;,QYHVWPHQW$GYLVHUUHJLVWHUHGXQGHU6HFWLRQRIWKH,QYHVWPHQW

$GYLVHUV$FWRI 

,WHP 5HIHUHQFHLVPDGHWR,WHPVRQWKHSUHFHGLQJSDJHVRIWKLV

6FKHGXOH*

,WHP 2ZQHUVKLSRI)LYH3HUFHQWRU/HVVRID&ODVV

1RW$SSOLFDEOH

,WHP 2ZQHUVKLSRI0RUHWKDQ)LYH3HUFHQWRQ%HKDOIRI$QRWKHU3HUVRQ

 3ULFH,QYHVWPHQW0DQDJHPHQWGRHVQRWVHUYHDVFXVWRGLDQ

RIWKHDVVHWVRIDQ\RILWVFOLHQWV DFFRUGLQJO\LQHDFK

LQVWDQFHRQO\WKHFOLHQWRUWKHFOLHQW VFXVWRGLDQRU

WUXVWHHEDQNKDVWKHULJKWWRUHFHLYHGLYLGHQGVSDLGZLWK

UHVSHFWWRDQGSURFHHGVIURPWKHVDOHRIVXFKVHFXULWLHV

7KHXOWLPDWHSRZHUWRGLUHFWWKHUHFHLSWRIGLYLGHQGVSDLGZLWK

UHVSHFWWRDQGWKHSURFHHGVIURPWKHVDOHRIVXFKVHFXULWLHVLV

YHVWHGLQWKHLQGLYLGXDODQGLQVWLWXWLRQDOFOLHQWVZKLFK

3ULFH,QYHVWPHQW0DQDJHPHQWVHUYHVDVLQYHVWPHQWDGYLVHU

$Q\DQGDOOGLVFUHWLRQDU\DXWKRULW\ZKLFKKDVEHHQGHOHJDWHGWR

3ULFH,QYHVWPHQW0DQDJHPHQWPD\EHUHYRNHG

LQZKROHRULQSDUWDWDQ\WLPH

([FHSWDVPD\EHLQGLFDWHGLIWKLVLVDMRLQWILOLQJZLWKRQHRIWKH

UHJLVWHUHGLQYHVWPHQWFRPSDQLHVVSRQVRUHGE\

3ULFH,QYHVWPHQW0DQDJHPHQWZKLFKLWDOVRVHUYHVDV

LQYHVWPHQWDGYLVHU 75RZH3ULFH)XQGV QRWPRUH

WKDQRIWKHFODVVRIVXFKVHFXULWLHVLVRZQHGE\DQ\RQHFOLHQW

VXEMHFWWRWKHLQYHVWPHQWDGYLFHRI3ULFH,QYHVWPHQW0DQDJHPHQW

,WHP ,GHQWLILFDWLRQDQG&ODVVLILFDWLRQRIWKH6XEVLGLDU\:KLFK$FTXLUHGWKH

6HFXULW\%HLQJ5HSRUWHGRQ%\WKH3DUHQW+ROGLQJ&RPSDQ\

1RW$SSOLFDEOH

,WHP̀̀̀

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