875%, 8/1/22 (144A) | 981,200 |
| | | \$1,698,387 |
| | Total Media | \$1,990,512 |
| | PHARMACEUTICALS, BIOTECHNOLOGY & LIFE SCIENCES - 0.3% | |
| | Pharmaceuticals - 0.3% | |
| 1,000,000 | Valeant Pharmaceuticals International, Inc., 5.5%, 11/1/25 (144A) | \$997,500 |
| | Total Pharmaceuticals, Biotechnology & Life Sciences | \$997,500 |
| | RETAILING - 0.1% | |
| | Automotive Retail - 0.1% | |
| 208,000 | Penske Automotive Group, Inc., 3.75%, 8/15/20 | \$205,400 |
| | Total Retailing | \$205,400 |
| | TELECOMMUNICATION SERVICES - 0.9% | |
| | Integrated Telecommunication Services - 0.9% | |
| 1,000,000 | Frontier Communications Corp., 11.0%, 9/15/25 | \$765,000 |
| 2,000,000 | Windstream Services LLC/Windstream Finance Corp., 8.625%, 10/31/25 (144A) | 1,865,000 |
| | Total Telecommunication Services | \$2,630,000 |

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| | | |
|---------------|---|-----------------|
| | TRANSPORTATION - 0.1% | |
| | Airlines - 0.1% | |
| 365,000 | Air Canada 2015-1 Class C Pass Through Trust, 5.0%, 3/15/20 (144A) | \$367,281 |
| | Total Transportation | \$367,281 |
| | UTILITIES - 0.2% | |
| | Independent Power Producers & Energy Traders - 0.2% | |
| 561,000 | NRG Energy, Inc., 6.25%, 7/15/22 | \$579,233 |
| | Total Utilities | \$579,233 |
| | TOTAL CORPORATE BONDS | |
| | (Cost \$21,942,942) | \$22,050,393 |
| | U.S. GOVERNMENT AND AGENCY OBLIGATION - 5.7% of Net Assets | |
| 17,475,000(i) | U.S. Treasury Bill, 9/20/18 | \$17,460,146 |
| | TOTAL U.S. GOVERNMENT AND AGENCY OBLIGATION | |
| | (Cost \$17,457,453) | \$17,460,146 |
| Shares | | Value |
| | INVESTMENT COMPANIES - 1.7% of Net Assets | |
| | DIVERSIFIED FINANCIALS - 1.7% | |
| | Asset Management & Custody Banks - 0.6% | |
| 40,000 | BlackRock Floating Rate Income Strategies Fund, Inc. | \$552,000 |
| 30,000 | Eaton Vance Floating-Rate Income Trust | 441,600 |
| 50,000 | First Trust Senior Floating Rate Income Fund II | 637,500 |
| 50,000 | Invesco Senior Income Trust | 216,500 |
| | | \$1,847,600 |
| Shares | | Value |
| | Other Diversified Financial Services – 1.1% | |
| 42,000 | Invesco Senior Loan ETF (formerly, PowerShares Senior Loan Portfolio) | \$968,520 |
| 27,000 | iShares iBoxx \$ High Yield Corporate Bond ETF | 2,331,720 |
| | | \$3,300,240 |
| | Total Diversified Financials | \$5,147,840 |
| | TOTAL INVESTMENT COMPANIES | |
| | (Cost \$5,127,287) | \$5,147,840 |
| | TOTAL INVESTMENTS IN UNAFFILIATED ISSUERS | |
| | - 151.2% | |
| | (Cost \$464,797,723) | \$461,026,411 |
| | OTHER ASSETS AND LIABILITIES - (51.2)% | \$(156,066,688) |
| | NET ASSETS - 100.0% | \$304,959,723 |

bps Basis Points.

LIBOR London Interbank Offered Rate.

PRIME U.S. Federal Funds Rate.

REIT Real Estate Investment Trust.

ZERO Zero Constant Index.

(144A) 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, 2018, the value of these securities amounted to \$10,382,721, or 3.4% of net assets.

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(Cat Catastrophe or event-linked bond. At August 31, 2018, the value of these securities amounted to \$1,155,165, Bond) or 0.4% of net assets.

† 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 rate plus a premium. These base lending rates are

* generally (i) the lending rate offered by one or more major European banks, such as LIBOR, (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, 2018.

^ Security is valued using fair value methods (other than supplied by independent pricing services).

+ Securities that used significant unobservable inputs to determine their value.

(a) Floating rate note. Coupon rate, reference index and spread shown at August 31, 2018.

(b) This term loan will settle after August 31, 2018, at which time the interest rate will be determined.

(c) Payment in Kind (PIK) security which may pay interest in the form of additional principal amount.

(d) Non-income producing security.

(e) The interest rate is subject to change periodically. The interest rate and/or reference index and spread shown at August 31, 2018.

(f) Security is perpetual in nature and has no stated maturity date.

(g) Structured reinsurance investment. At August 31, 2018, the value of these securities amounted to \$6,037,672, or 2.0% of net assets.

(h) Rate to be determined.

(i) Security issued with a zero coupon. Income is recognized through accretion of discount.

SWAP CONTRACTS

CENTRALLY CLEARED CREDIT DEFAULT SWAP CONTRACTS - SELL PROTECTION

| Notional Amount (\$) ⁽¹⁾ | Obligation Reference/ Index | Pay/ Receive ⁽²⁾ | Annual Fixed Rate | Expiration Date | Premiums Paid | Unrealized Appreciation | Market Value |
|-------------------------------------|---|-----------------------------|-------------------|-----------------|-------------------|-------------------------|-------------------|
| 1,045,000 | Markit CDX North America High Yield Index Series 24 | Receive | 5.00% | 6/20/20 | \$ 55,809 | \$ 17,145 | \$ 72,954 |
| 1,070,400 | Markit CDX North America High Yield Index Series 25 | Receive | 5.00% | 12/20/20 | 59,360 | 21,080 | 80,440 |
| TOTAL SWAP CONTRACTS | | | | | \$ 115,169 | \$ 38,225 | \$ 153,394 |

⁽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.

⁽²⁾ Receives Quarterly.

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

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, 2018, in valuing the Trust's investments.

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| | Level 1 | Level 2 | Level 3 | Total |
|---|-------------|---------------|-------------|---------------|
| Senior Secured Floating Rate Loan Interests | | | | |
| Health Care Equipment & Services | | | | |
| Health Care Technology | \$- | \$5,146,788 | \$692,754 | \$5,839,542 |
| All Other Senior Secured Floating Rate Loan Interests | - | 409,643,925 | - | 409,643,925 |
| Common Stocks | | | | |
| Consumer Durables & Apparel | | | | |
| Homebuilding | - | 100,000 | - | 100,000 |
| Health Care Equipment & Services | | | | |
| Health Care Technology | - | - | 2,096 | 2,096 |
| Retailing | | | | |
| Computer & Electronics Retail | - | - | 190,000 | 190,000 |
| All Other Common Stocks | 90,944 | - | - | 90,944 |
| Asset Backed Security | - | 501,525 | - | 501,525 |
| Corporate Bonds | | | | |
| Insurance | | | | |
| Reinsurance | - | 1,155,165 | 6,037,672 | 7,192,837 |
| All Other Corporate Bonds | - | 14,857,556 | - | 14,857,556 |
| U.S. Government and Agency Obligation | - | 17,460,146 | - | 17,460,146 |
| Investment Companies | 5,147,840 | - | - | 5,147,840 |
| Total Investments in Securities | \$5,238,784 | \$448,865,105 | \$6,922,522 | \$461,026,411 |
| Other Financial Instruments | | | | |
| Swap contracts, at value | \$- | \$153,394 | \$- | \$153,394 |
| Total Other | | | | |
| Financial Instruments | \$- | \$153,394 | \$- | \$153,394 |

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

| | Balance as of 11/30/17 | Realized gain (loss) | Change in unrealized appreciation (depreciation) | Accrued discounts/premiums | Purchases Sales | Transfers into Level 3* | Transfers out of Level 3* | Balance as of 8/31/18 |
|---|------------------------|----------------------|--|----------------------------|-----------------|-------------------------|---------------------------|-----------------------|
| Senior Secured Floating Rate Loan Interests | | | | | | | | |
| Capital Goods | | | | | | | | |
| Aerospace & Defense | \$2,257,937 | \$60,418 | \$(18,537) | \$2,937 | \$-- | \$(2,302,755) | \$- | \$-- |
| Health Care | | | | | | | | |
| Equipment & Services | | | | | | | | |
| Health Care Technology | 731,754 | 2,142 | (13,521) | 32,379 | -- | (60,000) | - | 692,754 |
| Common Stocks | | | | | | | | |
| Consumer Durables & Apparel | | | | | | | | |
| Homebuilding | 100,000 | -- | -- | -- | -- | -- | (100,000) | -- |

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| | | | | | | | | | |
|--|-------------|----------|----------|----------|-------------|---------------|-----|-------------|-------------|
| Health Care Equipment & Services | | | | | | | | | |
| Health Care Technology | 2,096 | – | – | – | – | – | – | – | 2,096 |
| Retailing Computer & Electronics | | | | | | | | | |
| Retail | 179,952 | -- | 10,048 | – | – | – | – | – | 190,000 |
| Corporate Bonds Insurance | | | | | | | | | |
| Reinsurance | 3,155,286 | (15,348) | 88,682 | 9,851 | 5,591,321 | (2,792,120) | – | – | 6,037,672 |
| Total | \$6,427,025 | \$47,212 | \$66,672 | \$45,167 | \$5,591,321 | \$(5,154,875) | \$– | \$(100,000) | \$6,922,522 |

Transfers are calculated on the beginning of period values. For the nine months ended August 31, 2018, a security * valued at \$100,000 was transferred from Level 3 to Level 2. The change in the level designation within the fair value hierarchy was due to valuing the security using observable inputs. There were no other transfers between Levels 1, 2 and 3.

Net change in unrealized appreciation (depreciation) of Level 3 investments still held and considered Level 3 at August 31, 2018: \$202,876.

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 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 registrant's 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 registrant's 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 registrant's internal control over financial reporting that occurred during the registrant's most recent fiscal quarter that has materially affected, or is reasonably likely to materially affect, the registrant's internal control over financial reporting; and
5. The registrant's other certifying officer(s) and I have disclosed to the registrant's auditors and the audit committee of the registrant's 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 registrant's 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 registrant's internal control over financial reporting.

Date: [Signature] [Title]

Filed herewith.

SIGNATURES

[See General Instruction F]

Pursuant to the requirements of the Securities Exchange Act of 1934 and the 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 29, 2018

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 29, 2018

By (Signature and Title)* /s/ Mark E. Bradley
Mark E. Bradley, Treasurer and Chief Accounting and Financial Officer

Date October 29, 2018

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