#### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

#### **SECTION I -- GENERAL INFORMATION**

A. Legal name of the Disclosing Party submit	ting this EDS. Include d/b/a/ if applicable:	
Fifth Third Bank, National Association		
Check ONE of the following three boxes:		
the contract, transaction or other undertakin "Matter"), a direct or indirect interest in exconame:  OR	anticipated to hold within six months after City action on ng to which this EDS pertains (referred to below as the cess of 7.5% in the Applicant. State the Applicant's legal	
B. Business address of the Disclosing Party:	38 Fountain Square Plaza Cincinnati, OH 45263	
C. Telephone: <u>_312-738-2458</u> Fax:	Email:jessica.redman@53.com	
D. Name of contact person:	n	
E. Federal Employer Identification No. (if you	u have one): 31-0676865	
F. Brief description of the Matter to which this property, if applicable):	s EDS pertains. (Include project number and location of	
Designation as a 2023 Municipal Depository		
G. Which City agency or department is reques	sting this EDS? Department of Finance	
If the Matter is a contract being handled by the complete the following:	e City's Department of Procurement Services, please	
Specification #	and Contract #	

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#### SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY	Y			
<ol> <li>Indicate the nature of the Disclosing Particle Person</li> <li>Publicly registered business corporation</li> <li>Privately held business corporation</li> <li>Sole proprietorship</li> <li>General partnership</li> <li>Limited partnership</li> <li>Trust</li> </ol>	[ ] Limited liability company [ ] Limited liability partnership [ ] Joint venture [ ] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [ ] Yes [ ] No [ ] Other (please specify)			
2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:				
Fifth Third Bank, National Association is a national bank reg	istered under the laws of the United States			
3. For legal entities not organized in the State business in the State of Illinois as a foreign en	e of Illinois: Has the organization registered to do tity?			
[ ] Yes [ No	[ ] Organized in Illinois			
B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:				
1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.				
NOTE: Each legal entity listed below must su	bmit an EDS on its own behalf.			
Name	Title			
Please see attached list				
2. Please provide the following information c	oncerning each person or legal entity having a direct or			

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indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a

corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

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state "None." NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf. **Business Address** Percentage Interest in the Applicant Name See Exhibit A SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED **OFFICIALS** Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? [ ] Yes [x] No Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? [ ] Yes [X] No If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation: Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party? [x]No [ ] Yes If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none,

#### SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
Vorys (retained) 301	E Fourth Stre	et, Ste 3500 Attorney	\$40,000 (estimated)
Grea	t American I	ower	
Cine	cinnati, Ohio	45202	
(Add sheets if necessary)			
[ ] Check here if the Disc	losing Party	has not retained, nor expects to re	tain, any such persons or entities
SECTION V CERTIFI	CATIONS		
A. COURT-ORDERED CHILD SUPPORT COMPLIANCE			
Under MCC Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract=s term. Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?			
[]Yes [X]No []	No person di	irectly or indirectly owns 10% or n	nore of the Disclosing Party.
If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?			

#### B. FURTHER CERTIFICATIONS

[]Yes []No

- 1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).
- 2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
  - the Disclosing Party;
  - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
  - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
  - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

11. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:				
If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.				
12. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").				
N/A				
13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.				
N/A				
C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION				
<ol> <li>The Disclosing Party certifies that the Disclosing Party (check one)</li> <li>is [] is not</li> </ol>				
a "financial institution" as defined in MCC Section 2-32-455(b).				
2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:				
"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in				

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

believe has not provided or cannot provide truthful certifications.

MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a

predatory lender may result in the loss of the privilege of doing business with the City."

nore tattaen additi	MCC Section 2-32-455(b)) is a predatory lender within the meaning of MCC Chapter 2-32, explain here (attach additional pages if necessary):			
If the letters "NA, conclusively presu	" the word "None," or no response med that the Disclosing Party certi	appears on the lines above, it will be fied to the above statements.		
D. CERTIFICAT	ON REGARDING FINANCIAL I	NTEREST IN CITY BUSINESS		
Any words or term	ns defined in MCC Chapter 2-156 h	have the same meanings if used in this Part D.		
after reasonable in	with MCC Section 2-156-110: To to quiry, does any official or employed the name of any other person or e	he best of the Disclosing Party's knowledge se of the City have a financial interest in his or entity in the Matter?		
[ ] Yes	[x] No			
	ecked "Yes" to Item D(1), proceed Items D(2) and D(3) and proceed t	to Items D(2) and D(3). If you checked "No" o Part E.		
official or employed other person or entaxes or assessmer "City Property Sal	ee shall have a financial interest in tity in the purchase of any property ats, or (iii) is sold by virtue of legal	bidding, or otherwise permitted, no City elected his or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, seen pursuant to the City's eminent domain the meaning of this Part D.		
Does the Matter in	volve a City Property Sale?			
[]Yes	[ ] No			
3. If you checked or employees havi	"Yes" to Item D(1), provide the nang such financial interest and ident	mes and business addresses of the City officials ify the nature of the financial interest:		
Name	Business Address	Nature of Financial Interest		

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#### E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

E. CENTIFICATION REGARDING SLAVERT ENA DOSINESS
Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party must disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.
X 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.
2. The Disclosing Party verifies that, as a result of conducting the search in step (1) above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:
SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS
NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.
A. CERTIFICATION REGARDING LOBBYING
1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):
N/A

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Ver.2018-1

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of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

#### B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is th	e Disclosing Party the	Applicant?	
[	] Yes	[ ] No	
[f "Y	es," answer the three	questions belo	ow:
fede	Have you developed an regulations? (See 4		re on file affirmative action programs pursuant to applicable 50-2.)
Con	Have you filed with the apliance Programs, or the licable filing requirements.	the Equal Empents?	ing Committee, the Director of the Office of Federal Contract ployment Opportunity Commission all reports due under the
[	] Yes	[ ] No	[] Reports not required
equa	Have you participated in all opportunity clause?  Yes	in any previou	us contracts or subcontracts subject to the
If yo	ou checked "No" to que	estion (1) or (1	2) above, please provide an explanation:

#### SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at <a href="www.cityofchicago.org/Ethics">www.cityofchicago.org/Ethics</a>, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

#### **CERTIFICATION**

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS, and all applicable Appendices, on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS, and all applicable Appendices, are true, accurate and complete as of the date furnished to the City.

Fifth Third Bank, National Association
(Print or type exact legal name of Disclosing Party)
By: (Sign here)
H. Samuel Lind
(Print or type name of person signing)
Associate General Counsel and Senior Vice President (Print or type title of person signing)
Signed and sworn to before me on (date) November, 2, 2027
at HAMILTON County, OHO (state).
Notary Public Michael Richard Keefe, Attorney At Law
NOTARY PUBLIC - STATE OF OHIO My commission has no expiration date Sec. 147.03 R.C.

## CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

## FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5%. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under MCC Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5% ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

[ ] Yes	[X] No	
which such person	is connected; (3) the na	ame and title of such person, (2) the name of the legal entity to ame and title of the elected city official or department head to ship, and (4) the precise nature of such familial relationship.

#### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

#### BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5% (an "Owner"). It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

1.	1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?			
	[ ] Yes	[X] No		
the	If the Applicant is a lege Applicant identified as 92-416?	gal entity publi a building coo	icly traded on any exchange, is any officer or director of de scofflaw or problem landlord pursuant to MCC Section	
	[ ] Yes	[ ] No	[X] The Applicant is not publicly traded on any exchange.	
as	If yes to (1) or (2) above a building code scofflave pertinent code violation	v or problem l	tify below the name of each person or legal entity identified andlord and the address of each building or buildings to which	
_				

# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[X] Yes	
[ ] No	
[ ] N/A – I am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.	
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).	
If you checked "no" to the above, please explain.	
	_
	_

#### Fifth Third Bank, National Association

Name Title
Nicholas K. Akins Director

Lars C. Anderson EVP & Vice Chairman of Commercial Banking and Strategic

**Growth Initiatives** 

B. Evan Bayh, III Director
Jorge L. Benitez Director
Katherine B. Blackburn Director
Emerson L. Brumback Director

Greg D. Carmichael Executive Chairman

Linda W. Clement-Holmes Director
C. Bryan Daniels Director
Mitchell S. Feiger Director

Kristine R. Garrett EVP & Head of Wealth and Asset Management EVP & Chief Corporate Social Responsibility Officer

Howard Hammond EVP & Head of Consumer Banking

Thomas H. Harvey Director

Mark D. Hazel Executive Vice President and Controller

Gary R. Heminger Director
Jewell D. Hoover Director
Eileen A. Mallesch Director
Michael B. McCallister Director

Nancy C. Pinckney

Kevin P. Lavender

James C. Leonard

Jude A. Schramm

EVP & Chief Human Resources Officer

EVP & Head of Corporate Banking

EVP & Chief Financial Officer

EVP & Chief Information Officer

Robert P. Shaffer EVP & Chief Risk Officer

Timothy N. Spence Director, President & Chief Executive Officer

Richard L. Stein EVP & Chief Credit Officer

Melissa S. Stevens EVP & Head of Digital, Marketing, Design and Innovation

Marsha C. Williams Director

Susan B. Zaunbrecher EVP & Chief Legal Officer

Joseph C. Alter SVP, Chief Communications and Reputation Officer and

Corporate Secretary

Bryan D. Preston Senior Vice President and Treasurer

Brian S. Duba
Assistant Corporate Secretary
Christopher R. England
Assistant Corporate Secretary
Lori G. Heilman
Assistant Corporate Secretary
Assistant Corporate Secretary
Shaun B. Patsy
Assistant Corporate Secretary

#### **Exhibit A**

Fifth Third Financial Corporation, 38 Fountain Square Plaza, Cincinnati, OH 45263 – 100% owner of Fifth Third Bank, National Association.

Fifth Third Bancorp, 38 Fountain Square Plaza, Cincinnati, OH 45263 – 100% owner of Fifth Third Financial Corporation.

The Vanguard Group, 100 Vanguard Blvd, Malvern, PA 19355 – owns 12.35% interest in Fifth Third Bancorp. See ADV

Blackrock, Inc., 55 East 52<sup>nd</sup> Street, New York, NY 10055 – owns a 8.06% interest in Fifth Third Bancorp. See ADV

Classification: Internal Use

#### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

#### **SECTION I -- GENERAL INFORMATION**

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:		
Fifth Third Financial Corporation  Check ONE of the following three boxes:		
2. [X] a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name:		
OR	et right of control of the Applicant (see Section II(B)(1))	
B. Business address of the Disclosing Party:	38 Fountain Square Plaza	
	Cincinnati, OH 45263	
C. Telephone: <u>312-738-2458</u> Fax:	Email: <u>jessica.redman@53.com</u>	
D. Name of contact person:Jessica Redman		
E. Federal Employer Identification No. (if you	1 have one):31-1755886	
F. Brief description of the Matter to which this property, if applicable):	s EDS pertains. (Include project number and location of	
Designation as a 2023 Municipal Depository		
G. Which City agency or department is reques	ting this EDS? Department of Finance	
If the Matter is a contract being handled by the complete the following:	City's Department of Procurement Services, please	
Specification #	and Contract #	

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#### SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

#### A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party: [ ] Limited liability company [ ] Person [ ] Limited liability partnership Publicly registered business corporation [ ] Joint venture [X] Privately held business corporation [ ] Sole proprietorship [ ] Not-for-profit corporation (Is the not-for-profit corporation also a 501(c)(3))? [ ] General partnership [ ] Limited partnership [ ] No [ ] Yes [ ] Other (please specify) [ ] Trust 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: 3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity? [ ] Organized in Illinois [ ] Yes [X] No B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. **NOTE**: Each legal entity listed below must submit an EDS on its own behalf. Title Name See attached list

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

state "None." NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf. **Business Address** Percentage Interest in the Applicant Name See Exhibit A SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED **OFFICIALS** Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? [ ] Yes [x] No Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? [ ] Yes [x] No If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation: Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party? [x] No [ ] Yes If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none,

#### SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

partner(s) and describe the financial interest(s).

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) <b>NOTE:</b> "hourly rate" or "t.b.d." is not an acceptable response.
(Add sheets if necessary)			
[X] Check here if the Disc	closing Part	y has not retained, nor expects to re	tain, any such persons or entities.
SECTION V CERTII	FICATION	S	
A. COURT-ORDERED	CHILD SU	PPORT COMPLIANCE	
Under MCC Section 2-92 remain in compliance wit	!-415, substa th their child	antial owners of business entities th I support obligations throughout the	at contract with the City must contract's term.
Has any person who direct arrearage on any child su	ctly or indire	ectly owns 10% or more of the Disc ations by any Illinois court of compe	closing Party been declared in etent jurisdiction?
[] Yes [x] No []	No person d	lirectly or indirectly owns 10% or m	nore of the Disclosing Party.
If "Yes," has the person e is the person in compliant		a court-approved agreement for pay agreement?	ment of all support owed and
[ ] Yes [ ] No			
B. FURTHER CERTIFIC	CATIONS		
1. [This paragraph 1 app Procurement Services.] I	lies only if n the 5-year	the Matter is a contract being handle period preceding the date of this E	ed by the City's Department of DS, neither the Disclosing

- 1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).
- 2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
  - the Disclosing Party;
  - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
  - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
  - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

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Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

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contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.
11. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:
Certifying to all except B8, B9, B10 as they do not apply as Fifth Third Financial is not the applicant.
If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.
12. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").
None
13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.
None

#### C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

The Disclosing Party certifies that the Disclosing Party (check one)
 [X] is
 [] is not

- a "financial institution" as defined in MCC Section 2-32-455(b).
- 2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

MCC Section 2-3	Party is unable to make this pledge 2-455(b)) is a predatory lender with ional pages if necessary):	because it or any of its affiliates (as defined in in the meaning of MCC Chapter 2-32, explain
	" the word "None," or no response amed that the Disclosing Party cert	appears on the lines above, it will be fied to the above statements.
D. CERTIFICAT	ION REGARDING FINANCIAL I	NTEREST IN CITY BUSINESS
Any words or term	ns defined in MCC Chapter 2-156 l	have the same meanings if used in this Part D.
after reasonable in	with MCC Section 2-156-110: To taguiry, does any official or employed in the name of any other person or e	he best of the Disclosing Party's knowledge be of the City have a financial interest in his or ntity in the Matter?
[ ] Yes	[X] No	
NOTE: If you ch to Item D(1), skip	ecked "Yes" to Item D(1), proceed Items D(2) and D(3) and proceed to	to Items D(2) and D(3). If you checked "No" o Part E.
official or employed other person or ent taxes or assessment "City Property Sale	ee shall have a financial interest in a city in the purchase of any property its, or (iii) is sold by virtue of legal	idding, or otherwise permitted, no City elected his or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, en pursuant to the City's eminent domain he meaning of this Part D.
Does the Matter in	volve a City Property Sale?	
[ ] Yes	[ ] No	
3. If you checked or employees having	"Yes" to Item D(1), provide the name of the property of the property of the such financial interest and idential to the property of the provided HTML representation of the pr	nes and business addresses of the City official fy the nature of the financial interest:
Name	Business Address	Nature of Financial Interest
4. The Disclosing	Party further certifies that no proh	bited financial interest in the Matter will be

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosin Party with respect to the Matter: (Add sheets if necessary):
A. CERTIFICATION REGARDING LOBBYING
NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.
SECTION VI CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS
2. The Disclosing Party verifies that, as a result of conducting the search in step (1) above, to Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:
$\underline{X}$ 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or prof from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.
Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party must disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.
E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

N/A

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Page 9 of 15 Ver.2018-1

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

#### B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the	Applicant?	
[]Yes	[ ] No	
If "Yes," answer the three	uestions below:	
1. Have you developed an federal regulations? (See 4	•	firmative action programs pursuant to applicable
	ne Equal Employment C	ttee, the Director of the Office of Federal Contract Opportunity Commission all reports due under the
[ ] Yes	[] No [] Report	s not required
equal opportunity clause?		or subcontracts subject to the
[ ] Yes	[ ] No	
If you checked "No" to que	stion (1) or (2) above, p	lease provide an explanation:

#### SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at <a href="https://www.cityofchicago.org/Ethics">www.cityofchicago.org/Ethics</a>, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

#### **CERTIFICATION**

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS, and all applicable Appendices, on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS, and all applicable Appendices, are true, accurate and complete as of the date furnished to the City.

Fifth Third Financial Corporation
(Print on type exact legal name of Disclosing Party)
By: 1 - What & Wel
(Sign here)
H. Samuel Lind (Print or type name of person signing)
(PTIIR OF type fiame of person signing)
Assistant Secretary
(Print or type title of person signing)
(Time or type date or person significant
11 10 10 2 2025
Signed and sworn to before me on (date) Novembes, 2, 2022
at HAMILTON County, OHO (state).
A A SILA CO CO SERVICIO SE
OV WERELE SETTING
Notary Public Michael Richard Keefe, Attorney At Law NOTARY PUBLIC - STATE OF OHIO
My commission has no expiration date
Sec. 147.09 R.C.
Commission expires:

# CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

### FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5%. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under MCC Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5% ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

Feel NI.

If wes inlease id	entify helow (1) the name	e and title of such person, (2) the name of the legal entity to
which such person	is connected; (3) the nam	ne and title of the elected city official or department head to p, and (4) the precise nature of such familial relationship.
	-	

F 1 3/20

#### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

#### **BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION**

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5% (an "Owner"). It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

		t to MCC Section 2-92-416?
[ ] Yes	[X] No	
		blicly traded on any exchange, is any officer or director of code scofflaw or problem landlord pursuant to MCC Section
[ ] Yes	[ ] No	[X] The Applicant is not publicly traded on any exchange.
• • • • • • • • • • • • • • • • • • • •	offlaw or problem	entify below the name of each person or legal entity identified a landlord and the address of each building or buildings to which

#### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

#### PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (<a href="www.amlegal.com">www.amlegal.com</a>), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[ ] Yes
[ ] No
[X] N/A – I am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.

#### **Fifth Third Financial Corporation**

Name **Title** Director. President and Chief Executive Officer Timothy N. Spence EVP & Head of Wealth and Asset Management Kristine R. Garrett **EVP & Chief Corporate Social Responsibility Officer** Kala J. Gibson Howard Hammond **EVP & Head of Consumer Banking EVP & Controller** Mark D. Hazel **EVP & Head of Corporate Banking** Kevin P. Lavender James C. Leonard **EVP & Chief Financial Officer EVP & Chief Human Resources Officer** Nancy C. Pinckney **EVP & Chief Information Officer** Jude A. Schramm Robert P. Shaffer EVP & Chief Risk Officer **EVP & Chief Credit Officer** Richard L. Stein Melissa S. Stevens EVP & Head of Digital, Marketing, Design and Innovation Director, EVP & Chief Legal Officer Susan B. Zaunbrecher SVP, Chief Communications and Reputation Officer & Corporate Joseph C. Alter Secretary **SVP & Corporate Tax Director** Albert P. Cliffel, III Treasurer Bryan D. Preston

Assistant Secretary

**Assistant Secretary** 

Brian S. Duba H. Samuel Lind

Classification: Internal Use

#### **Exhibit A**

Fifth Third Financial Corporation, 38 Fountain Square Plaza, Cincinnati, OH 45263 – 100% owner of Fifth Third Bank, National Association.

Fifth Third Bancorp, 38 Fountain Square Plaza, Cincinnati, OH 45263 – 100% owner of Fifth Third Financial Corporation.

The Vanguard Group, 100 Vanguard Blvd, Malvern, PA 19355 – owns 12.35% interest in Fifth Third Bancorp. See ADV

Blackrock, Inc., 55 East  $52^{nd}$  Street, New York, NY 10055 — owns a 8.06% interest in Fifth Third Bancorp. See ADV

Classification: Internal Use

#### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

#### **SECTION I -- GENERAL INFORMATION**

A. Legal name of the Disclosing Party submitting	ng this EDS. Include d/b/a/ if applicable:
Fifth Third Bancorp	
Check ONE of the following three boxes:	
the contract, transaction or other undertaking to "Matter"), a direct or indirect interest in excess on name:  Fifth Third Bank, National Association OR	ticipated to hold within six months after City action on which this EDS pertains (referred to below as the of 7.5% in the Applicant. State the Applicant's legal on
3. [ ] a legal entity with a direct or indirect State the legal name of the entity in which the D	right of control of the Applicant (see Section II(B)(1)) Disclosing Party holds a right of control:
B. Business address of the Disclosing Party:	38 Fountain Square Plaza Cincinnati, OH 45263
C. Telephone: <u>312-738-2458</u> Fax:	Email: _jessica.redman@53.com_
D. Name of contact person:	<u>.                                    </u>
E. Federal Employer Identification No. (if you	have one):31-0854434
F. Brief description of the Matter to which this property, if applicable):	EDS pertains. (Include project number and location of
Designation as a 2023 Municipal Depository	T.
G. Which City agency or department is requesti	ng this EDS? Department of Finance
If the Matter is a contract being handled by the Complete the following:	City's Department of Procurement Services, please
Specification #	and Contract #

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#### SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

#### A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party: [ ] Limited liability company [ ] Person [ ] Limited liability partnership [X] Publicly registered business corporation [ ] Joint venture [ ] Privately held business corporation Not-for-profit corporation [ ] Sole proprietorship (Is the not-for-profit corporation also a 501(c)(3))? [ ] General partnership [ ] Limited partnership [ ] No [ ] Yes [ ] Other (please specify) [ ] Trust 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: 3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity? [ ] Organized in Illinois [X] No [ ] Yes B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. NOTE: Each legal entity listed below must submit an EDS on its own behalf. Title Name See attached list

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

state "None." NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf. **Business Address** Percentage Interest in the Applicant Name See Exhibit A SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED **OFFICIALS** Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? [ ] Yes [x] No Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? [ ] Yes [x] No If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation: Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party? [X] No []Yes If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none,

# SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

partner(s) and describe the financial interest(s).

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees ( <u>indicate whether</u> <u>paid or estimated</u> .) <b>NOTE:</b> "hourly rate" or "t.b.d." is not an acceptable response.	
(Add sheets if necessary)				
[X] Check here if the Disc	closing Party	y has not retained, nor expects to re	tain, any such persons or entities.	
SECTION V CERTII	FICATION	s		
A. COURT-ORDERED	CHILD SU	PPORT COMPLIANCE		
Under MCC Section 2-92 remain in compliance with	2-415, substa th their child	antial owners of business entities th I support obligations throughout the	at contract with the City must contract's term.	
Has any person who direct arrearage on any child su	ctly or indire	ectly owns 10% or more of the Disc tions by any Illinois court of compe	losing Party been declared in etent jurisdiction?	
[ ] Yes [x] No [ ] No person directly or indirectly owns 10% or more of the Disclosing Party.				
If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?				
[ ] Yes [ ] No				
R FURTHER CERTIFIC	CATIONS			

- 1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).
- 2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
  - the Disclosing Party:
  - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
  - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
  - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

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believe has not provided or cannot provide truthful certifications.				
11. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:				
Certifying to all except B8, B9, B10 as they do not apply as Fifth Third Bancorp is not the applicant.				
If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.				
12. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").				
None				
13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.				
None				
C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION				
<ol> <li>The Disclosing Party certifies that the Disclosing Party (check one)</li> <li>[X] is</li> <li>[] is not</li> </ol>				
a "financial institution" as defined in MCC Section 2-32-455(b).				
2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:				

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

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"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a

predatory lender may result in the loss of the privilege of doing business with the City."

MCC Section 2-32	2-455(b)) is a predatory lender with	because it or any of its affiliates (as defined in in the meaning of MCC Chapter 2-32, explain
here (attach addition	onal pages if necessary):	
	the word "None," or no response a med that the Disclosing Party certi	appears on the lines above, it will be fied to the above statements.
D. CERTIFICATI	ON REGARDING FINANCIAL I	NTEREST IN CITY BUSINESS
Any words or term	s defined in MCC Chapter 2-156 h	ave the same meanings if used in this Part D.
after reasonable in	with MCC Section 2-156-110: To the quiry, does any official or employed the name of any other person or e	the best of the Disclosing Party's knowledge to the City have a financial interest in his or entity in the Matter?
[ ] Yes	[X] No	
	ecked "Yes" to Item D(1), proceed Items D(2) and D(3) and proceed to	to Items D(2) and D(3). If you checked "No" o Part E.
official or employed other person or ent taxes or assessment "City Property Sale	e shall have a financial interest in lity in the purchase of any property ts, or (iii) is sold by virtue of legal	his or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, ten pursuant to the City's eminent domain me meaning of this Part D.
Does the Matter in	volve a City Property Sale?	
[ ] Yes	[ ] No	
		mes and business addresses of the City officials ify the nature of the financial interest:
Name	Business Address	Nature of Financial Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

### E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party must disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.
X_1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of
the Disclosing Party and any and all predecessor entities regarding records of investments or profits
from slavery or slaveholder insurance policies during the slavery era (including insurance policies
issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and

2. The Disclosing Party verifies that, as a result of conducting the search in step (	1) above, the
Disclosing Party has found records of investments or profits from slavery or slaveholder	er insurance
policies. The Disclosing Party verifies that the following constitutes full disclosure of	all such
records, including the names of any and all slaves or slaveholders described in those re	cords:

### SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

### A. CERTIFICATION REGARDING LOBBYING

behalf of the Disclosing Party with respect to the Matter.)

the Disclosing Party has found no such records.

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosin Party with respect to the Matter: (Add sheets if necessary):			
N/A			
(If no explanation appears or begins on the lines above, or if the letters "NA" or if the wo appear, it will be conclusively presumed that the Disclosing Party means that NO person registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying	s or entities		

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Ver.2018-1

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of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

## B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the [ ] Yes	Applicant?			
If "Yes," answer the three of	questions belov	w:		
<ol> <li>Have you developed an federal regulations? (See 4</li> <li>Yes</li> </ol>	11 CFR Part 60		tion programs pursuant	t to applicable
2. Have you filed with the Compliance Programs, or tapplicable filing requirement	he Equal Emp ents?	loyment Opportunity	Commission all reports	Federal Contract s due under the
[ ] Yes	[ ] No	[] Reports not requir	ed	
<ol> <li>Have you participated i equal opportunity clause?</li> <li>Yes</li> </ol>	n any previous	s contracts or subcontr	racts subject to the	
If you checked "No" to que	estion (1) or (2)	) above, please provid	le an explanation:	

### SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at <a href="https://www.cityofchicago.org/Ethics">www.cityofchicago.org/Ethics</a>, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

### **CERTIFICATION**

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS, and all applicable Appendices, on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS, and all applicable Appendices, are true, accurate and complete as of the date furnished to the City.

Fifth Third Bancorp
(Print of type exact legal name of Disclosing Party)
By: War
(Sign here)
H. Samuel Lind
(Print or type name of person signing)
Assistant Secretary
(Print or type title of person signing)
Signed and sworn to before me on (date) November 2, 2022
Signed and sworn to before me on (date) NO VIMBER OF
Signed and sworn to before the on (date)
at HAMILTON County, OHIO (state).
Mille Keepe
Notary Public
Michael Richard Keefe, Attorney At Law NOTARY PUBLIC - STATE OF OHIO
Commission expires: My commission has no expiration date
Sec. 147.03 R.C.

### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

# FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5%. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under MCC Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5% ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

[ ] Yes	[X] No	
which such person	n is connected; (3) the name	ne and title of such person, (2) the name of the legal entity to ne and title of the elected city official or department head to ip, and (4) the precise nature of such familial relationship.
Not applicable as	Fifth Third Bancorp has ind	irect ownership over the applicant

### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

### BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5% (an "Owner"). It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building scofflaw or problem landlord pursuant to MCC Section 2-92-416?				
[ ] Yes	[ ] No			
		olicly traded on any exchange, is any officer or director of ode scofflaw or problem landlord pursuant to MCC Section		
[ ] Yes	[ ] No	[ ] The Applicant is not publicly traded on any exchange.		
3. If yes to (1) or (as a building code sthe pertinent code v	cofflaw or problem	ntify below the name of each person or legal entity identified landlord and the address of each building or buildings to which		
Not applicable as	Fifth Third Bancorp	has indirect ownership over the applicant		

### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

### PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[ ] Yes
[ ] No
[X] N/A – I am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.

### Fifth Third Bancorp

Name Title

Nicholas K. Akins Director

Lars C. Anderson EVP & Vice Chairman of Commercial Banking and Strategic

**Growth Initiatives** 

B. Evan Bayh, III Director
Jorge L. Benitez Director
Katherine B. Blackburn Director
Emerson L. Brumback Director

Greg D. Carmichael Executive Chairman

Linda W. Clement-Holmes Director
C. Bryan Daniels Director
Mitchell S. Feiger Director

Kristine R. Garrett EVP & Head of Wealth and Asset Management EVP & Chief Corporate Social Responsibility Officer

Howard Hammond EVP & Head of Consumer Banking

Thomas H. Harvey Director

Mark D. Hazel Executive Vice President and Controller

Gary R. Heminger Director
Jewell D. Hoover Director
Eileen A. Mallesch Director
Michael B. McCallister Director

Nancy C. Pinckney

Kevin P. Lavender

James C. Leonard

Jude A. Schramm

EVP & Chief Human Resources Officer

EVP & Head of Corporate Banking

EVP & Chief Financial Officer

EVP & Chief Information Officer

Robert P. Shaffer EVP & Chief Risk Officer

Timothy N. Spence Director, President & Chief Executive Officer

Richard L. Stein EVP & Chief Credit Officer

Melissa S. Stevens EVP & Head of Digital, Marketing, Design and Innovation

Marsha C. Williams Director

Susan B. Zaunbrecher EVP & Chief Legal Officer

Joseph C. Alter SVP, Chief Communications and Reputation Officer and

Corporate Secretary

Bryan D. Preston Senior Vice President and Treasurer

Brian S. Duba
Assistant Corporate Secretary
Christopher R. England
Assistant Corporate Secretary
Lori G. Heilman
Assistant Corporate Secretary
Assistant Corporate Secretary
Assistant Corporate Secretary
Shaun B. Patsy
Assistant Corporate Secretary

### **Exhibit A**

Fifth Third Financial Corporation, 38 Fountain Square Plaza, Cincinnati, OH 45263 – 100% owner of Fifth Third Bank, National Association.

Fifth Third Bancorp, 38 Fountain Square Plaza, Cincinnati, OH 45263 – 100% owner of Fifth Third Financial Corporation.

The Vanguard Group, 100 Vanguard Blvd, Malvern, PA 19355 – owns 12.35% interest in Fifth Third Bancorp. See ADV

Blackrock, Inc., 55 East 52<sup>nd</sup> Street, New York, NY 10055 — owns a 8.06% interest in Fifth Third Bancorp. See ADV

Classification: Internal Use

The form ADV of VANGUARD GROUP INC Rev. 10/2021 dated 7/6/2022 has been provided to the City.

The form ADV of BLACKROCK, INC. Rev 10/2021 dated 9/1/2022 has been provided to the City.

## **FORM ADV**

### UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

Prin	nary Business Name: VAN	NGUARD GROUP INC		CRD Number: 105958	
Oth	er-Than-Annual Amendm	ent - All Sections		Rev. 10/2021	
7/6	/2022 10:27:48 AM				
WA	·	-	ts or omissions may result in denial o d by filing periodic amendments. See	of your application, revocation of your registration, or criminal Form ADV General Instruction 4.	
ter	m 1 Identifying Information	on			
	•		•	ntact you. If you are filing an <i>umbrella registration</i> , the es information to assist you with filing an <i>umbrella registration</i> .	
Α.	Your full legal name (if your full legal name)		last, first, and middle names):		
B.	(1) Name under which you VANGUARD GROUP INC		isory business, if different from Item ?	1.A.	
	List on Section 1.B. of Sch	nedule D any additional names	under which you conduct your advisor	ry business.	
	(2) If you are using this I	Form ADV to register more th	nan one investment adviser under an	umbrella registration, check this box $\square$	
	If you check this box, com	nplete a Schedule R for each re	lying adviser.		
C.	name change is of	a change in your legal name (I		(Item 1.B.(1)), enter the new name and specify whether the	
D.	(2) If you report to the S	) If you are registered with the SEC as an investment adviser, your SEC file number: <b>801-11953</b> ) If you report to the SEC as an <i>exempt reporting adviser</i> , your SEC file number: ) If you have one or more Central Index Key numbers assigned by the SEC ("CIK Numbers"), all of your CIK numbers:			
	102909				
E.	(1) If you have a number	- (" <i>CRD</i> Number") assigned by	y the <i>FINRA's CRD</i> system or by the I <i>F</i>	ARD system, your <i>CRD</i> number: <b>105958</b>	
	If your firm does not have	a CRD number, skip this Item	n 1.E. Do not provide the CRD number (	of one of your officers, employees, or affiliates.	
	(2) If you have additiona	I <i>CRD</i> Numbers, your addition	nal <i>CRD</i> numbers:		
			No Information Filed		
F.	Principal Office and Place o	of Rusinass			
• •	(1) Address (do not use				
	Number and Street 1	·	Number and Street 2:		
	100 VANGUARD BLVD	)	V26		
	City:	State:	Country:	ZIP+4/Postal Code:	
	MALVERN	Pennsylvania	United States	19355	
	If this address is a p	rivate residence, check this b	oox:		
	you are applying for i which you are applyir	registration, or are registered, ng for registration or with whor o the SEC as an exempt report	with one or more state securities auth m you are registered. If you are applyin	business, at which you conduct investment advisory business. If norities, you must list all of your offices in the state or states to any for SEC registration, if you are registered only with the SEC, or offices in terms of numbers of employees as of the end of your	
		(2) Days of week that you normally conduct business at your <i>principal office and place of business:</i> • Monday - Friday • Other:			
	Normal business hours at this location: 8:30AM - 5:30PM				
	(3) Telephone number a 610-669-1000	t this location:			

(4) Facsimile number at this location, if any:

610-669-6600

		ber of offices, other than your recently completed fiscal year?	• • •	<i>iness</i> , at which you conduct investment advisory busir	iess as of
G.	Mailing address, if differen	t from your <i>principal office and</i>	place of business address:		
O.	Number and Street 1:	e ir om your principal office and	Number and Street 2		
	City:	State:	Country:	ZIP+4/Postal Code:	
	•	_	·	Zii i i/i ostai oodo.	
	If this address is a private	e residence, check this box: $\Box$			
Н.	If you are a sole proprieto	r, state your full residence add	Iress, if different from your <i>pri</i>	ncipal office and place of business address in Item 1.F.:	
	Number and Street 1:		Number and Street 2	:	
	City:	State:	Country:	ZIP+4/Postal Code:	
					Yes No
I.	Do you have one or more LinkedIn)?	websites or accounts on public	ly available social media platfo	orms (including, but not limited to, Twitter, Facebook a	and o O
	If a website address serves addresses for all of the other available social media platfo	s as a portal through which to ac er information. You may need to	ccess other information you have list more than one portal addre the content. Do not provide the l	publicly available social media platforms on Section 1.1. or the published on the web, you may list the portal without less. Do not provide the addresses of websites or account andividual electronic mail (e-mail) addresses of employees.	listing ts on publicly
J.		contact information of your Chi Compliance Officer, if you have		are an exempt reporting adviser, you must provide the	contact
	, and the second	compliance officer, if you have	Ţ	e Item T.K. below.	
	Name: Telephone number:		Other titles, if any: Facsimile number, if a	any:	
	Number and Street 1:		Number and Street 2		
	City:	State:	Country:	ZIP+4/Postal Code:	
	Orty.	State.	Country.	ZII +4/1 Ostal Gode.	
	(2) If your Chief Complian	npany Act of 1940 that you adv mber (if any):	mployed by any <i>person</i> other t	han you, a <i>related person</i> or an investment company r nce officer services to you, provide the <i>person's</i> name	-
K.	•	tact Person: If a person other may provide that information h	•	icer is authorized to receive information and respond	to questions
	Name:		Titles:		
	Telephone number:		Facsimile number, if a	ny:	
	Number and Street 1:		Number and Street 2		
	City:	State:	Country:	ZIP+4/Postal Code:	
	Electronic mail (e-mail) a	ddress, if contact person has o	ne:		
L.	•	all of the books and records your principal office and place of b	•	Section 204 of the Advisers Act, or similar state law,	Yes No <b>⊙</b> ○
	If "yes," complete Section	1.L. of Schedule D.			Yes No
M.	Are you registered with a	foreign financial regulatory auth	ority?		0 0
	•	registered with a foreign financi s," complete Section 1.M. of Sch		you have an affiliate that is registered with a foreign final	ncial
					Yes No
N.	Are you a public reporting	company under Sections 12 or	15(d) of the Securities Excha	nge Act of 1934?	0 0
					Yes No
Ο.	•	more in assets on the last day imate amount of your assets: \$10 billion	of your most recent fiscal year	r?	⊚ 0

J.

	C \$50 billion or more						
	For purposes of Item 1.0. only, "assets the total assets shown on the balance s		_	manage on behalf of clients. Determine your	total assets using		
Р.	Provide your <i>Legal Entity Identifier</i> if yo 5493002789CX3L0CJP65	ou have one:					
	A legal entity identifier is a unique num identifier.	ber that companies use t	to identify each other in the fir	nancial marketplace. You may not have a <i>le</i> ç	ŋal entity		
SEC	CTION 1.B. Other Business Names						
			No Information Filed				
SEC	CTION 1.F. Other Offices						
Yo		Section 1.F. for each loc	cation. If you are applying for	siness, at which you conduct investment ad SEC registration, if you are registered only versions of employees).	-		
	umber and Street 1: 1321 NORTHSIGHT BLVD		Number and Street 2:				
	ty: COTTSDALE	State: Arizona	Country: United States	ZIP+4/Postal Code: 85260			
lf	this address is a private residence, chec	k this box:					
	elephone Number: 30-713-8456	Facsimile Num	ber, if any:				
ac	this office location is also required to be dviser on the Uniform Branch Office Regis 55468	•		s a branch office location for a broker-deale h Number here:	or investment		
Ho 15	ow many <i>employees</i> perform investment	advisory functions from	this office location?				
	re other business activities conducted at  (1) Broker-dealer (registered or unregis		eck all that apply)				
	<ul><li>(2) Bank (including a separately identifi</li><li>(3) Insurance broker or agent</li></ul>		ion of a bank)				
	<ul><li>(4) Commodity pool operator or commodity</li><li>(5) Registered municipal advisor</li></ul>	dity trading advisor (wh	ether registered or exempt fro	m registration)			
	(6) Accountant or accounting firm (7) Lawyer or law firm						
	escribe any other investment-related bus	iness activities conducte	d from this office location:				
SEC	CTION 1.I. Website Addresses						
lir		·	•	platforms where you control the content (ir n 1.I. for each website or account on a publ	•		
Ac	ddress of Website/Account on Publicly Av	railable Social Media Plati	form: HTTP://INSTAGRAM.CC	M/VANGUARDGROUP			
Ac	Address of Website/Account on Publicly Available Social Media Platform: HTTP://WWW.INSTAGRAM.COM/LIFEATVANGUARD						

\$10 billion to less than \$50 billion

Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.YOUTUBE.COM/VANGUARD
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://TWITTER.COM/VANGUARD_INSTL
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.LINKEDIN.COM/COMPANY/VANGUARD-INSTITUTIONAL-INVESTING
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.LINKEDIN.COM/IN/MORTIMERJBUCKLEY
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.LINKEDIN.COM/COMPANY/VANGUARD
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://TWITTER.COM/VANGUARD_PR
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://PRESSROOM.VANGUARD.COM/#/
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.VANGUARDJOBS.COM
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.LINKEDIN.COM/COMPANY/VANGUARD-ADVISOR-SERVICES
Address of Website/Account on Publicly Available Social Media Platform:	HTTP://WWW.VANGUARD.COM
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.FACEBOOK.COM/VANGUARD
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://TWITTER.COM/VANGUARD_GROUP
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://PLUS.GOOGLE.COM/+VANGUARD#+VANGUARD/POSTS
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://TWITTER.COM/VANGUARD_FA
SECTION 1.L. Location of Books and Records	
Complete the following information for each location at which you keep your must complete a separate Schedule D, Section 1.L. for each location.	your books and records, other than your principal office and place of business. You
Name of entity where books and records are kept:	

IRON MOUNTAIN INC

Number and Street 1:

2500 HENDERSON DRIVE

City: State:

SHARON HILL United States 19079 Pennsylvania

If this address is a private residence, check this box:  $\ \square$ 

Number and Street 2:

ZIP+4/Postal Code: Country:

		lumber: 00 X3008	Facsimile number, if any:			
		k one): our branch offices or affiliates.				
⊙ a t	third-p	arty unaffiliated recordkeeper.				
o ot	her.					
STOR	AGE OF	ribe the books and records kep F CLIENT AND OTHER FILES CO NG CODE.		PONDENCE, RECOMMENDA	TIONS AND TRANSACTIONS, IN ADDITION TO	
		tity where books and records a M, INC.	are kept:			
		Street 1: AVENUE NORTH		Number and Street 2:		
City:			State:	Country:	ZIP+4/Postal Code:	
SEAT	ΓLE		Washington	United States	98109	
If this	addre	ess is a private residence, chec	k this box:			
	hone N 166-100	lumber: 00	Facsimile number, if any:			
		k one): our branch offices or affiliates.				
o a i	third-p	arty unaffiliated recordkeeper.				
⊙ ot	her.					
STOR	AGE OF	ribe the books and records kep F CLIENT AND OTHER FILES CO NG CODE.		PONDENCE, RECOMMENDA	TIONS AND TRANSACTIONS, IN ADDITION TO	
SECTIO	ON 1.M	1. Registration with Foreign F	inancial Regulatory Authorities	<b>S</b>		
			No Inf	ormation Filed		
tem 2	SEC R	egistration/Reporting				
SEC re	gistrat		dating amendment to your SEC r	•	C. Complete this Item 2.A. only if you are applying fong an <i>umbrella registration</i> , the information in Item 2	or
<i>aı</i> pr	nnual u ovides	pdating amendment to your SE	•	nger eligible to register w	) through 2.A.(12), below. If you are submitting an ith the SEC, check Item 2.A.(13). Part 1A Instruction nese items.	2
F	-	are a large advisory firm th	at oithor			
12	(1)		at eitner: der management of \$100 million	(in 11 S. dollars) or more:	or	
			G			
	_	amendment and is registed	_	iii o.s. dollais) or more a	t the time of filing its most recent annual updating	
	(2)	are a mid-sized advisory fir	<b>m</b> that has regulatory assets ur	ider management of \$25	million (in U.S. dollars) or more but less than \$100	

(b) not subject to examination by the *state securities authority* of the state where you maintain your *principal office and place of business*; Click **HERE** for a list of states in which an investment adviser, if registered, would not be subject to examination by the state securities authority.

(a) not required to be registered as an adviser with the state securities authority of the state where you maintain your principal office and place

million (in U.S. dollars) and you are either:

of business; or

	(3)	Reserved			
	(4)	have your principal office and p	place of business outside the United	States;	
F	(5)	are an investment adviser (o	r subadviser) to an investment co	mpany registered under the Investme	ent Company Act of 1940;
Е	(6)			be a business development company stion, and you have at least \$25 million	•
	(7)	are a <b>pension consultant</b> with in rule 203A-2(a);	respect to assets of plans having a	an aggregate value of at least \$200,00	00,000 that qualifies for the exemption
Г	(8)			olled by, or is under common control witness is the same as the registered adv	
		If you check this box, complete	Section 2.A.(8) of Schedule D.		
	(9)	are an <b>adviser</b> relying on rule	203A-2(c) because you expect to be	oe eligible for SEC registration withir	n 120 days;
		If you check this box, complete	Section 2.A.(9) of Schedule D.		
	(10)	,		re states and is relying on rule 203A-20	(d):
	()	If you check this box, complete			(47)
Г	1 (44)	,			
	_ (	are an Internet adviser relyin			
	(12)	have <b>received an SEC order</b> 6	exempting you from the prohibition	against registration with the SEC;	
		If you check this box, complete	Section 2.A. (12) of Schedule D.		
	(13)	are <b>no longer eligible</b> to rema	nin registered with the SEC.		
	-				
			nd State Reporting by Exempt Rep	•	Form ADV and any amendments they
lik ac tc th	ke to reddition the S	eceive notice of this and all substal state(s), check the box(es) nection is an amendment to yes) next to those state(s).	sequent filings or reports you submiext to the state(s) that you would li	ke to receive notice of this and all sub	to direct your notice filings or reports to
	□ AL			□ NE	□ sc
	□ AK		□ IN	□ NV	□ <sub>SD</sub>
	☐ AZ		□ IA	□ NH	□ <sub>TN</sub>
	AR		□ KS	∥ □ NJ	□ <sub>TX</sub>
	☐ CA		□ KY	□ NM	□ UT
	СО		□ LA	□ NY	□ vī
	СТ		□ ME	□ NC	□ VI
	☐ DE		□ MD	□ ND	□ va
	□ DC		□ MA	□ он	□ wa
	□ FL		□ MI	□ ок	□ wv
	☐ GA		□ MN	□ OR	□ wi
	□ GU		□ MS	□ PA	□ wy
	П ні		□ мо	□ PR	
	□ ID		□ MT	□ RI	
	_			n going to a state that currently receives ust be filed before the end of the year (L	s them and you do not want to pay that December 31).
If you with a	are rel	,	•	gistration because you <i>control</i> , are <i>con</i> fice and place of business is the same a	strolled by, or are under common control s that of the registered adviser,
Name	of Reg	istered Investment Adviser			
CPD N	umher	of Registered Investment Advis	or		

SECTION 2.A.(9) Investment Adviser Expecting to be Eligible for Commission Registration within 120 Days
If you are relying on rule 203A-2(c), the exemption from the prohibition on registration available to an adviser that expects to be eligible for SEC registration within 120 days, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations. You must make both of these representations:
I am not registered or required to be registered with the SEC or a <i>state securities authority</i> and I have a reasonable expectation that I will be eligible to register with the SEC within 120 days after the date my registration with the SEC becomes effective.
I undertake to withdraw from SEC registration if, on the 120th day after my registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.
SECTION 2.A.(10) Multi-State Adviser
If you are relying on rule 203A-2(d), the multi-state adviser exemption from the prohibition on registration, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations.
If you are applying for registration as an investment adviser with the SEC, you must make both of these representations:
I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of 15 or more states to register as an investment adviser with the state securities authorities in those states.
I undertake to withdraw from SEC registration if I file an amendment to this registration indicating that I would be required by the laws of fewer than 15 states to register as an investment adviser with the <i>state securities authorities</i> of those states.
If you are submitting your <i>annual updating amendment</i> , you must make this representation:
Within 90 days prior to the date of filing this amendment, I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of at least 15 states to register as an investment adviser with the state securities authorities in those states.
SECTION 2.A.(12) SEC Exemptive Order
If you are relying upon an SEC <i>order</i> exempting you from the prohibition on registration, provide the following information:
Application Number:
803-
Date of <i>order</i> :
Item 3 Form of Organization
If you are filing an umbrella registration, the information in Item 3 should be provided for the filing adviser only.
A. How are you organized?
© Corporation
C Sole Proprietorship
C Limited Liability Partnership (LLP)
Partnership
C Limited Liability Company (LLC)
C Limited Partnership (LP)
Other (specify):
If you are changing your response to this Item, see Part 1A Instruction 4.
B. In what month does your fiscal year end each year?  DECEMBER
C. Under the laws of what state or country are you organized?  State Country
Pennsylvania United States
If you are a partnership, provide the name of the state or country under whose laws your partnership was formed. If you are a sole proprietor, provide the name of the state or country where you reside.
If you are changing your response to this Item, see Part 1A Instruction 4.

SEC Number of Registered Investment Adviser

ten	า 4 Sเ	uccessions		
Α.		you, at the time of this filing, succeeding to the business of a registered investment adviser, including, for example, a change of your cture or legal status (e.g., form of organization or state of incorporation)?	Yes I	Nc ⊙
	If "y	ves", complete Item 4.B. and Section 4 of Schedule D.		
B.	Date	e of Succession: (MM/DD/YYYY)		
	If yo	ou have already reported this succession on a previous Form ADV filing, do not report the succession again. Instead, check "No." See Part 1A Instru	ction -	4.
SEC	ΓΙΟΝ	I 4 Successions		
		No Information Filed		
ten	15 Ir	nformation About Your Advisory Business - Employees, Clients, and Compensation		
		es to this Item help us understand your business, assist us in preparing for on-site examinations, and provide us with data we use when mary policy. Part 1A Instruction 5.a. provides additional guidance to newly formed advisers for completing this Item 5.	ıking	
Em	ploye	ees		
_		e organized as a sole proprietorship, include yourself as an employee in your responses to Item 5.A. and Items 5.B.(1), (2), (3), (4), and (5). If an eperforms more than one function, you should count that employee in each of your responses to Items 5.B.(1), (2), (3), (4), and (5).		
A.	Appr 520	roximately how many <i>employees</i> do you have? Include full- and part-time <i>employees</i> but do not include any clerical workers.		
B.	(1)	Approximately how many of the <i>employees</i> reported in 5.A. perform investment advisory functions (including research)?		
	(2)	Approximately how many of the <i>employees</i> reported in 5.A. are registered representatives of a broker-dealer?		
	(3)	Approximately how many of the <i>employees</i> reported in 5.A. are registered with one or more <i>state securities authorities</i> as <i>investment advise representatives</i> ?	r	
	(4)	Approximately how many of the <i>employees</i> reported in 5.A. are registered with one or more <i>state securities authorities</i> as <i>investment advise representatives</i> for an investment adviser other than you?	r	
	(5)	Approximately how many of the <i>employees</i> reported in 5.A. are licensed agents of an insurance company or agency?		
	(6)	Approximately how many firms or other <i>persons</i> solicit advisory <i>clients</i> on your behalf?		
	_	our response to Item 5.B.(6), do not count any of your employees <b>and count a firm only once – do not count each of the firm's</b> employees that soli r behalf.	cit on	
Clie	ents			
_		responses to Items 5.C. and 5.D. do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relation se investors.	nship	

To approximately how many *clients* for whom you do not have regulatory assets under management did you provide investment advisory services

D. For purposes of this Item 5.D., the category "individuals" includes trusts, estates, and 401(k) plans and IRAs of individuals and their family members, but does

1940. Unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment

The category "business development companies" consists of companies that have made an election pursuant to section 54 of the Investment Company Act of

during your most recently completed fiscal year?

not include businesses organized as sole proprietorships.

Company Act of 1940, do not answer (1)(d) or (3)(d) below.

0%

(2) Approximately what percentage of your *clients* are non-*United States persons*?

Indicate the approximate number of your *clients* and amount of your total regulatory assets under management (reported in Item 5.F. below) attributable to each of the following type of *client*. If you have fewer than 5 *clients* in a particular category (other than (d), (e), and (f)) you may check Item 5.D.(2) rather than respond to Item 5.D.(1).

The aggregate amount of regulatory assets under management reported in Item 5.D.(3) should equal the total amount of regulatory assets under management reported in Item 5.F.(2)(c) below.

If a *client* fits into more than one category, select one category that most accurately represents the *client* to avoid double counting *clients* and assets. If you advise a registered investment company, business development company, or pooled investment vehicle, report those assets in categories (d), (e), and (f) as applicable.

Type of <i>Client</i>	(1) Number of Client(s)	(2) Fewer than 5 Clients	(3) Amount of Regulatory Assets under Management
(a) Individuals (other than high net worth individuals)	0		\$ O
(b) High net worth individuals	0		\$ O
(c) Banking or thrift institutions	0		\$ O
(d) Investment companies	217		\$ 7,795,749,144,000
(e) Business development companies	0		\$ O
(f) Pooled investment vehicles (other than investment companies and business development companies)	2		\$ 342,160,104
(g) Pension and profit sharing plans (but not the plan participants or government pension plans)	0		\$ O
(h) Charitable organizations	0		\$ O
(i) State or municipal government entities (including government pension plans)	0		\$ O
(j) Other investment advisers	0		\$ O
(k) Insurance companies	0		\$ O
(I) Sovereign wealth funds and foreign official institutions	0		\$ O
(m) Corporations or other businesses not listed above	0		\$ O
(n) Other:	0		\$ O

Con	ompensation Arrangements						
E.	E. You are compensated for your investment advisory services by (check all that apply):						
	V	(1)	A percentage of assets under your management				
		(2)	Hourly charges				
		(3)	Subscription fees (for a newsletter or periodical)				
		(4)	Fixed fees (other than subscription fees)				
		(5)	Commissions				
	(6) Performance-based fees						
	V	(7)	Other (specify): ALLOCATED SHARE OF VANGUARD'S TOTAL COST OF OPERATIONS				

Yes No

0

**(** 

# F. (1) Do you provide continuous and regular supervisory or management services to securities portfolios? (2) If yes, what is the amount of your regulatory assets under management and total number of accounts? U.S. Dollar Amount Total Number of Accounts Discretionary: (a) \$7,796,091,304,104 (d) 219 Non-Discretionary: (b) \$0 Total: (c) \$7,796,091,304,104 (f) 219

Part 1A Instruction 5.b. explains how to calculate your regulatory assets under management. You must follow these instructions carefully when completing this Item.

(3) What is the approximate amount of your total regulatory assets under management (reported in Item 5.F.(2)(c) above) attributable to *clients* who are non-*United States persons*?

\$ 342,160,104

### Item 5 Information About Your Advisory Business - Advisory Activities

### **Advisory Activities**

- G. What type(s) of advisory services do you provide? Check all that apply.
  - (1) Financial planning services
    (2) Portfolio management for in
    - (2) Portfolio management for individuals and/or small businesses

	(4) (5) (6) (7) (8) (9) (10) (11) (12)	section 54 of the Investment Company Act of 1940)  Portfolio management for pooled investment vehicles (other than investment companies)  Portfolio management for businesses (other than small businesses) or institutional <i>clients</i> (other than registered investment companies)  Pension consulting services  Selection of other advisers (including <i>private fund</i> managers)  Publication of periodicals or newsletters  Security ratings or pricing services  Market timing services  Educational seminars/workshops  Other(specify):		nd
Inve	estmei	neck Item 5.G.(3) unless you provide advisory services pursuant to an investment advisory contract to an investment company registered unit Company Act of 1940, including as a subadviser. If you check Item 5.G.(3), report the 811 or 814 number of the investment company on the companies to which you provide advice in Section 5.G.(3) of Schedule D.		he
0 0 0 0 0 0 0	0 1 - 1 11 - 26 - 51 - 101 251 More If mo (roun	25 50 100 - 250 - 500 e than 500 ore than 500, how many? nd to the nearest 500)  esponses to this Item 5.H., do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship.	ionship	
(1) (2) (	Do yo If you a) <i>spo</i> \$ b) poi	ou participate in a wrap fee program?  In participate in a wrap fee program, what is the amount of your regulatory assets under management attributable to acting assents on a wrap fee program  In participate in a wrap fee program, what is the amount of your regulatory assets under management attributable to acting assents on sor to a wrap fee program?  In participate in a wrap fee program, what is the amount of your regulatory assets under management attributable to acting assents on sor to a wrap fee program?	Yes	
If yo	ou rep	port an amount in Item 5.1.(2)(c), do not report that amount in Item 5.1.(2)(a) or Item 5.1.(2)(b).		
If yo	our in\	e a portfolio manager for a wrap fee program, list the names of the programs, their sponsors and related information in Section 5.1.(2) of Sch volvement in a wrap fee program is limited to recommending wrap fee programs to your clients, or you advise a mutual fund that is offered program, do not check Item 5.1.(1) or enter any amounts in response to Item 5.1.(2).		
(1) inve	In res stme	sponse to Item 4.B. of Part 2A of Form ADV, do you indicate that you provide investment advice only with respect to limited types of	Yes O	•
(1)	Do yo	ly Managed Account <i>Clients</i> bu have regulatory assets under management attributable to <i>clients</i> other than those listed in Item 5.D.(3)(d)-(f) (separately account <i>clients</i> )?	Yes O	
(2)	Do yo	mplete Section 5.K.(1) of Schedule D.  ou engage in borrowing transactions on behalf of any of the separately managed account clients that you advise?  mplete Section 5.K.(2) of Schedule D.	o	0
(3)	Do yo	ou engage in derivative transactions on behalf of any of the separately managed account clients that you advise?	0	0

Н.

1.

J.

K.

	(4) After subtracting the amounts in Item 5.D.(3)(d)-(f) above from your total regulatory assets under management, does any custodian hold ten percent or more of this remaining amount of regulatory assets under management?	0	0
	If yes, complete Section 5.K.(3) of Schedule D for each custodian.		
	Marketing Activities	Yes	Nο
	(1) Do any of your advertisements include:	103	140
	(a) Performance results?	0	0
	(b) A reference to specific investment advice provided by you (as that phrase is used in rule 206(4)-1(a)(5))?	0	0
	(c) Testimonials (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	0	0
	(d) Endorsements (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	0	0
	(e) Third-party ratings?	0	0
	(2) If you answer "yes" to L(1)(c), (d), or (e) above, do you pay or otherwise provide cash or non-cash compensation, directly or indirectly, in connection with the use of <i>testimonials</i> , <i>endorsements</i> , or <i>third-party ratings</i> ?	0	0
	(3) Do any of your advertisements include hypothetical performance?	0	0
	(4) Do any of your advertisements include predecessor performance?	0	0
EC	TION 5.G.(3) Advisers to Registered Investment Companies and Business Development Companies		
СО	you check Item 5.G.(3), what is the SEC file number (811 or 814 number) of each of the registered investment companies and business developm mpanies to which you act as an adviser pursuant to an advisory contract? You must complete a separate Schedule D Section 5.G.(3) for each regrestment company and business development company to which you act as an adviser.		∋d
	C File Number 1 - 00121		
	ovide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or siness development company that you advise.		
	No Information Filed		
	No Information Fried		
	C File Number 1 - 00834		
	ovide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or siness development company that you advise.		
	No Information Filed		
	C File Number 1 - 01027		

Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or

If yes, complete Section 5.K.(2) of Schedule D.

business development company that you advise.
No Information Filed
SEC File Number 811 - 01530
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
No Information Filed
SEC File Number 811 - 01766
Dravide the regulatory exects under management of all parallel managed asseguets related to a registered investment company (or series thereof) or
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number
811 - 02368
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
SEC File Number 811 - 02554
011 - 02554
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
No Information Filed
SEC File Number
811 - 02652
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or

No Information Filed

SEC File Number
811 - 02687
Drovide the regulatory exects under management of all parallal managed associate to a registered investment company (or series thereof) or
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number
811 - 02968
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
business development company that you advise.
No Information Filed
SEC File Number 811 - 0296899
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
SEC File Number 811 - 03916
611 - 03910
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
NO IIIIOITTIALIOII FIIEU
SEC File Number
811 - 03919
Provide the regulatory assets under management of all parallal managed associated to a registered investment commany (or cories there-6)
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed

SEC File Number 811 - 04098
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 04474
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 04526
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 04570
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 04571
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number

811 - 04627

Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.							
No Information Filed							
SEC File Number							
811 - 04681							
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.							
No Information Filed							
No miormation riled							
SEC File Number							
811 - 05340							
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.							
No Information Filed							
SEC File Number 811 - 05445							
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.							
No Information Filed							
SEC File Number 811 - 05628							
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.							
No Information Filed							
TO THOMASON FROM							
SEC File Number 811 - 05962							
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or							

business development company that you advise.

No Information Filed
SEC File Number
811 - 05972
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or
business development company that you advise.
business development company that you duvise.
No Information Filed
SEC File Number
811 - 06083
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
SEC File Number
811 - 06093
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
SEC File Number
811 - 07043
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
CEC Eile Museleur
SEC File Number
811 - 07175
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or
business development company that you advise.

No Information Filed

SEC File Number 811 - 07239
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 07443
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 07803
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 09005
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number
811 - 21478
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed

SEC File Number 811 - 22114

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

No Information Filed

SEC File Number

811 - 22619

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

No Information Filed

SEC File Number

811 - 58431

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

No Information Filed

### SECTION 5.1.(2) Wrap Fee Programs

No Information Filed

### SECTION 5.K.(1) Separately Managed Accounts

After subtracting the amounts reported in Item 5.D.(3)(d)-(f) from your total regulatory assets under management, indicate the approximate percentage of this remaining amount attributable to each of the following categories of assets. If the remaining amount is at least \$10 billion in regulatory assets under management, complete Question (a). If the remaining amount is less than \$10 billion in regulatory assets under management, complete Question (b).

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise.

End of year refers to the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. Mid-year is the date six months before the end of year date. Each column should add up to 100% and numbers should be rounded to the nearest percent.

Investments in derivatives, registered investment companies, business development companies, and pooled investment vehicles should be reported in those categories. Do not report those investments based on related or underlying portfolio assets. Cash equivalents include bank deposits, certificates of deposit, bankers' acceptances and similar bank instruments.

Some assets could be classified into more than one category or require discretion about which category applies. You may use your own internal methodologies and the conventions of your service providers in determining how to categorize assets, so long as the methodologies or conventions are consistently applied and consistent with information you report internally and to current and prospective clients. However, you should not double count assets, and your responses must be consistent with any instructions or other guidance relating to this Section.

(a)	Ass	et Type	Mid-year	End of year
	(i)	Exchange-Traded Equity Securities	%	%
	(ii)	Non Exchange-Traded Equity Securities	%	%
	(iii)	U.S. Government/Agency Bonds	%	%
	(iv)	U.S. State and Local Bonds	%	%

(v) Sovereign Bonds	%	%
(vi) Investment Grade Corporate Bonds	%	%
(vii) Non-Investment Grade Corporate Bonds	%	%
(viii) Derivatives	%	%
(ix) Securities Issued by Registered Investment Companies or Business Development Companies	%	%
(x) Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	%	%
(xi) Cash and Cash Equivalents	%	%
(xii) Other	%	%

Generally describe any assets included in "Other"

Ass	et Type	End of year						
(i)	Exchange-Traded Equity Securities	%						
(ii)	i) Non Exchange-Traded Equity Securities							
(iii)	iii) U.S. Government/Agency Bonds							
(iv)	U.S. State and Local Bonds	%						
(v)	y) Sovereign Bonds							
(vi)	Investment Grade Corporate Bonds	%						
(vii)	Non-Investment Grade Corporate Bonds	%						
(viii)	Derivatives	%						
(ix)	Securities Issued by Registered Investment Companies or Business Development Companies	%						
(x)	Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	%						
(xi)	Cash and Cash Equivalents	%						
(xii)	Other	%						

Generally describe any assets included in "Other"

### SECTION 5.K.(2) Separately Managed Accounts - Use of *Borrowings* and Derivatives

 $\square$  No information is required to be reported in this Section 5.K.(2) per the instructions of this Section 5.K.(2)

If your regulatory assets under management attributable to separately managed accounts are at least \$10 billion, you should complete Question (a). If your regulatory assets under management attributable to separately managed accounts are at least \$500 million but less than \$10 billion, you should complete Question (b).

(a) In the table below, provide the following information regarding the separately managed accounts you advise. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise. End of year refers to the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. Mid-year is the date six months before the end of year date.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any *borrowings* and (b) the *gross notional value* of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of borrowings for the accounts included in column 1.

In column 3, provide aggregate gross notional value of derivatives divided by the aggregate regulatory assets under management of the accounts included in column 1 with respect to each category of derivatives specified in 3(a) through (f).

You may, but are not required to, complete the table with respect to any separately managed account with regulatory assets under management of less than \$10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

(i) Mid-Year

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings		(3) Derivative Exposures							
			(a) Interest Rate	(b) Foreign Exchange	(c) Credit	(d) Equity	(e) Commodity	(f) Other			

			Derivative	Derivative	Derivative	Derivative	Derivative	Derivative
Less than 10%	\$	\$	0 %	0 %	0 %	0 %	0 %	0 %
10-149%	\$	\$ O	0 %	0 %	0 %	0 %	0 %	0 %
150% or more	\$ O	\$ 0	0 %	0 %	0 %	0 %	0 %	0 %

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

### (ii) End of Year

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings	(3) Derivative Exposures					
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative	(d) Equity Derivative	(e) Commodity Derivative	(f) Other Derivative
Less than 10%	\$ O	\$ 0	0 %	0 %	0 %	0 %	0 %	0 %
10-149%	\$ O	\$ 0	0 %	0 %	0 %	0 %	0 %	0 %
150% or more	\$ O	\$ 0	0 %	0 %	0 %	0 %	0 %	0 %

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

(b) In the table below, provide the following information regarding the separately managed accounts you advise as of the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any *borrowings* and (b) the *gross notional value* of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of borrowings for the accounts included in column 1.

You may, but are not required to, complete the table with respect to any separately managed accounts with regulatory assets under management of less than \$10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings
Less than 10%	\$ 0	\$ 0
10-149%	\$ 0	\$ 0
150% or more	\$ 0	\$ 0

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

### SECTION 5.K.(3) Custodians for Separately Managed Accounts

No Information Filed

### Item 6 Other Business Activities

In this Item, we request information about your firm's other business activities.

- A. You are actively engaged in business as a (check all that apply):
  - ☐ (1) broker-dealer (registered or unregistered)
  - (2) registered representative of a broker-dealer
  - (3) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
  - (4) futures commission merchant
  - (5) real estate broker, dealer, or agent
  - (6) insurance broker or agent
  - (7) bank (including a separately identifiable department or division of a bank)
  - (8) trust company
  - (9) registered municipal advisor
  - (10) registered security-based swap dealer

		<ul> <li>(11) major security-based swap participant</li> <li>(12) accountant or accounting firm</li> <li>(13) lawyer or law firm</li> </ul>	
		(14) other financial product salesperson (specify):	
	If yo	ou engage in other business using a name that is different from the names reported in Items 1.A. or 1.B.(1), complete Section 6.A. of Schedule D.	
В.	(1)	Are you gettingly engaged in any other business not listed in Itans ( A (other them siving investment advice)?	es No
<i>ن</i> .	(2)		
	(2)	If "yes," describe this other business on Section 6.B.(2) of Schedule D, and if you engage in this business under a different name, provide that name.	
			es No
	(3)	Do you sell products or provide services other than investment advice to your advisory clients?	9 0
		If "yes," describe this other business on Section 6.B.(3) of Schedule D, and if you engage in this business under a different name, provide that name	е.
EC	TION	6.A. Names of Your Other Businesses	
		No Information Filed	
EC	TION	I 6.B.(2) Description of Primary Business	
Des	cribe	e your primary business (not your investment advisory business):	
		VIDES ITS CLIENTS WITH CORPORATE, MANAGEMENT & ADMINISTRATIVE MUTUAL FUND SERVICES, INCLUDING LEGAL, ACCOUNTING, TRANSFER & DISTRIBUTION SERVICES.	
lf y	ou er	ngage in that business under a different name, provide that name:	
EC	TION	I 6.B.(3) Description of Other Products and Services	
Des	cribe	e other products or services you sell to your <i>client</i> . You may omit products and services that you listed in Section 6.B.(2) above.	
SAN	/IE AS	S 6.B.(2).	
lf y	ou er	ngage in that business under a different name, provide that name:	
ten	n 7 Fi	inancial Industry Affiliations	
		em, we request information about your financial industry affiliations and activities. This information identifies areas in which conflicts of interest tween you and your <i>clients</i> .	may
Ц.		s part of Item 7 requires you to provide information about you and your <i>related persons</i> , including foreign affiliates. Your <i>related persons</i> are all c isory affiliates and any person that is under common control with you.	f your
		have a related person that is a (check all that apply):	
	-	<ul><li>(1) broker-dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered)</li><li>(2) other investment adviser (including financial planners)</li></ul>	
	V	(3) registered municipal advisor	
		<ul><li>(4) registered security-based swap dealer</li><li>(5) major security-based swap participant</li></ul>	
	V	(6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	V	(7) futures commission merchant	
	V	<ul><li>(8) banking or thrift institution</li><li>(9) trust company</li></ul>	
		(10) accountant or accounting firm	
	V	(11) lawyer or law firm	
		<ul><li>(12) insurance company or agency</li><li>(13) pension consultant</li></ul>	
		(14) real estate broker or dealer	
	▽	<ul><li>(15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li><li>(16) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li></ul>	
	broi	te that Item 7.A. should not be used to disclose that some of your employees perform investment advisory functions or are registered representative ker-dealer. The number of your firm's employees who perform investment advisory functions should be disclosed under Item 5.B.(1). The number of one of the control of the presentatives of a broker-dealer should be disclosed under Item 5.B.(2).	
	Not	e that if you are filing an umbrella registration, you should not check Item 7.A.(2) with respect to your relying advisers, and you do not have to comp	lete

Section 7.A. in Schedule D for your relying advisers. You should complete a Schedule R for each relying adviser.

For each related person, including foreign affiliates that may not be registered or required to be registered in the United States, complete Section 7.A. of Schedule D.

You do not need to complete Section 7.A. of Schedule D for any related person if: (1) you have no business dealings with the related person in connection with advisory services you provide to your clients; (2) you do not conduct shared operations with the related person; (3) you do not refer clients or business to the related person, and the related person does not refer prospective clients or business to you; (4) you do not share supervised persons or premises with the related person; and (5) you have no reason to believe that your relationship with the related person otherwise creates a conflict of interest with your clients.

You must complete Section 7.A. of Schedule D for each related person acting as qualified custodian in connection with advisory services you provide to your clients (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)), regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.

EC	TIOI	N 7.A. Financial Industry Affiliations	
Col	nplet	te a separate Schedule D Section 7.A. for each <i>related person</i> listed in Item 7.A.	
1.	_	al Name of <i>Related Person</i> : M, S.A. DE C.V., ASESOR EN INVERSIONES INDEPENDIENTE	
2.		nary Business Name of <i>Related Person</i> : IGUARD MÉXICO	
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or		
	Oth	er er	
4	Dala	atad Daraan's	
4.	(a)	ated Person's  CRD Number (if any):	
	(4)		
	(b)	CIK Number(s) (if any):	
		No Information Filed	
5.		ated Person is: (check all that apply)	
	(a)		
	(b)	other investment adviser (including financial planners)  registered municipal advisor	
	(c) (d)	registered municipal advisor  registered security-based swap dealer	
	(u) (e)	major security-based swap participant	
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(I) (g)	futures commission merchant	
	(h)	banking or thrift institution	
	(i)	trust company	
	(i)	accountant or accounting firm	
	(k)	lawyer or law firm	
	(I)	insurance company or agency	
	(m)		
	(n)	real estate broker or dealer	
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
			Yes N
ó.	Do :	you control or are you controlled by the related person?	© (
7.	Are	you and the related person under common control?	0 0
	(0)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	_
3.	(a)		0 0
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?	0 (
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your cli	ents' assets
		Number and Street 1: Number and Street 2:	
		City: State: Country: ZIP+4/Postal Code:	
		If this address is a private residence, check this box: $\square$	Yes N
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	• (es iv
	(b)	If the answer is yes, under what exemption? FOREIGN PRIVATE ADVISER EXEMPTION	~ `

10.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	C
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is regist	red.	
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		Mexico - National Commission for Banking and Securities		
11.	Do y	ou and the related person share any supervised persons?	0	•
10	_			
12.	ро у	ou and the <i>related person</i> share the same physical location?	0	•
1	Logo	al Name of <i>Related Person</i> :		
	_	GUARD MARKETING CORPORATION		
		ary Business Name of <i>Related Person</i> :  GUARD MARKETING CORPORATION		
	• , •			
		ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	8 - 2 or	21570		
	Othe	er		
		ted Person's  CRD Number (if any):		
	(4)	7452		
	(b)	CIK Number(s) (if any):  CIK Number		
		1114858		
		1114030		
	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (n) (o)	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
6.	Do v	you control or are you controlled by the related person?	Yes	
	,		٠	
7.	Are :	you and the <i>related person</i> under common <i>control</i> ?	0	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	G
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not	0	
	(c)	required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person?</i> If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>client</i>	'ass	ets
		Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
Ω	(0)	If the related person is an investment advisor, is it exempt from registration?	Yes	
9.		If the <i>related person</i> is an investment adviser, is it exempt from registration?  If the answer is yes, under what exemption?	0	С
	(U)	in the answer is yes, under what exemption:		
10.		Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is regist	red.	

No Information Filed

11.	Do you and the related person share any supervised persons?	•	$\circ$
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : VANGUARD ASSET MANAGEMENT, LIMITED		
2.	Primary Business Name of <i>Related Person</i> : VANGUARD ASSET MANAGEMENT, LIMITED		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 107653		
	or Other		
4.	Related Person's  (a) CRD Number (if any): 282598  (b) CIK Number(s) (if any): CIK Number		
	1680208		
5.	<ul> <li>Related Person is: (check all that apply)</li> <li>(a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer</li> <li>(b) ☑ other investment adviser (including financial planners)</li> <li>(c) □ registered municipal advisor</li> <li>(d) □ registered security-based swap dealer</li> <li>(e) □ major security-based swap participant</li> </ul>		
	<ul> <li>(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li> <li>(g) futures commission merchant</li> <li>(h) banking or thrift institution</li> <li>(i) trust company</li> <li>(j) accountant or accounting firm</li> <li>(k) lawyer or law firm</li> <li>(l) insurance company or agency</li> <li>(m) pension consultant</li> <li>(n) real estate broker or dealer</li> <li>(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>		
6	Do you control or are you controlled by the related person?	Yes	
0.	bo you control of the you controlled by the related person:	•	0
7.	Are you and the related person under common control?	0	•
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	$\odot$
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		0
	(c) If you have answered "yes" to question 8. (a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your of Number and Street 1:  City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	clients' asse	ets:
		Yes	No
9.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0	•
10.	<ul> <li>(a) Is the related person registered with a foreign financial regulatory authority?</li> <li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is represented by Name of Country/English Name of Foreign Financial Regulatory Authority</li> <li>United Kingdom - Financial Conduct Authority</li> </ul>	egistered.	0
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?		•

	Legal Name of <i>Related Person</i> : VGI INSURANCE, INC.		
2.	Primary Business Name of <i>Related Person</i> : VGI INSURANCE, INC.		
8.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or		
	Other		
ļ.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
).	Related Person is: (check all that apply)  (a)  broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)  other investment adviser (including financial planners)		
	<ul> <li>(c)  registered municipal advisor</li> <li>(d)  registered security-based swap dealer</li> <li>(e)  major security-based swap participant</li> </ul>		
	<ul> <li>(f)</li></ul>		
	(i) accountant or accounting firm  (k) lawyer or law firm		
	<ul> <li>(I)</li></ul>		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) $\square$ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		NI-
<b>)</b> .	Do you control or are you controlled by the related person?	Yes O	. INC
<b>'</b> .	Are you and the related person under common control?	•	С
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clie</i> Number and Street 1:  Number 2:	ents' ass	ets
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
		Yes	No
).	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	О
	(b) If the answer is yes, under what exemption?		
Ο.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is reg No Information Filed	jistered.	
1.	Do you and the related person share any supervised persons?	0	•
2.	Do you and the <i>related person</i> share the same physical location?	•	С

 Legal Name of Related Person: VANGUARD INVESTMENTS CANADA INC.

2.		nary Business Name of <i>Related Person</i> : IGUARD INVESTMENTS CANADA INC.		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	802	- 107926		
	or Othe			
	Othe	31		
4.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(1.)	283519		
	(b)	CIK Number(s) (if any):  CIK Number		
		1816312		
5.		ated Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) (c)	other investment adviser (including financial planners)  registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	<ul><li>□ banking or thrift institution</li><li>□ trust company</li></ul>		
	(i) (j)	accountant or accounting firm		
	(k)	☐ lawyer or law firm		
	(l)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o) (p)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(β)		'es	No
6.	Do y	you control or are you controlled by the related person?	•	С
7.	Are	you and the related person under common control?	0	0
	( )			
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?		•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not	0	С
		required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' a	ısse	ets
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
			'es	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	•
	(b)	If the answer is yes, under what exemption?		
10	. (a)	Is the related person registered with a foreign financial regulatory authority?	0	С
	(b)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registere	d.	
		Name of Country/English Name of Foreign Financial Regulatory Authority  Canada - Ontario Securities Commission		
11	Do v		_	_
	. DO 3	700 and the related person share any supervised persons:	⊙	С
12	. Do y	you and the <i>related person</i> share the same physical location?	0	G
	,			**
	1	al Name of Delated Demon		
1.	_	al Name of <i>Related Person:</i> IGUARD ADVISERS, INC.		
	-, 114			
2.		nary Business Name of <i>Related Person</i> :		
	VAN	GUARD ADVISERS, INC.		
$\ _3$	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		

	801	- 49601		
	or Oth			
	Oth			
4.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(b)	106715 CIK Number(s) (if any):		
	(0)	CIK Number		
		947529		
-	5 (			
5.	Rela (a)	ated Person is: (check all that apply)  D broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant  banking or thrift institution		
	(h) (i)	trust company		
	(i)	accountant or accounting firm		
	(k)	☐ lawyer or law firm		
	(l)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	Nic
6.	Do v	you control or are you controlled by the related person?	•	
			•	•
7.	Are	you and the related person under common control?	0	•
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	$\circ$	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the	$\circ$	С
		presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your client	ts' ass	ets
	` ,	Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\Box$		N.I.
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
7.			О	•
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	œ
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is regist		•
		No Information Filed		
11.	Doy	you and the <i>related person</i> share any <i>supervised persons</i> ?	$\odot$	C
12.	Do y	you and the <i>related person</i> share the same physical location?	⊙	C
1.	_	al Name of <i>Related Person</i> :		
	VAN	IGUARD FIDUCIARY TRUST COMPANY		
2.	Drim	nary Business Name of <i>Related Person</i> :		
۷.		IGUARD FIDUCIARY TRUST COMPANY		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or Oth	er		
		-11554		

4.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
	(D)	CIK Number		
		933478		
5.	Rela	ated Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	✓ trust company		
	(j) (k)	□ accountant or accounting firm □ lawyer or law firm		
	(N) (I)	insurance company or agency		
	.,			
	(n)	real estate broker or dealer		
	(0)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No
6.	Do y	you control or are you controlled by the related person?	•	0
7.	Are	you and the related person under common control?	0	•
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the		0
		presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	~	~
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>client</i> Number and Street 1:  Number 2:	s'ass	ets:
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\square$		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	$\circ$	0
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	$\odot$
	(b)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is regist No Information Filed	ered.	
11.	Do v	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
	,		•	
12.	Do y	you and the <i>related person</i> share the same physical location?	•	0
			~	~
1.	_	al Name of <i>Related Person:</i> IGUARD GROUP (IRELAND) LIMITED		
	VAIN	GOARD GROOF (IRELAND) EIMITED		
2.	Prim	nary Business Name of <i>Related Person</i> :		
		IGUARD GROUP (IRELAND) LIMITED		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or Othe	or.		
	Othe			
4.	Rola	ated Person's		
7.	(a)	CRD Number (if any):		
	(4)			
	(b)	CIK Number(s) (if any):		
		CIK Number		

		1816678		
5.		ed Person is: (check all that apply) $oxdot$ broker-dealer, municipal securities dealer, or government securities broker or dealer		
	• ,	other investment adviser (including financial planners)		
	` ,	registered municipal advisor		
	` ,	registered security-based swap dealer		
		major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	` ,	banking or thrift institution		
	• •	trust company		
		accountant or accounting firm		
		□ lawyer or law firm □ incurance company or agency		
	(l) (m)	<ul><li>insurance company or agency</li><li>pension consultant</li></ul>		
	` ,	real estate broker or dealer		
	` '	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	` ,	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	47		Yes	No
6.	Do y	ou control or are you controlled by the related person?	•	0
7.	Are y	ou and the related person under common control?	0	•
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the	0	0
		presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not		_
		required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients'	ass∈	ets:
		Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	•
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	$\odot$	0
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is register	ed.	
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		Ireland - Central Bank of Ireland		
11.	Do y	ou and the <i>related person</i> share any <i>supervised persons</i> ?	$\odot$	0
12.	Do y	ou and the <i>related person</i> share the same physical location?	0	$\odot$
1.	_	I Name of <i>Related Person</i> : GUARD INVESTMENTS UK, LIMITED		
	VAIN	TO THE TWEST WENT ON, LIWITED		
2.	Prim	ary Business Name of <i>Related Person</i> :		
		GUARD INVESTMENTS UK, LIMITED		
3.		ed Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	802	- 108191		
	or Otho	r		
	Othe			
4	Relat	red Person's		
.		CRD Number (if any):		
		283775		
	` ,	283775		
		CIK Number(s) (if any):		
		CIK Number(s) (if any):		

5.	Rela	ted Person is: (check all that apply)		
	` ,	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	` ,	other investment adviser (including financial planners)		
	` ,	registered municipal advisor		
	(d)			
	` ,	major security-based swap participant		
	• •	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	10,	futures commission merchant		
		banking or thrift institution		
	• • •	trust company		
	0,	accountant or accounting firm		
		lawyer or law firm		
	(l) (m)	insurance company or agency		
	` ,	real estate broker or dealer  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
		sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(μ)		Yes	No
6	Do v	you control or are you controlled by the related person?		
0.	БО у	you control of are you controlled by the related person:	⊙	O
7	۸ro	you and the related person under common central?	_	_
1.	Are .	you and the <i>related person</i> under common <i>control</i> ?	0	⊚
0	(-)			
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	⊙
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the	$\circ$	$\circ$
		presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i>	0000	\tc.
	(c)	Number and Street 1:  Number and Street 2:	asse	:15.
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	•
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	0
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is register		
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		United Kingdom - Financial Conduct Authority		
11.	Do v	you and the related person share any supervised persons?	•	0
	,		•	
12.	Do v	you and the <i>related person</i> share the same physical location?	0	•
	,			٠
1.	Lega	al Name of <i>Related Person</i> :		
	VAN	GUARD GLOBAL ADVISERS, LLC		
2.		nary Business Name of <i>Related Person</i> :		
	VAN	GUARD GLOBAL ADVISERS, LLC		
_				
3.		nted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
		- 76825		
	or Othe			
	Othic			
4.	Rela	ited Person's		
	(a)	CRD Number (if any):		
	. /	164593		
	(b)	CIK Number(s) (if any):		_
		CIK Number		
		1811242		
5.	Rela	nted Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		

	(d)	registered municipal advisor registered security-based swap dealer		
		major security-based swap participant  commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	• •	futures commission merchant		
	(h)	banking or thrift institution		
		trust company		
	•	accountant or accounting firm  lawyer or law firm		
		insurance company or agency		
	(m)	pension consultant		
	` ,	real estate broker or dealer		
		sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(μ)		/es	No
6.	Do y	ou control or are you controlled by the related person?	•	0
7.	Are y	you and the <i>related person</i> under common <i>control</i> ?	0	•
8.		Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?		•
		If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> Number and Street 1:  Number 2:	isse	ets:
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\square$	/es	Na
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	o	
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	0
	(b)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is register Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	∍d.	
		Ireland - Central Bank of Ireland		
11.	Do y	ou and the related person share any supervised persons?	•	0
12.	Do y	ou and the <i>related person</i> share the same physical location?	•	0
1	Lega	l Name of <i>Related Person</i> :		
	_	GUARD INVESTMENTS AUSTRALIA LIMITED		
2.		ary Business Name of <i>Related Person</i> :		
	VANC	GUARD INVESTMENTS AUSTRALIA LIMITED		
3.		ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 107761		
	or	- 107701		
	Othe			
4.	Rela	ted Person's		
	(a)	CRD Number (if any):		
	(b)	282933 CIK Number(s) (if any):		
	(D)	CIK Number		
		1550100		
5.		ted Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or dealer		
	` ,	other investment adviser (including financial planners)		
	` ,	registered municipal advisor		
	` ,	registered security-based swap dealer		
	(e)	major security-based swap participant		

	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	trust company		
	(j)	accountant or accounting firm		
	(k)	lawyer or law firm		
	(I)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No
6.	Do y	you control or are you controlled by the related person?	⊙	0
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	0	$\odot$
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not	0	0
		required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients.	ts' ass	ets:
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
		If this address is a private residence, check this box.	Ves	. No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?		•
				٠
	(b)	If the answer is yes, under what exemption?		
1∩	(a)	Is the related person registered with a foreign financial regulatory authority?	_	_
10.			_	0
	(a)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is regis Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	terea.	
		Australia - Australian Securities and Investments Commission		
	_			
11.	ро у	you and the related person share any supervised persons?	⊙	0
12.	Do y	you and the <i>related person</i> share the same physical location?	0	⊙
1.	Lega	al Name of <i>Related Person</i> :		
	_	GUARD INVESTMENTS HONG KONG LIMITED		
2.	Prim	pary Business Name of <i>Related Person</i> :		
		GUARD INVESTMENTS HONG KONG LIMITED		
3.	Rela	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or			
	Othe	er en		
4.		ted Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
	(D)	CIK Number		
		1818513		
		1010313		
5.	Polo	ted Person is: (check all that apply)		
J.	(a)			
	` '			
	(b)			
	(c)	registered municipal advisor registered security-based swap dealer		
	(d)	registered security-based swap dealer major security-based swap participant		
	(e)	major security-based swap participant  commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(f) (g)	futures commission merchant		
	(g) (h)	banking or thrift institution		
	マワ	— Samming of think motivation		

		(i) (j) (k)	<ul> <li>□ trust company</li> <li>□ accountant or accounting firm</li> <li>□ lawyer or law firm</li> </ul>		
Column   C		(1)	insurance company or agency		
(ii) F sponsar, general partner, managing member (or appropriate investment validates.  Yes No. C. D. you contrain a spoul controlled by the reseted person?  Are you and the instance process at a local life of customers common content.  Are you and the instance process at a local life of customers for your chert's in connection with advicery services you growthe to clean?  O (ii) If you are not appearing an implicated with this CC and you have removed "your" in quantion (b) allowers their appearance in the person of the person o					
Vision May be provided to are you controlled by the related person?  7. Are you and the related person under common costod?  8. (a) Does the collected person and are guidefined covered in the SEC and you never answered lyes. The quarter state person the provided in the SEC and you have answered lyes. The quarter state person the provided in the SEC and you have answered lyes. The quarter state of the second to detail a supprise examination for your cleant from an executities that are maintained at the evaluation and required to obtain a supprise examination for your cleants from an executities that are maintained at the evaluation exposured to the control on the related exercise?  8. (a) If the vertice of the entire is control as (a) access, provide the location of the related exercise of the control is control as (b) access, provided the location of the related exercise of the control is control as (b) access to the provided the location of the related exercise of the control is control as (b) access to the provided the location of the related exercise of the control is control as (b) access to the provided the location of the related exercise of the control is control as (b) and the contr					
A very poul and the related person under common control?  C Process that related persons are as purified accidanter for your relative in control on with related systems you provide in relative?  C Process are registering or registered with the SEC and you have an weeterd yea; "to causation 6 (a) above, have you overcome the processment that you earn of specified you have an executive of the control of the related person will be one and specified accordance on the processment of the your entered years are registered in the control process.  C Process are accorded years or quarter than the process and state of the control person and files to exceed years.  A process are accorded years or quarter than the process and state of the control person and state of the control person of control per				Yes	No
8. (a) Does the cretical personned as a qualified realization for your obtack in connection with substance special contents.  (b) Types are registering an registering shift that the 50°C and you have answered bytes. It is question 8.(a) above, there you concernments or presuments to the 20°C (10°C) for them the value of an observation of the your obtack funds or securified to the 20°C (10°C) for them the value deposing an time are not required to obtains a surprise recrimination for your obtack funds or securifies that are maintained at the related persons?  (a) If you have answered byte in question 8. (a) above, provided the business of the related persons office responsible for exactory of your obtach the securities and factors to the securities of the provided persons in an investment adviser, is it exempt from registration?  (b) If the related person is an investment adviser, is it exempt from registration?  (c) If the selection of the provided persons is an investment adviser, is it exempt from registration?  (d) If the selection of the provided persons is an investment adviser, is it exempt from registration?  (e) If the selection of the provided persons is an investment adviser, is it exempt from registration?  (e) If the selection of the provided persons is an investment adviser, is it exempt from registration?  (e) If the selection of the provided persons registered with a coregon factorial registrory authority  (f) If the selection of the provided persons is a provided persons of the provided persons in the related persons in the related persons name and country, in bright in disabilities and follows:  (e) Do you and the related persons name are supervised persons?  (f) Copyright of the provided persons name and country, in bright in the provided persons of the prov	6.	Do y	ou control or are you controlled by the related person?	•	0
1.5   If you are depleting or repleting the project and with the ST and you have revenued for the Color ST and you have revenued for the Color ST and the presentation for the You depleting the your dep	7.	Are :	you and the <i>related person</i> under common <i>control</i> ?	0	•
presumption that you are not constructed yellowing independent (sursuant to rulo 2064-20(0)(5)) from the related passed and that are not constructed to obtain a surgicial examination for your delien's funds or excussive that the related passed and an examination of the related passed state of the related passed and street.  (3) If you have answered tyes to question 8 (a) answer, provide the location of the related passed state or captured or captured or captured to the captured of the captured of the captured or captured capt	8.			0	•
Number and Street 1: City State: City State: City State: If this address is a private residence, check this box.   Yes No.  (a) If the related posson is an investment advisor, is it exceept from registration?  (b) If the answer is yes, under what exemption? City India Analysis is a private residence, check this box.   If the answer is yes, under what exemption? City India Analysis is a private residence and country. In English of each devige frameout regulatory authenty with which the related posson is registered to each foreign frameout regulatory authenty with which the related posson is registered Name of Country/English Name of English of each devige frameout regulatory authenty with which the related posson is registered Name of Country English Name of English of each devige frameout regulatory authenty with which the related posson is registered Name of English Name of English of each devige frameout regulatory authenty with which the related posson is registered.   1. Logal Name of Related Parsons Valuable Name of Related Parsons ValuableD National, Trust Country in A.  2. Primary Business Name of Related Parsons ValuableD National, Trust Country in A.  3. Melated Person's SEC File Number (if any) (e.g., 801-, 8-, 86e-, 802-)  or Other  4. Related Person is (ineed, all that apply) (a) CIK Number (if inry): (b) CIK Number (if inry): (c) CIK Number (if inry): (d) CIK Number (if inry): (e) Displaced municipal securities dealer: or government securities broker or dealer (e) Order investment auther passes wasp dealer (e) Order investment auther pas		(b)	presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not	0	0
Clty: State: It this address is a private residence, check this box.   Yes No.   9. (a) If the related person is an investment adviser, is it exempt from registration?  (b) If the answer is yes, under what exemption?  FOREIGN ADVISER EXEMPTION  10. (a) Is the related person registered with a <i>keeign financial regulatory authority</i> ?  (c) Clty:  (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Heng Kong - Securities and Fouriers Commission  11. Do you and the related person share the same physical location?  12. Do you and the related person share the same physical location?  13. Polyou and the related person share the same physical location?  14. Legal finance of shaked Persons  VANCUARD NATIONAL TRUST COMPANY: N.A.  25. Primary Rusiness Name of Related Resons  VANCUARD NATIONAL TRUST COMPANY: N.A.  26. Primary Rusiness Name of Related Resons  VANCUARD NATIONAL TRUST COMPANY: N.A.  27. Primary Rusiness Name of Related Resons  VANCUARD NATIONAL TRUST COMPANY: N.A.  28. Related Reson's (if only):  (b) CIK Number (if any):  (c) CIK Number (if any):  (d) Cregistered municipal advisor in the primary of the primary participant in participant in the primary participant in the pa		(c)		asse	ets:
Yes No.  (a) If the related person is un investment adviser, is it exempt from registration?  (b) If the answer is yes, under what exemption?  FOREIGN ADVISER EXEMPTION  10. (a) Is the related person registered with a foreign financial regulatory authority?  (c) If the answer is yes, list the name and country, in English of each foreign themselving pulsatory authority with which the related person is registered.  Name of Country/English Name of Foreign financial Regulatory Authority  Heng Kong - Securities and Futures Commission  11. Do you and the related person share any supervised persons?  (c) C  12. Do you and the related person share the same physical location?  (d) If the answer of Related Person  13. Logal Name of Related Person  14. English Name of Related Person  75. Related Person's SEC File Number (if any) (e.g., 801-, 8- 866-, 802-)  76. Or Other  17. Related Person's  (a) CRD Number (if any):  (b) CIK Number(s) (if any):  (c) Introduction Filed  18. Related Person is: (check all that apply)  (a) Introduce related, municipal securities dealer, or government securities broker or gealer  (b) Cit not investment actives (including trancial planners)  (d) Introduce related remaining all advisor  (e) Introduce related remaining all advisor  (e) Introduce remaining all advisor  (financial registered security-based swap dealer  (e) Interpretation person and commission microbant  (financial registered security-based swap dealer  (e) Interpretation person of microbant  (financial registered security-based swap dealer  (e) Interpretation microbant or microbant  (financial registered security-based swap dealer  (e) Interpretation microbant or microbant  (financial registered security-based swap dealer  (e) Interpretation microbant or accounted the registered or exempt from registration)  (financial registered security-based swap dealer  (g) Interpretation or registered security-based swap dealer  (g) Interpretation or registered security-based swap dealer  (g) Interpretation or registered security-based swap d			City: State: Country: ZIP+4/Postal Code:		
9. (a) If the created person is an investment advisor, is it occupit from registration?  (b) If the univer is yes, under what exemption?  (c) If the univer is yes, under what exemption?  (d) Is the created person registered with a corego meancial cogulatory authority?  (e) C  (f) If the answer is yes, list the name and country. In English of each foreign financial regulatory authority with which the related person is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Horn Kong. Securities and Fouriers Commission  11. Do you and the related person share any supervised persons?  (c) C  12. Do you and the related person share the same physical location?  (d) English Name of Related Person.  VANGUARD NATIONAL TRUST COMPANY, N.A.  Primary Husiness Name at Anstard Person.  VANGUARD NATIONAL TRUST COMPANY  3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  or  Other  4. Related Person's SEC File Number (if any):  (e) CIK Number (if any):  (b) CIK Number (if any):  No Information Filed  5. Related Person's SEC File Number (including financial planners)  (c) In professor, municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or gov			If this address is a private residence, check this box:	Yes	No
FOREIGN ADVISER EXEMPTION  10. (a) Is the related person registered with a foreign financial regulatory authority?  (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.    Name of Country/English Name of Persons Principles	9.	(a)	If the related person is an investment adviser, is it exempt from registration?		
(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.    Name of Country/English Name of Foreign Financial Regulatory Authority		(b)			
Name of Country/English Name of Foreign Financial Regulatory Authority   Hong Kong - Securities and Futures Commission	10.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	0
Hong Kong - Securities and Futures Commission  11. Do you and the related person share any supervised persons?  © C  12. Do you and the related person share the same physical location?  13. Legal Name of Related Person: VANGUARD NATIONAL TRUST COMPANY, N.A.  24. Primary Business Name of Related Person: VANGUARD NATIONAL TRUST COMPANY  35. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  or Other  46. Related Person's (a) GRO Number (if any): (b) CIK Number (s) (if any):  No Information Filed  57. Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer (b) or their investment adviser (including financial planners) (c) registered municipal advisor (d) registered security-based swap dealer (e) major security-based swap participant (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) futures commending institution (g) sharing or thrift institution (g) anking or thrift institution (g) association to accounting firm (g) accountant or accounting firm (g) lawyer or law firm		(b)		ed.	
12. Do you and the related person share the same physical location?  1. Legal Name of Related Person: VANCUARD NATIONAL TRUST COMPANY, N.A.  2. Primary Business Name of Related Person: VANCUARD NATIONAL TRUST COMPANY  3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 864-, 802-)  or or Other  4. Related Person's  (a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply)  (a) broker-dealor, municipal securities dealer, or government securities broker or dealer  other investment adviser (including financial planners)  (c) registered municipal advisor  (d) registered security-based swap doaler  (e) major security-based swap participant  (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) futures commission merchant  (h) Possing or thrill institution  (i) Introduce the same physical location?  Introduce the same					
1. Legal Name of Related Person: VANSUARD NATIONAL TRUST COMPANY, N.A.  2. Primary Business Name of Related Person: VANGUARD NATIONAL TRUST COMPANY  3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  or Other  4. Related Person's (a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer of the rivestment advisor (including financial planners) (c) registered municipal advisor (d) registered security-based swap dealer (e) major security-based swap participant (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) trust company (h) trust company (i) accountant or accounting firm (k) leavyer or law firm	11.	Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
VANGUARD NATIONAL TRUST COMPANY, N.A.  2. Primary Business Name of <i>Related Person</i> : VANCUARD NATIONAL TRUST COMPANY  3. <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	12.	Do y	you and the related person share the same physical location?	0	0
VANGUARD NATIONAL TRUST COMPANY  3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	1.	_			
or Other  4. Related Person's (a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer (b) other investment adviser (including financial planners) (c) registered municipal advisor (d) registered municipal advisor (e) major security-based swap participant (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) futures commission merchant (h) sanking or thrift institution (f) trust company (g) accountant or accounting firm (k) lawyer or law firm	2.				
Other  4. Related Person's  (a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply)  (a) broker-dealer, municipal securities dealer, or government securities broker or dealer  (b) other investment adviser (including financial planners)  (c) registered municipal advisor  (d) registered security-based swap dealer  (e) major security-based swap participant  (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) futures commission merchant  (h) banking or thrift institution  (i) trust company  (j) accountant or accounting firm  (k) lawyer or law firm	3.	Rela -	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
(a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply)  (a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer  (b) □ other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) □ futures commission merchant  (h) ▼ banking or thrift institution  (i) ▼ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm			er er		
No Information Filed  5. Related Person is: (check all that apply)  (a)	4.				
5. Related Person is: (check all that apply)  (a)		(b)			
(a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer  (b) □ other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) □ futures commission merchant  (h) ☑ banking or thrift institution  (i) ☑ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm			No Information Filed		
(b) ☐ other investment adviser (including financial planners)  (c) ☐ registered municipal advisor  (d) ☐ registered security-based swap dealer  (e) ☐ major security-based swap participant  (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) ☐ futures commission merchant  (h) ☑ banking or thrift institution  (i) ☑ trust company  (j) ☐ accountant or accounting firm  (k) ☐ lawyer or law firm	5.	Rela	ted Person is: (check all that apply)		
(c) ☐ registered municipal advisor (d) ☐ registered security-based swap dealer (e) ☐ major security-based swap participant (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) ☐ futures commission merchant (h) ☑ banking or thrift institution (i) ☑ trust company (j) ☐ accountant or accounting firm (k) ☐ lawyer or law firm		` '			
<ul> <li>(e) ☐ major security-based swap participant</li> <li>(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li> <li>(g) ☐ futures commission merchant</li> <li>(h) ☑ banking or thrift institution</li> <li>(i) ☑ trust company</li> <li>(j) ☐ accountant or accounting firm</li> <li>(k) ☐ lawyer or law firm</li> </ul>		` ,			
<ul> <li>(f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li> <li>(g) □ futures commission merchant</li> <li>(h) ☑ banking or thrift institution</li> <li>(i) ☑ trust company</li> <li>(j) □ accountant or accounting firm</li> <li>(k) □ lawyer or law firm</li> </ul>		` '			
<ul> <li>(g) ☐ futures commission merchant</li> <li>(h) ☑ banking or thrift institution</li> <li>(i) ☑ trust company</li> <li>(j) ☐ accountant or accounting firm</li> <li>(k) ☐ lawyer or law firm</li> </ul>					
<ul> <li>(i) ✓ trust company</li> <li>(j) ☐ accountant or accounting firm</li> <li>(k) ☐ lawyer or law firm</li> </ul>		(g)	futures commission merchant		
(j) accountant or accounting firm  (k) lawyer or law firm					
		(j)			
			<ul><li>□ lawyer or law firm</li><li>□ insurance company or agency</li></ul>		

	(m) pension consultant		
	(n) real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) $\square$ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	s No
6.	Do you control or are you controlled by the related person?	•	0
7.	Are you and the related person under common control?	0	•
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the	0	0
	presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are n		_
	required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of y	your <i>clients'</i> as:	sets:
	Number and Street 1: Number and Street 2:		
	City: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: $\square$		
		Ye	s No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related perso	_	_
	No Information Filed	II is registered.	•
11	Do you and the related person share any supervised persons?	_	_
' ' '	bo you and the related person share any supervised persons:	•	0
10	Do you and the related margar share the same whysical leastion?	_	_
12.	Do you and the <i>related person</i> share the same physical location?	•	0
1	Local Names of Polated Paragra		
1.	Legal Name of <i>Related Person</i> :  VANGUARD PERSONALIZED INDEXING MANAGMENT, LLC		
	VANOUARD I ERSONALIZED INDEXTING MANAGMENT, LEG		
2	Primary Business Name of <i>Related Person</i> :		
2.	VANGUARD PERSONALIZED INDEXING MANAGMENT, LLC		
	WANGOARD LEAGONALIZED INDEXTING INMINIONERY, LEG		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
0.	801 - 114487		
	or		
	Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	285366		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	Related Person is: (check all that apply)		
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) ✓ other investment adviser (including financial planners)		
	(c) registered municipal advisor		
	(d) registered security-based swap dealer		
	(e) major security-based swap participant		
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)  futures commission merchant		
	(k) lawyer or law firm		
	(I) insurance company or agency		
	(m) pension consultant		
	(n) real estate broker or dealer  (a) spensor or syndicator of limited partnerships (or equivalent), evaluding peoled investment vehicles		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) $\square$ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		c N
4	Do you control or are you controlled by the related person?		s No
6.	Do you control or are you controlled by the related person?	•	0

7.	Are you and the related person under common control?	0	$\odot$
8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your of Number and Street 1:  Number and Street 2:	·lients' ass	ets:
	City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box: $\square$		
0	(a) If the related person is an investment advisor, is it exempt from registration?		No -
9.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0	•
10			
10.	<ul><li>(a) Is the related person registered with a foreign financial regulatory authority?</li><li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is reach the No Information Filed</li></ul>	<b>C</b> egistered.	•
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	0	•
Iter	n 7 <i>Private Fund</i> Reporting		
		Yes	s No
В. А	Are you an adviser to any <i>private fund</i> ?	•	0
(	In either case, if you seek to preserve the anonymity of a private fund client by maintaining its identity in your books and records in numerical or all code, or similar designation, pursuant to rule 204-2(d), you may identify the private fund in Section 7.B.(1) or 7.B.(2) of Schedule D using the same designation in place of the fund's name.  TION 7.B.(1) Private Fund Reporting		
	Funds per Page: 15 Total Funds: 2		
A.	PRIVATE FUND		
<u>Ir</u>	formation About the Private Fund		
1	. (a) Name of the <i>private fund</i> :  ASF PRIVATE FUND		
	(b) Private fund identification number:		
	(include the "805-" prefix also)		
	805-9892811178		
2	. Under the laws of what state or country is the <i>private fund</i> organized:  State:  Country:		
	Cayman Islands		
2	(a) Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar capacity):		
	Name of General Partner, Manager, Trustee, or Director		
	VGMF I (CAYMAN) LIMITED		
	(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.		
H	No Information Filed		1 1

4.	The <i>private fund</i> (check all that apply; you must check at least one):  ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940		
5.	List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.		
٥.	Name of Country/English Name of Foreign Financial Regulatory Authority		
	Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS		
		Yes	NI.
6.	(a) Is this a "master fund" in a master-feeder arrangement?		
0.	(b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?	0	٠
	No Information Filed		
		Yes	N
	(c) Is this a "feeder fund" in a master-feeder arrangement?	0	0
	(d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests?  Name of <i>private fund</i> :		
	Private fund identification number: (include the "805-" prefix also)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section for the master-feeder arrangement or reporting on the funds separately.	7.B.(	1)
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for the feeder funds answer the following questions:	· each	ס ר
	No Information Filed		
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.		d
8.	(a) Is this <i>private fund</i> a "fund of funds"?		
0.	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.	0	٠
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	C
		Yes	No
9.	During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	0	•
10.	What type of fund is the <i>private fund</i> ?		
	• hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private	te fun	ıd:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gross asset value of the <i>private fund</i> : \$ 13,479,535		
<u>Ow</u>	<u>vnership</u>		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :  \$ 1		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund).		

13. Approximate number of the *private fund's* beneficial owners:

14.	Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :		
15.	(a) 0%	What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
			Yes	No
		If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	0	0
16.	Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
You	ır Ad	dvisory Services		
17	(0)	Are you a subadyiser to this private fund	Yes	No
1 / .		Are you a subadviser to this <i>private fund</i> ?	0	⊙
		If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.	TO	
		No Information Filed		
			Yes	No
18.		Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	$\circ$	$\odot$
		If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the to question 18.(a) is "no," leave this question blank.	answ	er
		No Information Filed		
			Yes	No
19.	Are	your <i>clients</i> solicited to invest in the <i>private fund</i> ?	$\circ$	$\odot$
	NO7	TE: For purposes of this question, do not consider feeder funds of the private fund.		
	1%			
Pri	<u>/ate</u>	<u>Offering</u>	Yes	No
21.	Has	the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	0	•
22.	If ye	es, provide the <i>private fund's</i> Form D file number (if any):		
		No Information Filed		
3. SI	ERVI(	CE PROVIDERS		
Aud	ditors			
00			Yes	No
23.	(a)	(1) Are the <i>private fund's</i> financial statements subject to an annual audit?	0	•
		(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	0	⊙
		If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing you must complete questions (b) through (f) separately for each auditing firm.	g firm	1,
		No Information Filed		
		Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i>	Yes	No
		investors?	de!	-0
	(h)	Do all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified op	inions	5/
		O Yes O No O Report Not Yet Received		
		If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is	availa	ible.

1

Prime Broker

24. (a) Does the <i>private fund</i> use one or more prime brokers?	0 0
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	private
No Information Filed	
No filloffilation Flied	
Custodian	
	Yes No
25. (a) Does the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets?  If the answer to question 25. (a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	<b>⊙</b> C ivate
Additional Custodian Information: 1 Record(s) Filed.	
Additional odstodian micrimation. T Record(s) Thea.	
If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	rivate
(b) Legal name of custodian: STATE STREET BANK AND TRUST	
(c) Primary business name of custodian: STATE STREET BANK AND TRUST	
(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):	
City: State: Country:  BOSTON Massachusetts United States	
	es No
(e) Is the custodian a related person of your firm?	•
(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):	
CRD Number (if any):	
(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entitidentifier</i> (if any)	/
<u>Administrator</u>	Yes No
26. (a) Does the <i>private fund</i> use an administrator other than your firm?	0 0
If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administra must complete questions (b) through (f) separately for each administrator.	or, you
No Information Filed	
27. During your last fiscal year, what percentage of the <i>private fund's</i> assets (by value) was valued by a <i>person</i> , such as an administrator, that	c not
your related person?  0%	3 1101
Include only those assets where (i) such <i>person</i> carried out the valuation procedure established for that asset, if any, including obtaining ar relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (includations) was the valuation determined by such <i>person</i> .	9
Marketers	

28. (a) Does the *private fund* use the services of someone other than you or your *employees* for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or

Yes No

Yes No

 $\circ$ 

	No Information Filed		
A. PI	PRIVATE FUND		
Info	ormation About the <i>Private Fund</i>		
1.	(a) Name of the <i>private fund</i> :		
	CSF PRIVATE FUND		
	(b) <i>Private fund</i> identification number: (include the "805-" prefix also)		
	805-1178567505		
0			
2.	Under the laws of what state or country is the <i>private fund</i> organized:  State: Country:		
	Cayman Islands		
3.	(a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):		
	Name of General Partner, Manager, Trustee, or Director		
	VGMF I (CAYMAN) LIMITED		
	(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.		
	N. I. C II. Ell. I		
	No Information Filed		
4.	The private fund (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194		
	The <i>private fund</i> (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194		
<b>4</b> . <b>5</b> .	The <i>private fund</i> (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.		
	The <i>private fund</i> (check all that apply; you must check at least one):  ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>		
	The <i>private fund</i> (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.	.0	s No
	The <i>private fund</i> (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i> Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS	Ye	s No
5.	The <i>private fund</i> (check all that apply; you must check at least one):  ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	.0	s No
5.	The <i>private fund</i> (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?	Ye	
5.	The <i>private fund</i> (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i> Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?	Ye	
5.	The <i>private fund</i> (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?  No Information Filed	Ye:	
5.	The private fund (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?  No Information Filed  (c) Is this a "feeder fund" in a master-feeder arrangement?	Ye:	•
5.	The <i>private fund</i> (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?  No Information Filed	Ye:	© s No
5.	The private fund (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?  No Information Filed  (c) Is this a "feeder fund" in a master-feeder arrangement?  (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?	Ye:	© s No
5.	The private fund (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?  No Information Filed  (c) Is this a "feeder fund" in a master-feeder arrangement?  (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests? Name of private fund:  Private fund identification number:	Ye: O	o s No o
5.	The private fund (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194  List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?  No Information Filed  (c) Is this a "feeder fund" in a master-feeder arrangement?  (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?  Name of private fund:  Private fund identification number:  (include the "805-" prefix also)	Ye: O	<b>⊙</b> s No <b>⊙</b>

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their

	assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	issue	ed
		Yes	No
8.	(a) Is this private fund a "fund of funds"?	0	•
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.		
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	0
		Yes	No
9.	During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	0	•
10.	What type of fund is the <i>private fund</i> ?		
	• hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private	te fur	าd:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gross asset value of the <i>private fund</i> : \$ 13,479,535		
<u>Ow</u>	nership_		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :  \$ 1		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund).		
13.	Approximate number of the <i>private fund's</i> beneficial owners:  1		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 100%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 0%		
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	Yes	No
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :  0%		
You	ur Advisory Services		
17.		Yes	(O)
	(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.		
	No Information Filed		
		Yes	No
18.	(a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	0	•
	(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the ato question 18.(a) is "no," leave this question blank.	answ	er
	No Information Filed		
		Yes	No
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	$\circ$	$\odot$
	NOTE: For purposes of this question, do not consider feeder funds of the private fund.		
20.	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?  1%		

Priv	vate Offering	Yes	Nο
21.	Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	0	•
22.	If yes, provide the <i>private fund's</i> Form D file number (if any):		
	No Information Filed		
B. SI	ERVICE PROVIDERS		
Auc	<u>litors</u>		
0.0		Yes	No
23.	<ul><li>(a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?</li><li>(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?</li></ul>	0	•
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing you must complete questions (b) through (f) separately for each auditing firm.	<b>C</b> g firm	
	No Information Filed		
		Yes	No
	(g) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> investors?		0
	(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified op-	oinions	?
	C Yes C No C Report Not Yet Received		
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is	availa	ble.
<u>Prir</u>	me Broker		
24	(a) Does the <i>private fund</i> use one or more prime brokers?	Yes	_
	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	<b>C</b> e priva	<b>⊙</b> te
	No Information Filed		
Cura	And lines		
cus	<u>todian</u>	Yes	No
25.	(a) Does the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets?	$\odot$	O
	If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	ivate	
	Additional Custodian Information : 1 Record(s) Filed.		
	If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If the <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	private	1
	(b) Legal name of custodian: STATE STREET BANK & TRUST COMPANY		
	(c) Primary business name of custodian: STATE STREET BANK & TRUST COMPANY		
	(d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country):		
	City: State: Country: BOSTON Massachusetts United States		
		Yes N	o
	(e) Is the custodian a <i>related person</i> of your firm?	0 0	5
	(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):		

	CRD Number (if any):	
	(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entitientifier</i> (if any)	у
Adm	<u>nistrator</u>	Waa Nia
26 (	a) Does the <i>private fund</i> use an administrator other than your firm?	Yes No
20. (	If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administra	C ©
	must complete questions (b) through (f) separately for each administrator.	tor, you
	No Information Filed	
27 1		
7	Ouring your last fiscal year, what percentage of the <i>private fund's</i> assets (by value) was valued by a <i>person</i> , such as an administrator, that your <i>related person</i> ?  19%	s not
r	nclude only those assets where (i) such <i>person</i> carried out the valuation procedure established for that asset, if any, including obtaining ar elevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including line) was the valuation determined by such <i>person</i> .	•
Mark	<u>eters</u>	
		Yes No
28. (	a) Does the <i>private fund</i> use the services of someone other than you or your <i>employees</i> for marketing purposes?	0 0
	You must answer "yes" whether the <i>person</i> acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicito similar <i>person</i> . If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the <i>private</i> uses. If the <i>private fund</i> uses more than one marketer you must complete questions (b) through (g) separately for each marketer.	
	No Information Filed	
	Funds per Page: 15 Total Funds: 2	
ECTIO	N 7.B.(2) <i>Private Fund</i> Reporting	
	No Information Filed	
em 8	Participation or Interest in <i>Client</i> Transactions	
	tem, we request information about your participation and interest in your <i>clients</i> ' transactions. This information identifies additional areas i	n which
	s of interest may occur between you and your <i>clients</i> . Newly-formed advisers should base responses to these questions on the types of pa	
nd inte	erest that you expect to engage in during the next year.	
ke Ite	m 7, Item 8 requires you to provide information about you and your related persons, including foreign affiliates.	
roprie	tary Interest in <i>Client</i> Transactions	
. Do	you or any related person:	Yes No
(1)	buy securities for yourself from advisory clients, or sell securities you own to advisory clients (principal transactions)?	0 0
(2)	buy or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory clients?	0 0
(3)	recommend securities (or other investment products) to advisory <i>clients</i> in which you or any <i>related person</i> has some other proprietary (ownership) interest (other than those mentioned in Items 8.A.(1) or (2))?	0 0
ales I	nterest in <i>Client</i> Transactions	
. Do	you or any related person:	Yes No
(1)	as a broker-dealer or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory client securities are sold to or bought from the brokerage customer (agency cross transactions)?	0 0
(2)	recommend to advisory <i>clients</i> , or act as a purchaser representative for advisory <i>clients</i> with respect to, the purchase of securities for which you or any <i>related person</i> serves as underwriter or general or managing partner?	⊙ ○

	(3)	the receipt of sales commissions as a broker or registered representative of a broker-dealer)?	•	0
In	vestn	nent or Brokerage Discretion		
C.	Do	you or any related person have discretionary authority to determine the:	Yes	No
	(1)	securities to be bought or sold for a <i>client's</i> account?	$\odot$	0
	(2)	amount of securities to be bought or sold for a client's account?	$\odot$	0
	(3)	broker or dealer to be used for a purchase or sale of securities for a client's account?	$\odot$	0
	(4)	commission rates to be paid to a broker or dealer for a <i>client's</i> securities transactions?	•	0
D.	If y	ou answer "yes" to C.(3) above, are any of the brokers or dealers related persons?	0	•
E.	Do	you or any <i>related person</i> recommend brokers or dealers to <i>clients</i> ?	•	0
F.	If y	ou answer "yes" to E. above, are any of the brokers or dealers related persons?	•	0
G.	(1)	Do you or any <i>related person</i> receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with <i>client</i> securities transactions?	•	0
	(2)	If "yes" to G.(1) above, are all the "soft dollar benefits" you or any <i>related persons</i> receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act of 1934?	•	0
Н.	(1)		0	•
	(2)	Do you or any <i>related person</i> , directly or indirectly, provide any <i>employee</i> compensation that is specifically related to obtaining <i>clients</i> for the firm (cash or non-cash compensation in addition to the <i>employee's</i> regular salary)?		Ö
I.		you or any related person, including any employee, directly or indirectly, receive compensation from any person (other than you or any related son) for client referrals?	0	•
	In y	your response to Item 8.I., do not include the regular salary you pay to an employee.		
	fror	responding to Items 8.H. and 8.I., consider all cash and non-cash compensation that you or a related person gave to (in answering Item 8.H.) or re on (in answering Item 8.I.) any person in exchange for client referrals, including any bonus that is based, at least in part, on the number or amount perrals.		
		Custody		
		tem, we ask you whether you or a <i>related person</i> has <i>custody</i> of <i>client</i> (other than <i>clients</i> that are investment companies registered under the ent Company Act of 1940) assets and about your custodial practices.	ž	
A.	(1)	Do you have <i>custody</i> of any advisory <i>clients'</i> :	Yes	No
		(a) cash or bank accounts?	0	$\odot$
		(b) securities?	0	•
	dire	rou are registering or registered with the SEC, answer "No" to Item 9.A.(1)(a) and (b) if you have custody solely because (i) you deduct your advison ectly from your clients' accounts, or (ii) a related person has custody of client assets in connection with advisory services you provide to clients, but we overcome the presumption that you are not operationally independent (pursuant to Advisers Act rule 206(4)-2(d)(5)) from the related person.	-	'S
	(2)	If you checked "yes" to Item 9.A.(1)(a) or (b), what is the approximate amount of <i>client</i> funds and securities and total number of <i>clients</i> for you have <i>custody</i> :	which	า
		U.S. Dollar Amount Total Number of <i>Clients</i>		
		(a) \$ (b)		
	incl con	rou are registering or registered with the SEC and you have custody solely because you deduct your advisory fees directly from your clients' account lude the amount of those assets and the number of those clients in your response to Item 9.A.(2). If your related person has custody of client asse Inection with advisory services you provide to clients, do not include the amount of those assets and number of those clients in your response to 9. Itead, include that information in your response to Item 9.B.(2).	ets in	
В.	(1)	In connection with advisory services you provide to clients, do any of your related persons have custody of any of your advisory clients':	Yes	No
		(a) cash or bank accounts?	$\circ$	$\odot$
		(b) securities?	0	•
	You	are required to answer this item regardless of how you answered Item 9.A.(1)(a) or (b).		
	(2)	If you checked "yes" to Item 9.B.(1)(a) or (b), what is the approximate amount of <i>client</i> funds and securities and total number of <i>clients</i> for your <i>related persons</i> have <i>custody</i> :	whicł	า

	0.3. Dollar Amount	Total Number of Chefts	
	(a) \$	(b)	
C.	If you or your <i>related persons</i> have <i>cust</i> that apply:	ody of client funds or securities in connection with advisory services you provide to	o clients, check all the following
		ount statements at least quarterly to the investors in the pooled investment vehic	ele(s) you manage.
	(2) An <i>independent public accountant</i> a are distributed to the investors in	udits annually the pooled investment vehicle(s) that you manage and the audited the pools.	financial statements
	(3) An independent public accountant of	onducts an annual surprise examination of client funds and securities.	
	(4) An <i>independent public accountant</i> p are qualified custodians for <i>client</i> f	repares an internal control report with respect to custodial services when you or younger and securities.	your related persons
	an internal control report. (If you checke	1), list in Section 9.C. of Schedule D the accountants that are engaged to perform the d Item 9.C.(2), you do not have to list auditor information in Section 9.C. of Schedule ands you advise in Section 7.B.(1) of Schedule D).	
D.	Do you or your <i>related person(s)</i> act as (1) you act as a qualified custodian	qualified custodians for your clients in connection with advisory services you provi	de to <i>clients</i> ? Yes No
	(2) your related person(s) act as qualif	ed custodian(s)	0 0
		related persons that act as qualified custodians (other than any mutual fund transfer tion 7.A. of Schedule D, regardless of whether you have determined the related perso	
E.	If you are filing your annual updating an fiscal year, provide the date (MM/YYYY)	nendment and you were subject to a surprise examination by an independent publithe examination commenced:	c accountant during your last
F.	,	ody of client funds or securities, how many persons, including, but not limited to, y n connection with advisory services you provide to clients?	ou and your <i>related persons,</i> act
SEC	TION 9.C. Independent Public Accoun	tant	
		No Information Filed	
	n 10 Control Persons		and the defendent in the second
	nis item, we ask you to identify every <i>pe</i> uld be provided for the <i>filing adviser</i> only	erson that, directly or indirectly, controls you. If you are filing an umbrella registration.	n, the information in Item 10
and	executive officers. Schedule B asks for	report, you must complete Schedule A and Schedule B. Schedule A asks for information about your indirect owners. If this is an amendment and you are updated that you filed with your initial application or report, you must complete Schedule	iting information you reported C.
^	December 1		Yes No
Α.	Does any <i>person</i> not named in Item 1.	or Schedules A, B, or C, directly or indirectly, <i>control</i> your management or policies	s?
	If yes, complete Section 10.A. of Schedul	e D.	
В.	If any <i>person</i> named in Schedules A, B, Exchange Act of 1934, please complete	or C or in Section 10.A. of Schedule D is a public reporting company under Section Section 10.B. of Schedule D.	s 12 or 15(d) of the Securities
SEC	TION 10.A. Control Persons		
		N. J. C	
		No Information Filed	
SEC	TION 10.B. <i>Control Person</i> Public Rep	orting Companies	
		No Information Filed	
ten	n 11 Disclosure Information		

In this Item, we ask for information about your disciplinary history and the disciplinary history of all your advisory affiliates. We use this information to

determine whether to grant your application for registration, to decide whether to revoke your registration or to place limitations on your activities as an investment adviser, and to identify potential problem areas to focus on during our on-site examinations. One event may result in "yes" answers to more than one of the questions below. In accordance with General Instruction 5 to Form ADV, "you" and "your" include the filing adviser and all relying advisers under an umbrella registration. Your advisory affiliates are: (1) all of your current employees (other than employees performing only clerical, administrative, support or similar functions); (2) all of your officers, partners, or directors (or any person performing similar functions); and (3) all persons directly or indirectly controlling you or controlled by you. If you are a "separately identifiable department or division" (SID) of a bank, see the Glossary of Terms to determine who your advisory affiliates are. If you are registered or registering with the SEC or if you are an exempt reporting adviser, you may limit your disclosure of any event listed in Item 11 to ten years following the date of the event. If you are registered or registering with a state, you must respond to the questions as posed; you may, therefore, limit your disclosure to ten years following the date of an event only in responding to Items 11.A.(1), 11.A.(2), 11.B.(1), 11.B.(2), 11.D.(4), and 11.H.(1)(a). For purposes of calculating this ten-year period, the date of an event is the date the final order, judgment, or decree was entered, or the date any rights of appeal from preliminary orders, judgments, or decrees lapsed. You must complete the appropriate Disclosure Reporting Page ("DRP") for "yes" answers to the questions in this Item 11. Yes No Do any of the events below involve you or any of your supervised persons?  $\odot$  $\circ$ For "yes" answers to the following questions, complete a Criminal Action DRP: A. In the past ten years, have you or any advisory affiliate: Yes No (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?  $\circ$ (2) been charged with any felony?

If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.A.(2) to charges that are currently pending. In the past ten years, have you or any advisory affiliate: (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a misdemeanor involving:  $\circ$ investments or an investment-related business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? (2) been charged with a misdemeanor listed in Item 11.B.(1)? If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.B.(2) to charges that are currently pending. For "yes" answers to the following questions, complete a Regulatory Action DRP: Has the SEC or the Commodity Futures Trading Commission (CFTC) ever: Yes No (1) found you or any advisory affiliate to have made a false statement or omission?  $\circ$  $\odot$ (2) found you or any advisory affiliate to have been involved in a violation of SEC or CFTC regulations or statutes? **②** (3) found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied,  $\odot$ 0 suspended, revoked, or restricted? (4) entered an order against you or any advisory affiliate in connection with investment-related activity?  $\circ$  $\odot$ (5) imposed a civil money penalty on you or any advisory affiliate, or ordered you or any advisory affiliate to cease and desist from any activity?  $\odot$ Has any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority: (1) ever found you or any advisory affiliate to have made a false statement or omission, or been dishonest, unfair, or unethical?  $\odot$  $\circ$ (2) ever found you or any advisory affiliate to have been involved in a violation of investment-related regulations or statutes?  $\circ$ (3) ever found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business  $\circ$ **(** denied, suspended, revoked, or restricted? (4) in the past ten years, entered an order against you or any advisory affiliate in connection with an investment-related activity? ② 0 (5) ever denied, suspended, or revoked your or any advisory affiliate's registration or license, or otherwise prevented you or any advisory  $\odot$ affiliate, by order, from associating with an investment-related business or restricted your or any advisory affiliate's activity? Has any self-regulatory organization or commodities exchange ever: (1) found you or any advisory affiliate to have made a false statement or omission? **©** (2) found you or any advisory affiliate to have been involved in a violation of its rules (other than a violation designated as a "minor rule 0 violation" under a plan approved by the SEC)? (3) found you or any advisory affiliate to have been the cause of an investment-related business having its authorization to do business denied,  $\odot$ suspended, revoked, or restricted? (4) disciplined you or any advisory affiliate by expelling or suspending you or the advisory affiliate from membership, barring or suspending you or the advisory affiliate from association with other members, or otherwise restricting your or the advisory affiliate's activities? Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any advisory affiliate ever been revoked or

suspended?

For "yes" answe	ers to the following questions, complete a Civil Judicial Action DRP:		
H. (1) Has ar	y domestic or foreign court:	Yes	No
(a) in	the past ten years, enjoined you or any advisory affiliate in connection with any investment-related activity?	0	•
(b) ev	er found that you or any advisory affiliate were involved in a violation of investment-related statutes or regulations?	0	•
, ,	er dismissed, pursuant to a settlement agreement, an <i>investment-related</i> civil action brought against you or any <i>advisory affiliate</i> by state or <i>foreign financial regulatory authority</i> ?	0	•
(2) Are yo	u or any advisory affiliate now the subject of any civil proceeding that could result in a "yes" answer to any part of Item 11.H.(1)?	0	•

Are you or any advisory affiliate now the subject of any regulatory proceeding that could result in a "yes" answer to any part of Item 11.C.,

### Item 12 Small Businesses

The SEC is required by the Regulatory Flexibility Act to consider the effect of its regulations on small entities. In order to do this, we need to determine whether you meet the definition of "small business" or "small organization" under rule 0-7.

Answer this Item 12 only if you are registered or registering with the SEC **and** you indicated in response to Item 5.F.(2)(c) that you have regulatory assets under management of less than \$25 million. You are not required to answer this Item 12 if you are filing for initial registration as a state adviser, amending a current state registration, or switching from SEC to state registration.

For purposes of this Item 12 only:

- Total Assets refers to the total assets of a firm, rather than the assets managed on behalf of *clients*. In determining your or another *person's* total assets, you may use the total assets shown on a current balance sheet (but use total assets reported on a consolidated balance sheet with subsidiaries included, if that amount is larger).
- Control means the power to direct or cause the direction of the management or policies of a person, whether through ownership of securities, by contract, or otherwise. Any person that directly or indirectly has the right to vote 25 percent or more of the voting securities, or is entitled to 25 percent or more of the profits, of another person is presumed to control the other person.

Yes No

Α.	Did you have total assets of \$5 million or more on the last day of your most recent fiscal year?	0	0
If "	'yes," you do not need to answer Items 12.B. and 12.C.		
B.	Do you:		
	(1) control another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?	0	0
	(2) control another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	0	0
C.	Are you:		
	(1) controlled by or under common control with another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?	0	0
	(2) controlled by or under common control with another person (other than a natural person) that had total assets of \$5 million or more on the	0	0

# Schedule A

# **Direct Owners and Executive Officers**

- 1. Complete Schedule A only if you are submitting an initial application or report. Schedule A asks for information about your direct owners and executive officers. Use Schedule C to amend this information.
- 2. Direct Owners and Executive Officers. List below the names of:

last day of its most recent fiscal year?

- (a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer (Chief Compliance Officer is required if you are registered or applying for registration and cannot be more than one individual), director, and any other individuals with similar status or functions;
- (b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your voting securities, unless you are a public reporting company (a company subject to Section 12 or 15(d) of the Exchange Act);

  Direct owners include any *person* that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of your voting securities. For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.
- (c) if you are organized as a partnership, <u>all</u> general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of your capital;
- (d) in the case of a trust that directly owns 5% or more of a class of your voting securities, or that has the right to receive upon dissolution, or has contributed, 5% or more of your capital, the trust and each trustee; and
- (e) if you are organized as a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 5% or more of your capital, and (ii) if managed by elected managers, all elected managers.
- 3. Do you have any indirect owners to be reported on Schedule B? OYes No

- 4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner or executive officer is an individual.
- 5. Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
- B 10% but less than 25% D 50% but less than 75% 6. Ownership codes are: NA - less than 5%
- 7. (a) In the Control Person column, enter "Yes" if the person has control as defined in the Glossary of Terms to Form ADV, and enter "No" if the person does not have control. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are control persons.
  - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.

(c) Complete each column.			1				
FULL LEGAL NAME (Individuals:	DE/FE/I	Title or Status	Date Title or				CRD No. If None: S.S. No. and
Last Name, First Name, Middle			Status Acquired	Code	Person		Date of Birth, IRS Tax No. or
Name)			MM/YYYY			_	Employer ID No.
VANGUARD ADMIRAL FUNDS	DE	STOCKHOLDER	12/1992	NA	N	N	
VANGUARD OHIO TAX-FREE FUNDS	DE	STOCKHOLDER	06/1990	NA	N	N	
VANGUARD VALLEY FORGE FUNDS	DE	STOCKHOLDER	11/1992	NA	N	N	
VANGUARD TAX-MANAGED FUNDS	DE	STOCKHOLDER	09/1994	NA	N	N	
VANGUARD WHITEHALL FUNDS	DE	STOCKHOLDER	02/1996	NA	N	N	
VANGUARD HORIZON FUNDS	DE	STOCKHOLDER	06/1995	NA	N	N	
VANGUARD SCOTTSDALE FUNDS	DE	STOCKHOLDER	11/2009	NA	N	N	
VANGUARD NEW JERSEY TAX-FREE FUNDS	DE	STOCKHOLDER	09/1987	NA	N	N	
VANGUARD CALIFORNIA TAX-FREE FUNDS	DE	STOCKHOLDER	10/1985	NA	N	N	
VANGUARD NEW YORK TAX-FREE FUNDS	DE	STOCKHOLDER	01/1986	NA	N	N	
VANGUARD PENNSYLVANIA TAX- FREE FUNDS	DE	STOCKHOLDER	01/1986	NA	N	N	
VANGUARD CONVERTIBLE SECURITIES FUND	DE	STOCKHOLDER	04/1986	NA	N	N	
VANGUARD QUANTITATIVE FUNDS	DE	STOCKHOLDER	08/1986	NA	N	N	
VANGUARD VARIABLE INSURANCE FUNDS	DE	STOCKHOLDER	04/1991	NA	N	N	
VANGUARD MASSACHUSETTS TAX- EXEMPT FUNDS	DE	STOCKHOLDER	07/1992	NA	N	N	
VANGUARD WELLINGTON FUND	DE	STOCKHOLDER	05/1975	NA	N	N	
VANGUARD WINDSOR FUNDS	DE	STOCKHOLDER	05/1975		N	N	
VANGUARD WORLD FUND	DE	STOCKHOLDER	05/1975	NA	N	N	
VANGUARD TRUSTEES' EQUITY FUND	DE	STOCKHOLDER	02/1980	NA	N	N	
VANGUARD EXPLORER FUND	DE	STOCKHOLDER	12/1975	NA	N	N	
VANGUARD WELLESLEY INCOME	DE	STOCKHOLDER	05/1975	NA	N	N	
FUND							
VANGUARD INDEX FUNDS	DE	STOCKHOLDER	08/1976	С	Υ	N	
VANGUARD BOND INDEX FUNDS	DE	STOCKHOLDER	12/1986	А	N	N	
VANGUARD FENWAY FUNDS	DE	STOCKHOLDER	11/1987	NA	N	N	
VANGUARD MALVERN FUNDS	DE	STOCKHOLDER	11/1988	NA	N	N	
VANGUARD INTERNATIONAL EQUITY INDEX FUNDS	DE	STOCKHOLDER	04/1990	NA	N	N	
VANGUARD FIXED INCOME SECURITIES FUNDS	DE	STOCKHOLDER	05/1975	NA	N	N	
VANGUARD MONEY MARKET RESERVES	DE	STOCKHOLDER	05/1975	A	N	N	
VANGUARD MUNICIPAL BOND FUNDS	DE	STOCKHOLDER	09/1977	NA	N	N	
VANGUARD SPECIALIZED FUNDS	DE	STOCKHOLDER	10/1983	NA	N	N	
VANGUARD CHESTER FUNDS	DE	STOCKHOLDER	08/1984	NA	N	N	
BUCKLEY, MORTIMER, JOSEPH	I	CHAIRMAN OF THE BOARD, CHIEF EXECUTIVE OFFICER, AND PRESIDENT	01/2019	NA	Y	N	2167630
PEROLD, ANDRE, FRANCOIS	1	DIRECTOR	12/2004	NA	Υ	N	4660204
VANGUARD MONTGOMERY FUNDS	DE	STOCKHOLDER	11/2007	NA	N	N	
FULLWOOD, EMERSON, U	I	DIRECTOR	01/2008	NA	Υ	N	5511592
VOLANAKIS, PETER, FREDERICK	I	DIRECTOR	12/2008	NA	Υ	N	5648569
LOUGHREY, FRANCIS, JOSEPH	I	DIRECTOR	10/2009	NA	Υ	N	5755253
VANGUARD STAR FUNDS	DE	STOCKHOLDER	03/2009	А	N	N	
VANGUARD CHARLOTTE FUNDS	DE	STOCKHOLDER	10/2011	NA	N	N	
MCISAAC, CHRISTOPHER, DAVIS	I	MANAGING DIRECTOR	03/2012	NA	Υ	N	2928259
1	1	1	i			_	†

MALPASS, SCOTT, CHARLES	I	DIRECTOR	03/2012	NA	Υ	N	2532347
LOUGHRIDGE, MARK	I	DIRECTOR	03/2012	NA	Υ	N	6048361
RAMPULLA, THOMAS, MARK	I	MANAGING DIRECTOR	07/2015	NA	Υ	N	1816948
RISI, KARIN, ANN	I	MANAGING DIRECTOR	07/2015	NA	Υ	N	3209445
ROLLINGS, MICHAEL, THOMAS	I	MANAGING DIRECTOR AND CHIEF FINANCIAL OFFICER	06/2016	NA	Y	N	1592402
ROBINSON, ANNE, ELIZABETH	I	GENERAL COUNSEL, MANAGING DIRECTOR, AND SECRETARY	09/2016	NA	Y	N	6706699
JAMES, JOHN, MARK	I	MANAGING DIRECTOR	12/2016	NA	Υ	N	5594356
MULLIGAN, DEANNA, MARIE	I	DIRECTOR	07/2017	NA	Υ	N	4562715
RASKIN, SARAH, BLOOM	I	DIRECTOR	07/2017	NA	Υ	N	6844984
DAVIS, GREGORY	I	MANAGING DIRECTOR AND CHIEF INVESTMENT OFFICER	07/2017	NA	Υ	N	2416369
VANGUARD INSTITUTIONAL INDEX FUNDS	DE	STOCKHOLDER	02/2018	А	N	N	
SCHADL, JOHN	I	CHIEF COMPLIANCE OFFICER	03/2019	NA	Υ	N	6931790
BRENNAN, JOSEPH, PATRICK	I	MANAGING DIRECTOR AND CHIEF RISK OFFICER	09/2018	NA	Y	N	2193881
VALENTE, LAUREN, MARIE	I	MANAGING DIRECTOR	09/2020	NA	Υ	N	6119944
BENCHENER, MATTHEW, JOHN	I	MANAGING DIRECTOR	12/2020	NA	Υ	N	5569805
Thomas, David, Anthony	I	DIRECTOR	07/2021	NA	Υ	N	7423571
BUNCH, TARA, LYNN	I	DIRECTOR	11/2021	NA	Υ	N	7470785
Tandon, Nitin	I	MANAGING DIRECTOR AND CHIEF INFORMATION OFFICER	11/2021	NA	Y	N	7482798

## Schedule B

#### **Indirect Owners**

- 1. Complete Schedule B only if you are submitting an initial application or report. Schedule B asks for information about your indirect owners; you must first complete Schedule A, which asks for information about your direct owners. Use Schedule C to amend this information.
- 2. Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:
  - (a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;

For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.

- (b) in the case of an owner that is a partnership, <u>all</u> general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 25% or more of the partnership's capital;
- (c) in the case of an owner that is a trust, the trust and each trustee; and
- (d) in the case of an owner that is a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.
- 3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Exchange Act) is reached, no further ownership information need be given.
- 4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner is an individual.
- 5. Complete the Status column by entering the owner's status as partner, trustee, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
- 6. Ownership codes are: C 25% but less than 50% E 75% or more
  - D 50% but less than 75% F Other (general partner, trustee, or elected manager)
- 7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.
  - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.
  - (c) Complete each column.

No Information Filed

# Schedule D - Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

Section 7. We have affiliates that are not listed having met one or more of the exceptions of the SEC's guidance regarding related persons. A list of affiliates can be provided upon request. Please note that two individuals in Schedule A, Amy Gutmann and Mark Loughridge, do not have middle names.

RP P	ages				
CRIM	INAL DISCL	OSURE REPORTING PAGE (ADV)	)		
No Inf	ormation File	ed			
REGU	LATORY ACT	TION DISCLOSURE REPORTING	PAGE (ADV)		
This [	Disclosura Pa	norting Page (DRP ADV) is an 🚗 l	GENERAL INSTRUC		irmative responses to Items 11 C 11 D
		G. of Form ADV.	OR • AWENDED TESPON	se used to report details for all	irmative responses to Items 11.C., 11.D.,
		o. o. r o, to v.			
Check	citem(s) bei	ng responded to:	Regulatory Act	tion	
	.C(1)	□ 11.C(2)	□ 11.C(3)	■ 11.C(4)	☐ 11.C(5)
	.D(1)	□ 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)
<b>1</b> 1	.E(1)	<b>☑</b> 11.E(2)	□ 11.E(3)	□ 11.E(4)	
<b>1</b> 1	.F.	□ 11.G.			
	•	RP for each event or <i>proceeding</i> . T Execution Page.	The same event or <i>proceeding</i> ma	y be reported for more than or	ne <i>person</i> or entity using one DRP. File
	•	sult in more than one affirmative event gives rise to actions by mo		•	e DRP to report details related to the track to the property arate DRP.
PART	I				
Α.	The <i>person(s</i>	) or entity(ies) for whom this DRP	is being filed is (are):		
	C You (the a	advisory firm)			
	C You and o	one or more of your advisory affilia	ntas		
		ore of your advisory affiliates	nes		
	<b>(</b> ) 31.3 31 11.	advisory affiliates			
		being filed for an <i>advisory affiliate</i> ry <i>affiliate</i> has a <i>CRD</i> number, prov	•		, Last name, First name, Middle name). he appropriate box.
	ADV DRP - A	DVISORY AFFILIATE			
	CRD	7452	This <i>advisory affiliate</i> is <b>©</b> a Firm	O an Individual	
	Number:				
	Registered:	⊙ Yes O No			
	Name:	VANGUARD MARKETING			
		CORPORATION			
		(For individuals, Last, First, Middle)			
		wildule)			
	This DRP registered		record because: (1) the event or	proceeding occurred more than	vith the adviser. In ten years ago or (2) the adviser is EC and the event was resolved in the
	11.D(4), and		than ten years ago. If you are re	-	reported only in response to Item e SEC, you may remove a DRP for any
	This DRP circumsta	should be removed from the ADV nces:	record because it was filed in err	ror, such as due to a clerical or	data-entry mistake. Explain the
		ry affiliate is registered through the CRD for the event? If the answer i		-	d a DRP (with Form ADV, BD or U-4) to

• Yes • No

	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.				
PAR	ГІІ				
1.	Regulatory Action initiated by:  OSEC Other Federal OState SRO Foreign  (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)  FINRA				
2.	Principal Sanction: Other Other Sanctions: NA				
3.	Date Initiated (MM/DD/YYYY):				
	03/06/2016 Exact Explanation  If not exact, provide explanation:				
4.	Docket/Case Number: 2013038325801				
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):				
6.	Principal Product Type: No Product Other Product Types: NA				
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT FAILED TO ESTABLISH AND MAINTAIN AN ADEQUATE SUPERVISORY SYSTEM, INCLUDING WRITTEN PROCEDURES, TO ENSURE THAT IT DISCLOSE UNSATISFIED JUDGMENTS AND LIENS OF REGISTERED REPRESENTATIVES ON UNIFORM APPLICATIONS FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER ("FORM U4S"), IN INSTANCES WHERE THE FIRMS" PAYROLL DEPARTMENT HAD NOTICE OF SUCH LIENS AND JUDGMENTS AS A RESULT OF GARNISHMENT ORDERS IT HAD RECEIVED. THE FINDINGS STATED THAT THE FIRM DID NOT HAVE ANY SUPERVISORY PROCEDURES IN PLACE TO ENSURE THAT THE PAYROLL DEPARTMENT NOTIFIED THE COMPLIANCE DEPARTMENT OF GARNISHMENTS, AND THE FIRM DID NOT REVIEW THE GARNISHMENTS TO DETERMINE WHETHER THEY TRIGGERED A REPORTABLE EVENT FOR REGISTERED REPRESENTATIVES. AS A RESULT, THE FIRM FAILED TO DISCLOSE OR TIMELY DISCLOSE UNSATISFIED JUDGMENTS AND LIENS OF WHICH IT HAD NOTICE BY REASON OF THE GARNISHMENT ORDERS. ALSO THE FIRM BECAME AWARE OF THE DEFICIENCY IN ITS SUPERVISORY SYSTEM AND VOLUNTARILY UNDERTOOK STEPS TO AMEND ITS WRITTEN SUPERVISORY PROCEDURES AND PUT A PROCESS IN PLACE FOR ITS PAYROLL DEPARTMENT ON OTHEY ITS COMPLIANCE DEPARTMENT OF GARNISHMENT ORDERS. HOWEVER, THE FIRM FAILED TO PROPERLY IMPLEMENT THE AMENDED PROCEDURES. AS A RESULT, THE FIRM CONTINUED TO NOT DISCLOSE OR TIMELY DISCLOSE JUDGMENTS AND LIENS OF WHICH IT HAD RECEIVED NOTICE. IN TOTAL THE FIRM RECEIVED 80 GARNISHMENT ORDERS THAT TRIGGERED REPORTABLE EVENTS ON THE FORM U4. IT FAILED TO FILE AMENDMENTS TO ITS REGISTERED REPRESENTATIVES' FORM U4S FOR 60 OF THESE REPORTABLE EVENTS AND FAILED TO TIMELY FILE FORM U4 AMENDMENTS FOR 20 REPORTABLE EVENTS.				
8.	Current Status? Pending On Appeal Final				
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:				
If F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.				
10.	How was matter resolved:  Consent				
11.	Resolution Date (MM/DD/YYYY):				
	03/06/2016 🖸 Exact 🔼 Explanation				
	If not exact, provide explanation:				
12.	Resolution Detail:  A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?   ✓ Monetary/Fine Amount: \$ 350,000.00  ✓ Revocation/Expulsion/Denial  ✓ Censure  ✓ Disgorgement/Restitution  ✓ Cease and Desist/Injunction  ✓ Suspension   B. Other Sanctions <i>Ordered</i> :				

#### UNDERTAKING.

circumstances:

Sanction detail: if suspended, *enjoined* or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an *advisory affiliate*, date paid and if any portion of penalty was waived:

THE FIRM WAS CENSURED, FINED \$350,000 AND REQUIRED TO RETAIN AN INDEPENDENT CONSULTANT TO REVIEW AND SUGGEST REVISIONS TO ITS POLICIES, PROCEDURES, AND INTERNAL CONTROLS RELATING TO REPORTING DISCLOSURES ON FORM U4S FOR ITS REGISTERED REPRESENTATIVES. FINE PAID IN FULL ON MARCH 23, 2015.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OR FINDINGS, VMC (AFFILIATE) AGREED TO THE IMPOSITION OF A CENSURE, A FINE IN THE AMOUNT OF \$350,000, THE PRODUCTION OF A VMC RETAINED INDEPENDENT CONSULTANT'S REPORT, AND THE CERTIFICATION OF VMC'S IMPLEMENTATION OF THE IMPROVEMENTS OUTLINED IN THE INDEPENDENT CONSULTANT'S REPORT. VMC'S LETTER OF ACCEPTANCE, WAIVER AND CONSENT WAS ACCEPTED BY FINRA ON MARCH 6, 2015.

		GENERAL INSTR	RUCTIONS		
This Disclos	ure Reporting Page (DRP ADV) i	is an 👩 INITIAL 🗽 🕟 AMENDED resp	onse used to report details for aff	Firmative responses to Items 11.C., 11	D
11.E., 11.F.	or 11.G. of Form ADV.				
		Dogulatory	Action		
Check item(	(s) being responded to:	Regulatory <i>i</i>	ACTION		
□ 11.C(1)	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	☐ 11.C(5)	
□ 11.D(1)	<b>☑</b> 11.D(2)	□ 11.D(3)	<b>☑</b> 11.D(4)	☐ 11.D(5)	
□ 11.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)		
□ 11.F.	□ 11.G.				
•	rate DRP for each event or <i>proce</i> oleted Execution Page.	reeding . The same event or proceeding i	may be reported for more than or	ne <i>person</i> or entity using one DRP. File	
	•	irmative answer to Items 11.C., 11.D., ns by more than one regulator, provide	-	•	
PART I					
·	erson(s) or entity(ies) for whom u (the advisory firm)	this DRP is being filed is (are):			
O You	u and one or more of your advis	sory affiliatos			
<b>⊚</b> Oπ	e or more of your advisory affilia	ates			
		ry affiliate, give the full name of the adv ber, provide that number. If not, indica	•		
	DRP - <i>ADVISORY AFFILIATE</i>				
ADV L					
<i>CRD</i> Numb		This <i>advisory affiliate</i> is 🤨 a Fi	rm C an Individual		
<i>CRD</i> Numb		This <i>advisory affiliate</i> is 🤨 a Fi.	rm C an Individual		
<i>CRD</i> Numb	ber: stered: ⊙ <sub>Yes</sub> O No	NC	rm C an Individual		
CRD Numb Regis Name Thi Thi reg adv If you 11.D(4	ber: stered:  Yes  No e: VANGUARD ADVISERS IN   (For individuals, Last, Fil   Middle)  is DRP should be removed from is DRP should be removed from gistered or applying for registrativiser's or advisory affiliate's favor	the ADV record because the <i>advisory a</i> the ADV record because: (1) the event tion with the SEC or reporting as an <i>ex</i> or.  with a <i>state securities authority</i> , you mared more than ten years ago. If you are	offiliate(s) is no longer associated we have a considered which are the second reporting adviser with the Second remove a DRP for an event you	ten years ago or (2) the adviser is EC and the event was resolved in the reported only in response to Item	

If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to

	• Yes • No
	NOTE: The completion of this form does not relieve the <i>advisory affiliate</i> of its obligation to update its IARD or <i>CRD</i> records.
PAR	ГІІ
1.	Regulatory Action initiated by:  O SEC Other Federal State O SRO O Foreign
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) COMMONWEALTH OF PENNSYLVANIA, DEPARTMENT OF BANKING AND SECURITIES
2.	Principal Sanction: Other Other Sanctions:
	ADMINISTRATIVE ASSESSMENT
3.	Date Initiated (MM/DD/YYYY):
	10/10/2017 © Exact © Explanation  If not exact, provide explanation:  DATE INITIAL INQUIRY RELATED TO THIS MATTER WAS RECEIVED.
4.	Docket/Case Number: 17-0077
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Product Type: No Product
	Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  FROM FEBRUARY 2017 UNTIL DECEMBER 2017, VANGUARD ADVISERS, INC., DUE TO ADMINISTRATIVE ERROR, EMPLOYED AN INVESTMENT ADVISER REPRESENTATIVE WHO, ALTHOUGH REGISTERED AS AN INVESTMENT ADVISER REPRESENTATIVE IN ARIZONA, WAS NOT REGISTERED AS AN INVESTMENT ADVISER REPRESENTATIVE IN PENNSYLVANIA.
8.	Current Status? C Pending C On Appeal Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
lf F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved: Consent
11.	Resolution Date (MM/DD/YYYY):
	12/20/2017 © Exact C Explanation  If not exact, provide explanation:
12.	Resolution Detail:
	A. Were any of the following Sanctions Ordered (check all appropriate items)?
	Monetary/Fine Amount: \$ 23,480.00
	☐ Revocation/Expulsion/Denial ☐ Disgorgement/Restitution
	☐ Censure ☐ Cease and Desist/Injunction
	☐ Bar ☐ Suspension
	B. Other Sanctions Ordered:
	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an <i>advisory affiliate</i> , date paid and if any portion

the IARD or  $\it{CRD}$  for the event? If the answer is "Yes," no other information on this DRP must be provided.

of penalty was waived:
AN ADMINISTRATIVE ASSESSMENT OF \$23,480 WAS LEVIED AGAINST VAI. PAYMENT WAS MADE JANUARY 9, 2018.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your must fit within the space provided).							
	AN INVESTMENT ADVISER REPRESENTATIVE ("IAR") CHANGED HIS PERSONAL RESIDENCE FROM ARIZONA TO PENNSYLVANIA. AS A RESULT OF AN ADMINISTRATIVE ERROR, VANGUARD ADVISERS, INC. DID NOT IMMEDIATELY UPDATE HIS REGISTRATION TO REFLECT PENNSYLVANIA AS HIS NEW PLACE OF EMPLOYMENT. VANGUARD ADVISERS, INC. SELF IDENTIFIED THE ISSUE.						
	GENERAL INSTRUCTIONS						
	Disclosure Reporting Page (DRP ADV) is an 💍 INITIAL $_{\it OR}$ . AMENDED response used to report details for affirmative responses to Items 11.C., 11	.D.,					
Cho	Regulatory Action						
	k item(s) being responded to:  1.C(1)						
	1.D(1)						
	1.E(1)						
	1.F. □ 11.G.						
with One	a separate DRP for each event or <i>proceeding</i> . The same event or <i>proceeding</i> may be reported for more than one <i>person</i> or entity using one DRP. File a completed Execution Page.  event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.	:					
PAR <sup>1</sup>							
Α.	The person(s) or entity(ies) for whom this DRP is being filed is (are):  You (the advisory firm)						
	A You and one or more of your						
	O You and one or more of your advisory affiliates						
	One or more of your advisory affiliates						
	If this DRP is being filed for an <i>advisory affiliate</i> , give the full name of the <i>advisory affiliate</i> below (for individuals, Last name, First name, Middle name If the <i>advisory affiliate</i> has a <i>CRD</i> number, provide that number. If not, indicate "non-registered" by checking the appropriate box.	•).					
	ADV DRP - ADVISORY AFFILIATE						
	No Information Filed						
	This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser.  This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.						
	If you are registered or registering with a <i>state securities authority</i> , you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.	/					
	This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:						
B.	If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.	0					
	O yes O No						
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.						
PAR <sup>*</sup>							
1.	Regulatory Action initiated by:  O SEC Other Federal O State O SRO Foreign						
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) FINANCIAL SUPERVISORY SERVICE ("FSS"), SOUTH KOREA						
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:						

	NONE
3.	Date Initiated (MM/DD/YYYY):
	06/18/2020 © Exact © Explanation  If not exact, provide explanation:
4.	Docket/Case Number: CAPITAL MARKET INVESTIGATION DEPARTMENT, INVESTIGATION TEAM 3 - 1076
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable): N/A
6.	Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  THE SOUTH KOREAN FINANCIAL SUPERVISORY SERVICE CLAIMED THAT ON THREE OCCASIONS FROM 2018 TO 2019 THE VANGUARD GROUP, INC.  ("VGI"), ENGAGED IN THE SALE OF TWO KOREAN-LISTED SECURITIES WITHOUT CORRESPONDING OWNERSHIP OF THE POSITIONS, A PRACTICE WHICH IS PROHIBITED UNDER SOUTH KOREAN LAW.
8.	Current Status? Pending On Appeal Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
lf F	Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved:
	Decision & Order of Offer of Settlement
11.	Resolution Date (MM/DD/YYYY):
	09/24/2020 © Exact C Explanation
	If not exact, provide explanation:
12.	Resolution Detail:
	A. Were any of the following Sanctions Ordered (check all appropriate items)?
	✓ Monetary/Fine Amount: \$ 104,575.00
	☐ Revocation/Expulsion/Denial ☐ Disgorgement/Restitution
	Censure Cease and Desist/Injunction
	☐ Bar ☐ Suspension
	B. Other Sanctions <i>Ordered:</i>
	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an <i>advisory affiliate</i> , date paid and if any portion of penalty was waived:
	ON OCTOBER 12, 2020, \$83,660 (KRW 96 MILLION) WAS ACCEPTED AS PAYMENT, WHICH REFLECTS A DISCOUNT FROM THE \$104,575 (KRW 120 MILLION) ORIGINALLY SOUGHT.
13.	Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).
	ON SEPTEMBER 24, 2020, THE SOUTH KOREAN FINANCIAL SERVICES COMMISSION IMPOSED AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$104,575 (KRW 120 MILLION) ON VGI, IN CONNECTION WITH THREE INSTANCES DURING 2018 AND 2019 IN WHICH VGI SOLD TWO KOREAN-LISTED SECURITIES WITHOUT CORRESPONDING OWNERSHIP OF THE POSITION, A PRACTICE WHICH IS PROHIBITED UNDER SOUTH KOREAN LAW.
TL!-	GENERAL INSTRUCTIONS  Disclosure Reporting Page (DRP ADV) is an INITIAL OR A AMENDED response used to report details for affirmative responses to Items 11.C., 11.D
11115	י שואביישים אפסינוווע במקב לשתר אשע) וא מוד 🔼 וועדדואב 🔼 🏲 Minerally response asea to report aetails for Millimative responses to items 11.6 11.D

Regulatory Action

11.E., 11.F. or 11.G. of Form ADV.

	tk item(s) being respoi 11.C(1)	□ 11.C(2)	<b>□</b> 11.C(3)	□ 11.C(4)	□ 11.C(5)
	11.D(1)	<b>☑</b> 11.D(2)	□ 11.D(3)	<b>☑</b> 11.D(4)	☐ 11.D(5)
	11.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	
	11.F.	□ 11.G.			
with	a completed Execution	n Page.	, ,		ne <i>person</i> or entity using one DRP. File
	•		answer to Items 11.C., 11.D., 13 re than one regulator, provide d		ne DRP to report details related to the arate DRP.
PAR	ΤΙ				
Α.	The person(s) or entity  You (the advisory f	y(ies) for whom this DRP firm)	is being filed is (are):		
	C You and one or mo	ore of your <i>advisory affilia</i>	ites		
	One or more of yo	ur advisory affiliates			
	•	•	e, give the full name of the <i>advisc</i> ride that number. If not, indicate		s, Last name, First name, Middle name). the appropriate box.
	ADV DRP - ADVISORY	AFFILIATE			
			No Informatio	on Filed	
	$\square$ This DRP should be	e removed from the ADV ying for registration with		r proceeding occurred more tha	with the adviser. n ten years ago or (2) the adviser is EC and the event was resolved in the
	11.D(4), and only if t		than ten years ago. If you are r	•	reported only in response to Item ne SEC, you may remove a DRP for any
	☐ This DRP should be circumstances:	e removed from the ADV	record because it was filed in en	ror, such as due to a clerical or	data-entry mistake. Explain the
B.	•	•	e IARD system or <i>CRD</i> system, hes "Yes," no other information on	•	ed a DRP (with Form ADV, BD or U-4) to
	C Yes C No				
	NOTE: The completion	n of this form does not re	lieve the <i>advisory affiliate</i> of its o	bligation to update its IARD or	CRD records.
PAR	T II				
1.	Regulatory Action init	ated by: eral OState OSRO	<b>⊙</b> Foreign		
	(Full name of regulato		tory authority, federal, state, or S	SRO)	
2.	Principal Sanction: Civil and Administrativ Other Sanctions:	/e Penalt(ies) /Fine(s)			
3.	Date Initiated (MM/DD	/YYYY):			
	02/03/2021 © Exact If not exact, provide 6	'			
4.	Docket/Case Number: CAPITAL MARKET INVE		T, INVESTIGATION TEAM 3 - 116		
5.	Advisory Affiliate Empl	oying Firm when activity	occurred which led to the regulat	tory action (if applicable):	
6.	Principal Product Type Equity Listed (Commo				

Other Product Types:

7.	THE SOUTH KORE	AN FINANCIAL S NE KOREAN-LIS	UPERVISORY SER	RVICE (FSS) CLAIMED THA		: ANGUARD GROUP, INC. ("VGI"), ENGAGED A PRACTICE WHICH IS PROHIBITED		
8.	Current Status?	O Pending	On Appeal	<b>⊙</b> Final				
9.	If on appeal, regu	ılatory action ap	pealed to (SEC,	<i>SRO,</i> Federal or State Cou	rt) and Date Appeal Filed:			
If F	inal or On Appeal, o	complete all iten	ns below. For Per	nding Actions, complete It	em 13 only.			
10.	How was matter resolved:  Decision & Order of Offer of Settlement							
11.	Resolution Date (M	MM/DD/YYYY):						
	12/22/2021 <b>©</b> E	•	nation					
12.	Resolution Detail:							
	A. Were any of	the following Sa	anctions <i>Ordered</i>	(check all appropriate iter	ms)?			
	Monetary	y/Fine Amount:	\$ 15,409.00					
		on/Expulsion/De	enial		☐ Disgorgement/Restitution			
	Censure				Cease and Desist/Injunction	on		
	☐ Bar				Suspension			
	B. Other Sancti	ons <i>Ordered:</i>						
13.	disgorgemer of penalty w ON DECEMBE	nt or monetary of as waived: ER 22, 2021 \$15	ompensation, pr ,409 (KRW 18 MI	covide total amount, portion	on levied against you or an <i>advis</i> AS PAYMENT.	ed in a fine, penalty, restitution, cory affiliate, date paid and if any portion and constitutions and dates (your response		
10.	must fit within the	•		action states and (or) disp	osition and moiddo rolovant torr	ns, conditions and dates (Jean response		
	(KRW 18 MILLION	) ON VGI, IN CO	NNECTION WITH	ONE INCIDENT DURING 2	SSION IMPOSED AN ADMINISTRA 019 IN WHICH VGI SOLD A KORE HIBITED UNDER SOUTH KOREAN			
				GENERAL INST	RUCTIONS			
Γhis	Disclosure Reportin	ng Page (DRP AD	DV) is an 👩 INIT			affirmative responses to Items 11.C., 11.D.,		
	, 11.F. or 11.G. of							
				Danulatanu	0 -4:			
Ched	ck item(s) being re	sponded to:		Regulatory	Action			
	11.C(1)	□ 11.C	(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)		
	I1.D(1)	<b>☑</b> 11.□		□ 11.D(3)	<b>☑</b> 11.D(4)	□ 11.D(5)		
	I1.E(1)	<b>□</b> 11.E	* *	□ 11.E(3)	□ 11.E(4)			
	11.F.	■ 11.G	•	• •	. ,			
with	a completed Execu	ution Page.	-			one <i>person</i> or entity using one DRP. File		
	-				11.E., 11.F. or 11.G. Use only on the details for each action on a se	one DRP to report details related to the parate DRP.		
PAR <sup>-</sup>	ТІ							
Α.	The person(s) or e	entity(ies) for wh	nom this DRP is b	peing filed is (are):				
	You (the advisor	ory firm)						

	You and one or more of your advisory affiliates						
	One or more of your advisory affiliates						
	If this DRP is being filed for an <i>advisory affiliate</i> , give the full name of the <i>advisory affiliate</i> below (for individuals, Last name, First name, Middle name) If the <i>advisory affiliate</i> has a <i>CRD</i> number, provide that number. If not, indicate "non-registered" by checking the appropriate box.						
	ADV DRP - ADVISORY AFFILIATE						
	No Information Filed						
	☐ This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser. ☐ This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.						
	If you are registered or registering with a <i>state securities authority</i> , you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.						
	This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:						
B.	If the <i>advisory affiliate</i> is registered through the IARD system or <i>CRD</i> system, has the <i>advisory affiliate</i> submitted a DRP (with Form ADV, BD or U-4) to the IARD or <i>CRD</i> for the event? If the answer is "Yes," no other information on this DRP must be provided.  O Yes O No						
	Yes V No						
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.						
PAR	T II						
1.	Regulatory Action initiated by:  OSEC Other Federal OState OSRO Foreign						
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)  GERMAN FEDERAL FINANCIAL SUPERVISORY AUTHORITY ("BAFIN")						
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:						
3.	Date Initiated (MM/DD/YYYY):						
	05/11/2021 © Exact © Explanation  If not exact, provide explanation:						
4.	Docket/Case Number: WA 17-WP 3120-2021/0030						
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):						
6.	Principal Product Type: Mutual Fund(s) Other Product Types:						
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  BAFIN CLAIMED THAT THE VANGUARD GROUP, INC. ("VGI") ERRED IN PERFORMING A TECHNICAL PROCESS FROM 2017 TO 2019, WHICH LED TO UNTIMELY VOTING RIGHTS NOTIFICATIONS FOR THREE POSITIONS IN CONNECTION WITH SECURITIES LENDING ARRANGEMENTS.						
8.	Current Status? Pending On Appeal Final						
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:						
lf F	Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.						
10.	How was matter resolved:  Decision & Order of Offer of Settlement						

	esolution Date (MM/DD/YYYY):						
12/07/2021 🧿	Exact C Explanation						
If not exact, pro	ovide explanation:						
2. Resolution Deta	iil:						
A. Were any	of the following Sanctions Orc	dered (check all appropriate item	s)?				
_	ary/Fine Amount: \$ 376,996.0						
	ation/Expulsion/Denial		☐ Disgorgement/Restitution				
Censu	re		Cease and Desist/Injunction	n			
☐ Bar			Suspension				
B. Other San	ctions <i>Ordered:</i>						
Financial C requalify/r disgorgem of penalty	Operations Principal, etc.). If reetrain, type of exam required tent or monetary compensation was waived:	equalification by exam/retraining and whether condition has been	was a condition of the sanction a satisfied. If disposition resulted levied against you or an advisor	ffected (General Securities Principal, n, provide length of time given to d in a fine, penalty, restitution, ory affiliate, date paid and if any portion			
must fit within t	the space provided).			ns, conditions and dates (your response 00) ON VGI, RELATED TO A TECHNICAL			
				HREE POSITIONS FROM 2017 THRU 2019			
pis Disclosuro Popo	rting Page (DPD ADV) is an	GENERAL INSTR		ffirmative responses to Itams 11 C 11 [			
1.E., 11.F. or 11.G. (		OR OR AWILINDED TESPE	inse used to report details for all	ffirmative responses to Items 11.C., 11.[			
.L., 11.1. OF 11.G.	OF FORM ADV.						
		Regulatory A	ction				
neck item(s) being 11.C(1)	responded to:	<b>□</b> 11.C(3)	<b>□</b> 11.C(4)	□ 11.C(5)			
11.D(1)	☑ 11.C(2) ☑ 11.D(2)	□ 11.C(3) □ 11.D(3)	☑ 11.C(4) ☑ 11.D(4)	□ 11.C(5) □ 11.D(5)			
11.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	E 11.D(3)			
_ II.L(I)	□ 11.G.	E 11.E(3)	L 11.L(4)				
11.F.							
11.F.							
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	registered or applying for registration with the SEC or reporting as an <i>ex</i> adviser's or <i>advisory affiliate's</i> favor.	empt reporting adviser with the SEC and the event was resolved in the
	If you are registered or registering with a <i>state securities authority</i> , you ma 11.D(4), and only if that event occurred more than ten years ago. If you are event listed in Item 11 that occurred more than ten years ago.	
	☐ This DRP should be removed from the ADV record because it was filed in circumstances:	error, such as due to a clerical or data-entry mistake. Explain the
B.	If the <i>advisory affiliate</i> is registered through the IARD system or <i>CRD</i> system, the IARD or <i>CRD</i> for the event? If the answer is "Yes," no other information of	
	• Yes • No	
	NOTE: The completion of this form does not relieve the advisory affiliate of its	s obligation to update its IARD or <i>CRD</i> records.
PAR	т II	
1.	Regulatory Action initiated by:  OSEC Other Federal OState OSRO Foreign	
	(Full name of regulator, foreign financial regulatory authority, federal, state, of FINANCIAL SUPERVISORY SERVICE ("FSS"), SOUTH KOREA	r <i>SRO</i> )
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	
3.	Date Initiated (MM/DD/YYYY):	
	02/03/2021 © Exact C Explanation	
	If not exact, provide explanation:	
4.	Docket/Case Number: CAPITAL MARKET INVESTIGATION DEPARTMENT, INVESTIGATION TEAM 3 - 11	6
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regu	latory action (if applicable):
6.	Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:	
7.	Describe the allegations related to this regulatory action (your response mu THE SOUTH KOREAN FINANCIAL SUPERVISORY SERVICE CLAIMED THAT ON MATHE SALE OF ONE KOREAN-LISTED SECURITY WITHOUT CORRESPONDING OV SOUTH KOREAN LAW.	ARCH 18, 2020 VANGUARD GLOBAL ADVISERS, LLC ("VGA"), ENGAGED IN
8.	Current Status? Pending On Appeal Final	
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Cour	rt) and Date Appeal Filed:
If F	inal or On Appeal, complete all items below. For Pending Actions, complete Ite	em 13 only.
10.	How was matter resolved: Decision & Order of Offer of Settlement	
11	Resolution Date (MM/DD/YYYY):	
	12/22/2021 © Exact C Explanation	
	If not exact, provide explanation:	
12.	Resolution Detail:	
	A. Were any of the following Sanctions Ordered (check all appropriate item	ns)?
	✓ Monetary/Fine Amount: \$ 19,177.00	_
	<ul><li>Revocation/Expulsion/Denial</li><li>Censure</li></ul>	☐ Disgorgement/Restitution ☐ Coase and Desict/Universitien
	☐ Censure	☐ Cease and Desist/Injunction ☐ Suspension

B. Other Sanctions Ordered: Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived: ON DECEMBER 22, 2021, \$19,177 (KRW 22.5 MILLION) WAS SUBMITTED AS PAYMENT. 13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided). ON NOVEMBER 12, 2021, THE SOUTH KOREAN FINANCIAL SERVICES COMMISSION IMPOSED AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$19,177 (KRW 22.5 MILLION) ON VGA, IN CONNECTION WITH ONE INCIDENT DURING 2020 IN WHICH VGA SOLD A KOREAN-LISTED SECURITY WITHOUT CORRESPONDING OWNERSHIP OF THE POSITION, WHICH IS A PRACTICE THAT IS PROHIBITED UNDER SOUTH KOREAN LAW. GENERAL INSTRUCTIONS This Disclosure Reporting Page (DRP ADV) is an [O INITIAL OR [O AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV. Regulatory Action Check item(s) being responded to: □ 11.C(1) □ 11.C(3) □ 11.C(4) 11.C(5) □ 11.C(2) □ 11.D(5) □ 11.D(1) □ 11.D(3) **☑** 11.D(4) **☑** 11.D(2) 11.E(1) 11.E(2) 11.E(3) 11.E(4) □ 11.F. □ 11.G. Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page. One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP. PART I The person(s) or entity(ies) for whom this DRP is being filed is (are): You (the advisory firm) O You and one or more of your advisory affiliates One or more of your advisory affiliates If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name). If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD 282933 This advisory affiliate is • a Firm • an Individual Number: Registered: • Yes O No **VANGUARD INVESTMENTS** Name: **AUSTRALIA LIMITED** (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser's or advisory affiliate's favor. If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago. This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to

	• Yes • No					
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.					
PART	- 11					
	Regulatory Action initiated by:					
1.	OSEC Other Federal OState O SRO Storeign					
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) FINANCIAL SUPERVISORY SERVICE ("FSS"), SOUTH KOREA					
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:					
3.	Date Initiated (MM/DD/YYYY):					
	02/24/2022 © Exact C Explanation					
	If not exact, provide explanation:					
4.	Docket/Case Number: CAPITAL MARKET INVESTIGATION DEPARTMENT, INVESTIGATION TEAM 3 - 116					
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):					
6.	Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:					
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  THE SOUTH KOREAN FINANCIAL SUPERVISORY SERVICE CLAIMED THAT ON MARCH 31, 2020 VANGUARD INVESTMENTS AUSTRALIA LIMITED ("VIA"), ENGAGED IN THE SALE OF TWO KOREAN-LISTED SECURITIES WITHOUT CORRESPONDING OWNERSHIP OF THE POSITIONS, A PRACTICE WHICH IS PROHIBITED UNDER SOUTH KOREAN LAW.					
8.	Current Status? C Pending C On Appeal Final					
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:					
If F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.					
10.	How was matter resolved:  Decision & Order of Offer of Settlement					
11.	Resolution Date (MM/DD/YYYY):					
-	02/24/2022 © Exact C Explanation					
	If not exact, provide explanation:					
12.	Resolution Detail:					
	A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?					
	✓ Monetary/Fine Amount: \$ 19,821.00					
	☐ Revocation/Expulsion/Denial ☐ Disgorgement/Restitution					
	☐ Censure ☐ Cease and Desist/Injunction					
	☐ Bar ☐ Suspension					
	B. Other Sanctions <i>Ordered</i> :					
	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an <i>advisory affiliate</i> , date paid and if any portion of penalty was waived:					

ON FEBRUARY 02/24/2022 ~ \$ 19821 (KRW 24 MILLION) WAS SUBMITTED AS VOLUNTARY PAYMENT, A DISCOUNT FROM THE KRW 30 MILLION

ORIGINALLY SOUGHT.

the IARD or *CRD* for the event? If the answer is "Yes," no other information on this DRP must be provided.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

ON FEBRUARY 24, 2022, THE FINANCIAL SERVICES COMMISSION IMPOSED AN ADMINISTRATIVE FINE IN THE AMOUNT OF ~\$ 19821 (KRW 24 MILLION) ON VIA, (A DISCOUNT FROM KRW 30 MILLION FOR VOLUNTARY PAYMENT) IN CONNECTION WITH ONE INCIDENT DURING 2020 IN WHICH VIA SOLD TWO KOREAN-LISTED SECURITIES WITHOUT CORRESPONDING OWNERSHIP OF THE POSITIONS, WHICH IS A PRACTICE THAT IS PROHIBITED UNDER SOUTH KOREAN LAW.

### CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

#### Part 2

#### Exemption from brochure delivery requirements for SEC-registered advisers

SEC rules exempt SEC-registered advisers from delivering a firm brochure to some kinds of clients. If these exemptions excuse you from delivering a brochure to *all* of your advisory clients, you do not have to prepare a brochure.

Yes No

⊙

Are you exempt from delivering a brochure to all of your clients under these rules?

If no, complete the ADV Part 2 filing below.

Amend, retire or file new brochures:

#### Part 3

CRS Type(s) Affiliate Info Retire

There are no CRS filings to display.

#### **Execution Pages**

#### DOMESTIC INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

#### Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint the Secretary of State or other legally designated officer, of the state in which you maintain your *principal office and place of business* and any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such *persons* may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding*, or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which you maintain your *principal office and place of business* or of any state in which you are submitting a *notice filing*.

### Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: JOHN E. SCHADL Date: MM/DD/YYYY 07/06/2022

JOHN L. JCHADL

0770072022

Printed Name: JOHN E. SCHADL Title: CHIEF COMPLIANCE OFFICER, PRINCIPAL

Adviser CRD Number:

105958

#### NON-RESIDENT INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

#### 1. Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State or other legally designated officer, of any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding* or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of any state in which you are submitting a *notice filing*.

#### 2. Appointment and Consent: Effect on Partnerships

If you are organized as a partnership, this irrevocable power of attorney and consent to service of process will continue in effect if any partner withdraws from or is admitted to the partnership, provided that the admission or withdrawal does not create a new partnership. If the partnership dissolves, this irrevocable power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

3. Non-Resident Investment Adviser Undertaking Regarding Books and Records

By signing this Form ADV, you also agree to provide, at your own expense, to the U.S. Securities and Exchange Commission at its principal office in Washington D.C., at any Regional or District Office of the Commission, or at any one of its offices in the United States, as specified by the Commission, correct, current, and complete copies of any or all records that you are required to maintain under Rule 204-2 under the Investment Advisers Act of 1940. This undertaking shall be binding upon you, your heirs, successors and assigns, and any *person* subject to your written irrevocable consents or powers of attorney or any of your general partners and *managing agents*.

#### Signature

105958

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the *non-resident* investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature:	Date: MM/DD/YYYY
Printed Name:	Title:
Adviser CRD Number:	

# Information for BLACKROCK, INC. begins on page 271 FORM ADV

(4) Facsimile number at this location, if any:

fiscal year?

13

# UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

Pri	mary Business Name: BLACKR	OCK ADVISORS, LLC			CRD Number: 1066
Oth	er-Than-Annual Amendment -	All Sections			Rev. 10/202
9/	1/2022 4:01:34 PM				
W	·	uthfully. False statements or omission of the compact of the compa		revocation of your registration, or criminal prosecution. You	ou must keep this form
Ite	m 1 Identifying Information				
	•		ness, and how we can contact you. If you a you with filing an <i>umbrella registration</i> .	re filing an <i>umbrella registration</i> , the information in Item 1	should be provided for th
Α.	Your full legal name (if you are BLACKROCK ADVISORS, LLC	e a sole proprietor, your last, first, a	nd middle names):		
B.	(1) Name under which you pring BLACKROCK ADVISORS, LLC	marily conduct your advisory busine:	ss, if different from Item 1.A.		
	List on Section 1.B. of Schedule	e D any additional names under which	n you conduct your advisory business.		
	(2) If you are using this Form	ADV to register more than one inve	stment adviser under an umbrella registratio	on, check this box $\square$	
	If you check this box, complete	a Schedule R for each relying adviser			
C.	If this filing is reporting a chan  ☐ your legal name or ☐ your		primary business name (Item 1.B.(1)), en	ter the new name and specify whether the name change is	of
D.	(1) If you are registered with	the SEC as an investment adviser, y	our SEC file number: 801-47710		
	(2) If you report to the SEC as	s an <i>exempt reporting adviser</i> , your S	SEC file number:		
		entral Index Key numbers assigned	by the SEC ("CIK Numbers"), all of your CIR	C numbers:	
	<b>CIK Number</b> 1086364				
	1000304				
E.	(1) If you have a number (" <i>CR</i>	RD Number") assigned by the FINRA'	s CRD system or by the IARD system, your (	CRD number: 106614	
	If your firm does not have a CR	RD number, skip this Item 1.E. Do not	provide the CRD number of one of your office	ers, employees, or affiliates.	
	(2) If you have additional <i>CRD</i>	Numbers, your additional <i>CRD</i> num	hers:		
	(2) If you have additional one	Nambers, your additional one ham	No Information Filed		
F.	Principal Office and Place of Bus	siness			
	(1) Address (do not use a P.C Number and Street 1:	). Box):	Number and Street 2:		
	55 EAST 52ND STREET City:	State:	Country:	ZIP+4/Postal Code:	
	NEW YORK	New York	United States	10055	
	If this address is a private	e residence, check this box:			
	registered, with one or mo applying for SEC registration	ore state securities authorities, you ma	ust list all of your offices in the state or states SEC, or if you are reporting to the SEC as an	you conduct investment advisory business. If you are applying to which you are applying for registration or with whom you exempt reporting adviser, list the largest twenty-five offices in	are registered. If you are
	(2) Days of week that you no <b>⊙</b> Monday - Friday <b>○</b> Oth	ormally conduct business at your <i>prin</i> ner:	ncipal office and place of business:		
	Normal business hours at 7:30AM TO 5:30PM	this location:			
	(3) Telephone number at this 212-810-5300	s location:			

(5) What is the total number of offices, other than your principal office and place of business, at which you conduct investment advisory business as of the end of your most recently completed

G.	Mailing address, if different from	n your <i>principal office and place of busines</i> s	s address:		
	Number and Street 1:		Number and Street 2:		
	City:	State:	Country:	ZIP+4/Postal Code:	
	If this address is a private resid	dence, check this box:			
Н.	If you are a sole proprietor, stat	te your full residence address, if different	t from your <i>principal office and pla</i>	ce of business address in Item 1.F.:	
	Number and Street 1:		Number and Street 2:		
	City:	State:	Country:	ZIP+4/Postal Code:	
Ι.	Do you have one or more websit	tes or accounts on publicly available soci	al media platforms (including, bu	it not limited to, Twitter, Facebook and LinkedIn)?	Yes No ⊙ O
	through which to access other infaddress. Do not provide the addres	formation you have published on the web,	you may list the portal without liswailable social media platforms wh	ocial media platforms on Section 1.1. of Schedule D. If a website address se ting addresses for all of the other information. You may need to list more t ere you do not control the content. Do not provide the individual electronic	than one portal
J.	Chief Compliance Officer (1) Provide the name and contactif you have one. If not, you must		Officer. If you are an exempt repo	orting adviser, you must provide the contact information for your Chief Co	ompliance Officer,
	Name:		Other titles, if any:		
	Telephone number:		Facsimile number, if a	ıy:	
	Number and Street 1:		Number and Street 2:		
	City:	State:	Country:	ZIP+4/Postal Code:	
	Electronic mail (e-mail) address	s, if Chief Compliance Officer has one:			
<b>&lt;</b> .	Name: IRS Employer Identification Num Additional Regulatory Contact Pethat information here.		Compliance Officer is authorized	to receive information and respond to questions about this Form ADV, y	you may provide
	Name:		Titles:		
	Telephone number:		Facsimile number, if ar	ny:	
	Number and Street 1:		Number and Street 2:		
	City:	State:	Country:	ZIP+4/Postal Code:	
	Electronic mail (e-mail) address	s, if contact person has one:			
					Yes No
L.	Do you maintain some or all of t and place of business?	the books and records you are required t	to keep under Section 204 of the	Advisers Act, or similar state law, somewhere other than your <i>principal</i>	l office ⊙ O
	If "yes," complete Section 1.L. of	Schedule D.			V N
M.	Are you registered with a foreign	n financial regulatory authority?			Yes No ⊙ O
	Answer "no" if you are not registed 1.M. of Schedule D.	ered with a foreign financial regulatory aut	hority, even if you have an affiliate	e that is registered with a foreign financial regulatory authority. If "yes," co	omplete Section
		1.0.11.10.15(1).611.0			Yes No
٧.	Are you a public reporting compa	any under Sections 12 or 15(d) of the Se	ecurities exchange Act of 1934?		0 0
					Yes No
Э.	Did you have \$1 billion or more  If yes, what is the approximate  \$1 billion to less than \$10 b		ecent fiscal year?		0 0
	o \$10 billion to less than \$50				
	o \$50 billion or more				
	V · · · · · · · · · · · · · · · · · · ·				

For purposes of Item 1.0. only, "assets" refers to your total assets, rather than the assets you manage on behalf of clients. Determine your total assets using the total assets shown on the balance

P. Provide your <i>Legal Entity Identifier</i> if you have one: 5493001LN9MRM6A35J74						
A legal entity identifier is a unique number that companies use to identify each other in the financial marketplace. You may not have a legal entity identifier.						
SECTION 1.B. Other Business Names						
SECTION I.B. Other Business Numes		N. J. G W. Ell. J.				
		No Information Filed				
SECTION 1.F. Other Offices						
		· · · · · · · · · · · · · · · · · · ·	t investment advisory business. You must complete as an exempt reporting adviser, list only the largest twe			
Number and Street 1: 49 EAST 52ND ST		Number and Street 2:				
City: NEW YORK	State: New York	Country: United States	ZIP+4/Postal Code: 10022			
If this address is a private residence, che	eck this box:					
Telephone Number: 212-810-3500	Facsimile Number, if	any:				
If this office location is also required to be Registration Form (Form BR), please prove 238819	•	es authority as a branch office location for	a broker-dealer or investment adviser on the Uniforn	m Branch Office		
How many <i>employees</i> perform investment 5	t advisory functions from this office location	n?				
Are other business activities conducted at (1) Broker-dealer (registered or unreg (2) Bank (including a separately identified)						
(3) Insurance broker or agent (4) Commodity pool operator or comm	odity trading advisor (whether registered o	or exempt from registration)				
(5) Registered municipal advisor (6) Accountant or accounting firm						
(7) Lawyer or law firm						
Describe any other investment-related bu	siness activities conducted from this office	location:				
		· · · · · · · · · · · · · · · · · · ·	t investment advisory business. You must complete a e an <i>exempt reporting adviser</i> , list only the largest twe			
Number and Street 1: 2929 ARCH STREET, 16TH FLOOR		Number and Street 2: SUITE 1600				
City: PHILADELPHIA	State: Pennsylvania	Country: United States	ZIP+4/Postal Code: 19104			
If this address is a private residence, che	eck this box:					
Telephone Number: 215-349-9700	Facsimile Number, if an	y:				
If this office location is also required to be	e registered with FINRA or a state securitie	s authority as a branch office location for	a broker-dealer or investment adviser on the Uniforr	m Branch Office		

sheet for your most recent fiscal year end.

Registration Form (Form BR), please pro 567305	ovide the <i>CRD</i> Branch Number here:			
How many <i>employees</i> perform investme 6	nt advisory functions from this office location	n?		
Are other business activities conducted   ✓ (1) Broker-dealer (registered or unre	at this office location? (check all that apply)			
	tifiable department or division of a bank)			
(3) Insurance broker or agent				
•	modity trading advisor (whether registered o	or exampt from registration)		
(4) commodity pool operator or commodity pool op	mounty trading advisor (whether registered t	or exempt from registration)		
(6) Accountant or accounting firm				
(7) Lawyer or law firm				
•				
Describe any other investment-related b	usiness activities conducted from this office	location:		
	- · · · · ·		act investment advisory business. You must complete a sure an exempt reporting adviser, list only the largest twent	•
Number and Street 1: 725 PONCE DE LEON AVE NE		Number and Street 2:		
City:	State:	Country:	ZIP+4/Postal Code:	
ATLANTA	Georgia	United States	30306	
If this address is a private residence, ch	eck this box:			
Telephone Number: 470-520-5000	Facsimile Number,	if any:		
If this office location is also required to Registration Form (Form BR), please pro 491784	-	es authority as a branch office location f	or a broker-dealer or investment adviser on the Uniform	Branch Office
How many <i>employees</i> perform investme 2	nt advisory functions from this office location	n?		
Are other business activities conducted   ✓ (1) Broker-dealer (registered or unre	at this office location? (check all that apply)			
	tifiable department or division of a bank)			
(2) Insurance broker or agent	and a spartment of any sion of a same,			
	modity trading advisor (whether registered o	or exempt from registration)		
(5) Registered municipal advisor	mounty trading davisor (miethor registered t	or exempt from registration,		
(6) Accountant or accounting firm				
(7) Lawyer or law firm				
Describe any other investment-related b	usiness activities conducted from this office	location:		
	- · · · · ·		act investment advisory business. You must complete a sure an exempt reporting adviser, list only the largest twent	•
Number and Street 1: 60 STATE STREET		Number and Street 2 19TH/20TH FLOOR	2:	
City:	State:	Country:	ZIP+4/Postal Code:	
BOSTON	Massachusetts	United States	02109	
If this address is a private residence, ch	eck this box:			

Telephone Number: 617-357-1200	Facsimile Number, if any:		
If this office location is also required to be Registration Form (Form BR), please provide 237771	-	rity as a branch office location f	for a broker-dealer or investment adviser on the Uniform Branch Office
How many <i>employees</i> perform investment a	advisory functions from this office location?		
Are other business activities conducted at	this office location? (check all that apply)		
☑ (1) Broker-dealer (registered or unregis			
(2) Bank (including a separately identifia			
(2) Same (more and a separately resemble [1] (3) Insurance broker or agent	able department of division of a same,		
	dity trading advisor (whether registered or exemp	nt from registration)	
☐ (5) Registered municipal advisor	arty trading davisor (whether registered or exemp	pt from registration)	
(6) Accountant or accounting firm			
(7) Lawyer or law firm			
Describe any other investment-related busi	ness activities conducted from this office location	n:	
		-	uct investment advisory business. You must complete a separate Schedule are an exempt reporting adviser, list only the largest twenty-five offices (in
Number and Street 1: 1 UNIVERSITY SQUARE DRIVE		Number and Street 2:	
City:	State:	Country:	ZIP+4/Postal Code:
PRINCETON	New Jersey	United States	08540-6455
If this address is a private residence, check	k this box:		
Telephone Number: 609-853-6500	Facsimile Number, if any:		
If this office location is also required to be Registration Form (Form BR), please provid 307367	-	rity as a branch office location f	for a broker-dealer or investment adviser on the Uniform Branch Office
How many <i>employees</i> perform investment a	advisory functions from this office location?		
Are other business activities conducted at :  ✓ (1) Broker-dealer (registered or unregis			
☐ (2) Bank (including a separately identifia			
(3) Insurance broker or agent			
	dity trading advisor (whether registered or exemp	pt from registration)	
(5) Registered municipal advisor		pr e eg.e at.e,	
(6) Accountant or accounting firm			
(7) Lawyer or law firm			
Describe any other investment related bysic	nose activities conducted from this office leastion		
Describe any other investment-related busi	ness activities conducted from this office location	i.	
		-	uct investment advisory business. You must complete a separate Schedule are an exempt reporting adviser, list only the largest twenty-five offices (in
Number and Street 1:		Number and Street 2:	

Country:

State:

ZIP+4/Postal Code:

400 HOWARD STREET

City:

SAN I RANCISCO	California	Officed States	94103	
f this address is a private residence, check this box:				
Telephone Number: 415-670-2000	Facsimile Number, if a	any:		
If this office location is also required to be registered Registration Form (Form BR), please provide the <i>CRD</i> 100031		s authority as a branch office locat	ion for a broker-dealer or investment adviser on the L	Jniform Branch Office
How many <i>employees</i> perform investment advisory fu 53	nctions from this office location?	?		
Are other business activities conducted at this office of the conducted at t	location? (check all that apply)			
(2) Bank (including a separately identifiable depart	ment or division of a bank)			
(3) Insurance broker or agent				
(4) Commodity pool operator or commodity trading	g advisor (whether registered or	exempt from registration)		
<ul><li>✓ (5) Registered municipal advisor</li><li>✓ (6) Accountant or accounting firm</li></ul>				
(7) Lawyer or law firm				
· · ·				
Describe any other <i>investment-related</i> business activi	ties conducted from this office lo	ocation:		
			onduct investment advisory business. You must comp you are an <i>exempt reporting adviser</i> , list only the large:	•
Number and Street 1: 40 EAST 52ND STREET		Number and Street 2:		
City: NEW YORK	State: New York	Country: United States	ZIP+4/Postal Code: 10022	
f this address is a private residence, check this box:				
Гelephone Number:	Facsimile Number, if a	any:		
212-810-5300				
If this office location is also required to be registered Registration Form (Form BR), please provide the <i>CRD</i> 238819		authority as a branch office locat	ion for a broker-dealer or investment adviser on the L	Jniform Branch Office
How many <i>employees</i> perform investment advisory fu 3	nctions from this office location?	?		
Are other business activities conducted at this office	location? (check all that apply)			
(1) Broker-dealer (registered or unregistered)				
<ul><li>(2) Bank (including a separately identifiable depart</li><li>(3) Insurance broker or agent</li></ul>	ment or division of a bank)			
(3) Insurance broker of agent (4) Commodity pool operator or commodity trading	a advisor (whether registered or	exempt from registration)		
(5) Registered municipal advisor	g davisor (whother registered or	oxompt from rogistration,		
(6) Accountant or accounting firm				
(7) Lawyer or law firm				
Describe any other <i>investment-related</i> business activi	ties conducted from this office lo	ocation:		

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in

terms of numbers of employees).

Number and Street 1:		Number and Street 2:	
44 COOK STREET		SUITE 800	
City:	State:	Country:	ZIP+4/Postal Code:
DENVER	Colorado	United States	80206
If this address is a private residence, check this box: $\Box$			
Telephone Number: 303-468-5500	Facsimile Number, if any:		
If this office location is also required to be registered with FIN Registration Form (Form BR), please provide the <i>CRD</i> Branch N		ority as a branch office location	on for a broker-dealer or investment adviser on the Uniform Branch Office
How many <i>employees</i> perform investment advisory functions for 0	rom this office location?		
Are other business activities conducted at this office location?	' (check all that apply)		
☐ (1) Broker-dealer (registered or unregistered)	, , , , ,		
(2) Bank (including a separately identifiable department or	division of a bank)		
(3) Insurance broker or agent	,		
(4) Commodity pool operator or commodity trading advisor	· (whether registered or exem	ant from registration)	
(5) Registered municipal advisor	(Whether registered of exem	ipt irom registration,	
(6) Accountant or accounting firm			
(7) Lawyer or law firm			
(7) Lawyer or law min			
Describe any other investment-related business activities cond	ducted from this office location	n:	
	, , ,	•	onduct investment advisory business. You must complete a separate Schedule ou are an <i>exempt reporting adviser</i> , list only the largest twenty-five offices (in
Number and Street 1: 4400 MACARTHUR BOULEVARD		Number and Street 2: SUITE 700	
City:	State:	Country:	ZIP+4/Postal Code:
NEWPORT BEACH	California	United States	92660
If this address is a private residence, check this box: $\ \square$			
Telephone Number: 949-623-0700	Facsimile Number, if any:		
If this office location is also required to be registered with FIN Registration Form (Form BR), please provide the <i>CRD</i> Branch N 630549		ority as a branch office location	on for a broker-dealer or investment adviser on the Uniform Branch Office
How many <i>employees</i> perform investment advisory functions for a second	rom this office location?		
Are other business activities conducted at this office location?	(check all that apply)		
(1) Broker-dealer (registered or unregistered)			
(2) Bank (including a separately identifiable department or	division of a bank)		
(3) Insurance broker or agent			
$\square$ (4) Commodity pool operator or commodity trading advisor	(whether registered or exem	npt from registration)	
$\square$ (5) Registered municipal advisor			
$\square$ (6) Accountant or accounting firm			
$\square$ (7) Lawyer or law firm			
Describe any other <i>investment-related</i> business activities cond	ducted from this office location	n:	

	•		duct investment advisory business. You must complete a separate Schedu are an <i>exempt reporting adviser</i> , list only the largest twenty-five offices (in
Number and Street 1: 400 BELLEVUE PARKWAY		Number and Street 2:	
City: WILMINGTON	State: Delaware	Country: United States	ZIP+4/Postal Code: 19809
If this address is a private residence, check this box: $\Box$			
Telephone Number: 302-797-2000	Facsimile Number, if	any:	
If this office location is also required to be registered with FIN Registration Form (Form BR), please provide the <i>CRD</i> Branch 100027		s authority as a branch office location	for a broker-dealer or investment adviser on the Uniform Branch Office
How many <i>employees</i> perform investment advisory functions to	from this office location	?	
Are other business activities conducted at this office location?  ☑ (1) Broker-dealer (registered or unregistered) ☐ (2) Bank (including a separately identifiable department or ☐ (3) Insurance broker or agent ☐ (4) Commodity pool operator or commodity trading advisor ☐ (5) Registered municipal advisor ☐ (6) Accountant or accounting firm ☐ (7) Lawyer or law firm	division of a bank)	r exempt from registration)	
Describe any other investment-related business activities cond	ducted from this office I	location:	
	•		duct investment advisory business. You must complete a separate Schedu are an exempt reporting adviser, list only the largest twenty-five offices (in
Number and Street 1: 100 BELLEVUE PARKWAY		Number and Street 2:	
City: WILMINGTON	State: Delaware	Country: United States	ZIP+4/Postal Code: 19809
If this address is a private residence, check this box: $\Box$			
Telephone Number: 302-797-2000	Facsimile Number, if	any:	
If this office location is also required to be registered with FIN Registration Form (Form BR), please provide the <i>CRD</i> Branch 100027		s authority as a branch office location	for a broker-dealer or investment adviser on the Uniform Branch Office
How many <i>employees</i> perform investment advisory functions to	from this office location	?	
Are other business activities conducted at this office location?  ☑ (1) Broker-dealer (registered or unregistered) ☐ (2) Bank (including a separately identifiable department or ☐ (3) Insurance broker or agent ☐ (4) Commodity pool operator or commodity trading advisor ☐ (5) Registered municipal advisor ☐ (6) Accountant or accounting firm	division of a bank)	r exempt from registration)	

Describe any other investment-related business activities con	inducted from this office	iocation.	
			onduct investment advisory business. You must complete a separate Schedule ou are an exempt reporting adviser, list only the largest twenty-five offices (in
Number and Street 1: 227 WEST MONROE STREET		Number and Street 2: SUITE 2800	
City: CHICAGO	State: Illinois	Country: United States	ZIP+4/Postal Code: 60606
If this address is a private residence, check this box:			
Telephone Number: 312-395-9300	Facsimile Number	r, if any:	
If this office location is also required to be registered with FI Registration Form (Form BR), please provide the <i>CRD</i> Branch 100028		s authority as a branch office location	on for a broker-dealer or investment adviser on the Uniform Branch Office
How many <i>employees</i> perform investment advisory functions 0	s from this office location	n?	
Are other business activities conducted at this office location    ✓ (1) Broker-dealer (registered or unregistered)  ✓ (2) Bank (including a separately identifiable department of    ✓ (3) Insurance broker or agent    ✓ (4) Commodity pool operator or commodity trading advisor    ✓ (5) Registered municipal advisor    ✓ (6) Accountant or accounting firm    ✓ (7) Lawyer or law firm	or division of a bank) or (whether registered o		
,			onduct investment advisory business. You must complete a separate Schedule ou are an exempt reporting adviser, list only the largest twenty-five offices (in
Number and Street 1: 601 UNION STREET		Number and Street 2 56TH FLOOR	2:
City: SEATTLE	State: Washington	Country: United States	ZIP+4/Postal Code: 98101
If this address is a private residence, check this box:			
Telephone Number: 206-613-6700	Facsimile Number, if ar	ny:	
If this office location is also required to be registered with FI Registration Form (Form BR), please provide the <i>CRD</i> Branch 347040		s authority as a branch office location	on for a broker-dealer or investment adviser on the Uniform Branch Office
How many <i>employees</i> perform investment advisory functions	s from this office location	n?	
Are other business activities conducted at this office location   ✓ (1) Broker-dealer (registered or unregistered)  ✓ (2) Bank (including a separately identifiable department of (3) Insurance broker or agent  ✓ (4) Commodity pool operator or commodity trading advised.	or division of a bank)	or exempt from registration)	

(5) Registered municipal advisor	
(6) Accountant or accounting firm	
(7) Lawyer or law firm	
Describe any other <i>investment-related</i> business activities conducted from the	this office location:
SECTION 1.I. Website Addresses	
List your website addresses, including addresses for accounts on publicly a LinkedIn). You must complete a separate Schedule D Section 1.I. for each	available social media platforms where you control the content (including, but not limited to, Twitter, Facebook and/or website or account on a publicly available social media platform.
Address of Website/Account on Publicly Available Social Media Platform:	https://www.instagram.com/blackrock
Address of Website/Account on Publicly Available Social Media Platform:	https://www.ishares.com
Address of Website/Account on Publicly Available Social Media Platform:	https://www.tiktok.com/@blackrock?lang=en
Address of Website/Account on Publicly Available Social Media Platform:	https://www.douyin.com/user/MS4wLjABAAAATX0BkoY3SXPImjHUWTdWi02SNLwyACHjdmAnkjp298IIw88FuDLmYo-nIn-UitiK
Address of Website/Account on Publicly Available Social Media Platform:	https://www.youtube.com/channel/UC61MWzrpcsazp23LOxCsTcg
Address of Website/Account on Publicly Available Social Media Platform: I	https://mp.weixin.qq.com/mp/profile_ext?action=home&biz=MzIzMTc3MTQ2Mw==&scene=124#wechat_redirect
Address of Website/Account on Publicly Available Social Media Platform:	https://www.youtube.com/channel/UCrIXkHfv2tMzebAl1TcdDhg
Address of Website/Account on Publicly Available Social Media Platform:	https://www.facebook.com/BlackRock
Address of Website/Account on Publicly Available Social Media Platform: I	https://www.linkedin.com/company/blackrock
Address of Website/Account on Publicly Available Social Media Platform: I	https://twitter.com/blackrock
Address of Website/Account on Publicly Available Social Media Platform: I	https://www.linkedin.com/company/ishares
Address of Website/Account on Publicly Available Social Media Platform: I	https://www.facebook.com/iShares/
Address of Website/Account on Publicly Available Social Media Platform: I	https://line.naver.jp/ti/p/@blackrocktw
Address of Website/Account on Publicly Available Social Media Platform:	https://twitter.com/ishares
SECTION 1.L. Location of Books and Records	

Complete the following information for each location at which you keep your books and records, other than your *principal office and place of business*. You must complete a separate Schedule D, Section 1.L. for each location.

Name of entity where books and records are kept: CROWN RECORDS MANAGEMENT LTD					
Number and Street 1: UNIT D, PROLOGIS BUSINESS PARK		Number and Street 2	2:		
City: LONDON	State:	Country: United Kingdom		ZIP+4/Postal Code: E3 3JG	
If this address is a private residence, check this box:					
Telephone Number: 4410000000000	Facsimile number, if ar	ny:			
This is (check one):  one of your branch offices or affiliates.					
a third-party unaffiliated recordkeeper.					
other.					
Briefly describe the books and records kept at this location.  BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE WITH	THE INVESTMENT ADVIS	ERS ACT OF 1940.			
Name of entity where books and records are kept: FDM DOCUMENT DYNAMICS S.R.L					
Number and Street 1: MORTARA (PV) VIA XXI SETTEMBRE S.N.C.		Nur	mber and Street 2:		
City: MILANO	State:	Cou Ital	untry: Iv	ZIP+4/Postal Code: DK-2650	
		, (4)	3	2.000	
If this address is a private residence, check this box:					
Telephone Number: 45 70 21 77 00	Facsimile	number, if any:			
This is (check one):  O one of your branch offices or affiliates.					
o a third-party unaffiliated recordkeeper.					
⊙ other.					
Briefly describe the books and records kept at this location.  CERTAIN BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE.	CE WITH APPROPRIATE I	REGULATORY REQUIREN	MENTS.		
Name of entity where books and records are kept: WANBISHI ARCHIVES CO., LTD.					
Number and Street 1: TORANOMON TOWERS OFFICE 4-1-28 TORANOMON			Number and Stre	eet 2:	
City: TOKYO	Si	tate:	Country: Japan	ZIP+4/Postal Code: 105-0001	
If this address is a private residence, check this box:					
Telephone Number: 81 3 5425 5100	Fa	acsimile number, if any:			
This is (check one):  O one of your branch offices or affiliates.					
a third-party unaffiliated recordkeeper.					
other.					

Briefly describe the books and records kept at this location CERTAIN BOOKS AND RECORDS REQUIRED TO BE KEPT IN		RIATE REGULATORY REQUIREMENTS	S.	
Name of entity where books and records are kept: GEBR. VAN DEN EIJNDEN EUROMOVERS				
Number and Street 1: FLIGHT FORUM 3830		Number and Street 2:		
City: EINDHOVEN	State:	Country: Netherlands	ZIP+4/Postal Code: 5657	
If this address is a private residence, check this box: $\Box$				
Telephone Number: 31 40 281 8888	Facsimile number	, if any:		
This is (check one):  one of your branch offices or affiliates.				
o a third-party unaffiliated recordkeeper.				
O other.				
Briefly describe the books and records kept at this location CERTAIN BOOKS AND RECORDS REQUIRED TO BE KEPT IN		RIATE REGULATORY REQUIREMENTS	S.	
Name of entity where books and records are kept: IRON MOUNTAIN CANADA CORPORATION				
Number and Street 1: 70 TALMAN COURT		Number and Street 2:		
City: CONCORD	State:	Country: Canada	ZIP+4/Postal Code: L4K 4L5	
If this address is a private residence, check this box: $\ \square$				
Telephone Number: 905 695 0564	Facsimile num	ber, if any:		
This is (check one):  O one of your branch offices or affiliates.				
o a third-party unaffiliated recordkeeper.				
O other.				
Briefly describe the books and records kept at this location BOOKS AND RECORDS REQUIRED TO BE MAINTAINED IN AC		N LAWS AND REGULATIONS.		
Name of entity where books and records are kept: IRON MOUNTAIN LTD				
Number and Street 1: 175 BEARFOOT RD.		Number and Stree	rt 2:	
City: NORTHBOROUGH	State: Massachusetts	Country: United States	ZIP+4/Postal Code: 01532	
If this address is a private residence, check this box: $\ \square$				
Telephone Number: 800 934 3453	Facsimile number, if any:			
This is (check one):				

one of your branch offices or affiliates.

o a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE WIT	TH THE INVESTMENT AC	DVISERS ACT OF 1940.	
Name of entity where books and records are kept: LAB LUXEMBOURG SA			
Number and Street 1: 3 RUE DR. ELVIRE ENGEL		Number and Street 2:	
City: GRASS	State:	Country: Luxembourg	ZIP+4/Postal Code: L-8346
If this address is a private residence, check this box: $\ \square$			
Telephone Number: 352 350222999	Facsimile number, if	any:	
This is (check one):  one of your branch offices or affiliates.			
o a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at this location. CERTAIN BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLI	ANCE WITH APPROPRIA	ATE REGULATORY REQUIREMENTS.	
Name of entity where books and records are kept: GLOBAL RELAY COMMUNICATIONS INC.			
Number and Street 1: CAMBIE ST.		Number and Street 2:	
City: VANCOUVER	State:	Country:	ZIP+4/Postal Code:
VANCOUVER		Canada	V6B 2M9
If this address is a private residence, check this box: $\ \square$			
Telephone Number: 604 484 6630	Facsimile numbe	r, if any:	
This is (check one):  O one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
other.			
Briefly describe the books and records kept at this location. SOCIAL MEDIA MARKETING MATERIALS			
Name of entity where books and records are kept: DATA PROTECT UK			
Number and Street 1: NORMAN RD	ı	Number and Street 2:	
City: S GREENWICH		Country: United Kingdom	ZIP+4/Postal Code: SE10 9EH
If this address is a private residence, check this box: $\ \square$			

44 7709 399859				
This is (check one):  one of your branch offices or affiliates.				
a third-party unaffiliated recordkeeper.				
o other.				
Briefly describe the books and records kept at this location.  CERTAIN BOOKS AND RECORDS REQUIRED TO BE KEPT IN C	OMPLIANCE WITH APPROPRIATE REG	GULATORY REQUIREMENTS.		
Name of entity where books and records are kept: IRON MOUNTAIN LTD				
Number and Street 1: 1202 FREEDOM ROAD		Number and Street 2:		
City:	State:	Country:	ZIP+4/Postal Code:	
CRANBERRY TWP	Pennsylvania	United States	16066	
If this address is a private residence, check this box: $\ \square$				
Telephone Number: 800 899 4766	Facsimile number, if any:			
This is (check one):  O one of your branch offices or affiliates.				
a third-party unaffiliated recordkeeper.				
o other.				
Briefly describe the books and records kept at this location.  BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE	CE WITH THE INVESTMENT ADVISER	S ACT OF 1940.		
Name of entity where books and records are kept: IRON MOUNTAIN				
Number and Street 1: 195 SUMMERLEA RD		Number and Street 2:		
City:	State:	Country:	ZIP+4/Postal Code:	
BRAMPTON		Canada	L6T 4P6	
If this address is a private residence, check this box: $\ \square$				
Telephone Number: 18008994766	Facsimile number, if any	y:		
This is (check one):  O one of your branch offices or affiliates.				
a third-party unaffiliated recordkeeper.				
O other.				
Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE MAINTAINED IN ACC	CORDANCE WITH CANADIAN LAWS A	IND REGULATIONS.		
Name of entity where books and records are kept: IRON MOUNTAIN INFORMATION MANAGEMENT, INC.				
Number and Street 1: 12958 MIDWAY PLACE		Number and Street 2:		

Country:

ZIP+4/Postal Code:

State:

Facsimile number, if any:

Telephone Number:

City:

CERRITOS	California	United States	90703	
If this address is a private residence, check this box: $\ \square$				
Telephone Number: 562 345 6900	Facsimile number, if any:			
This is (check one):  one of your branch offices or affiliates.				
o a third-party unaffiliated recordkeeper.				
o other.				
Briefly describe the books and records kept at this location.  CERTAIN BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMP	PLIANCE WITH APPROPRIATE F	REGULATORY REQUIREME	NTS.	
Name of entity where books and records are kept: IRON MOUNTAIN INDIA PVT LTD				
Number and Street 1: B-13B-15B PANDURANG BUDHKAR MARG, 1ST FL			Number and Street 2:	
City: MUMBAI	Stat	e:	Country: India	ZIP+4/Postal Code: 400 013
If this address is a private residence, check this box: $\ \square$				
Telephone Number: 91 22 24988416	Facs	simile number, if any:		
This is (check one):  one of your branch offices or affiliates.				
O other.				
Briefly describe the books and records kept at this location. CERTAIN BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMP	PLIANCE WITH APPROPRIATE F	REGULATORY REQUIREME	NTS.	
Name of entity where books and records are kept: IRON MOUNTAIN (DEUTSCHLAND) SERVICE GMBH				
Number and Street 1: HUGO-JUNKERS-STRASSE 4		Number and Street 2	<b>:</b> :	
City: FURSTENFELDBRUCK	State:	Country: Germany	ZIP+4/Postal 82256	Code:
If this address is a private residence, check this box: $\ \square$				
Telephone Number: 49 8141 527860	Facsimile number, if a	any:		
This is (check one):  one of your branch offices or affiliates.				
o a third-party unaffiliated recordkeeper.				
O other.				
Briefly describe the books and records kept at this location.  CERTAIN BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMP	PLIANCE WITH APPROPRIATE F	REGULATORY REQUIREME	NTS.	

Name of entity where books and records are kept:

MITSUI SOKO BUSINESS PARTNERS

Number and Street 1:			Number and Str	reet 2:	
5-1-1, OMAGARIKOGYODANCHI, KITAHIROSHIMA SHI		State:	Country	ZIP+4/Postal Code:	
City: HOKKAIDO		State.	Country: Japan	061-1274	
If this address is a private residence, check this box: $\Box$					
Геlephone Number: 31 11 376 2801		Facsimile number, if any:	:		
This is (check one): $oldsymbol{\mathbb{C}}$ one of your branch offices or affiliates.					
a third-party unaffiliated recordkeeper.					
other.					
Briefly describe the books and records kept at this location. CERTAIN BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPL	IANCE WITH APPROPRIAT	E REGULATORY REQUIREM	IENTS.		
Name of entity where books and records are kept: CROWN WORLDWIDE KOREA					
Number and Street 1:		Number and S	Street 2:		
2201 GWANGHWAMOON OFFICIA 163 City:	State:	Country:		ZIP+4/Postal Code:	
SEOUL SEOUL	State.	Korea, South		110-999	
If this address is a private residence, check this box: $\ \square$					
Telephone Number: 32 2 796 5717	Facsimile num	ber, if any:			
This is (check one): $oldsymbol{\mathbb{O}}$ one of your branch offices or affiliates.					
o a third-party unaffiliated recordkeeper.					
$_{ m C}$ other.					
Briefly describe the books and records kept at this location. CERTAIN BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPL	IANCE WITH APPROPRIAT	E REGULATORY REQUIREM	IENTS.		
Name of entity where books and records are kept: PAGEFREEZER SOFTWARE INC.					
Number and Street 1: 311 WATER STREET		Number and Street	: 2:		
City:	State:	Country:	ZIP+4/Po	ostal Code:	
VANCOUVER		Canada	V6B 1B8		
f this address is a private residence, check this box: $\ \square$					
Telephone Number: 18889163999	Facsimile number,	if any:			
This is (check one): one of your branch offices or affiliates.					
a third-party unaffiliated recordkeeper.					
other.					

Briefly describe the books and records kept at this location.

MARKETING MATERIALS WEB PAGES

Name of entity where books and records are kept: CROWN WORLDWIDE (SG) LTD.					
Number and Street 1: 36 PIONEER ROAD		Number and Stree	et 2:		
City: SINGAPORE	State:	Country: Singapore		P+4/Postal Code: 28504	
If this address is a private residence, check this box: $\ \square$					
Telephone Number: 65 6861 6818	Facsimile numb	per, if any:			
This is (check one):  one of your branch offices or affiliates.					
a third-party unaffiliated recordkeeper.					
O other.					
Briefly describe the books and records kept at this location BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIAN		ADVISERS ACT OF 1940.			
Name of entity where books and records are kept: IRON MOUNTAIN DO BRASIL LTDA.					
Number and Street 1: AV PREFEITO JOÃO VILALLOBO QUERO, 1200			Number and Stre	eet 2:	
City: BARUERI- SÃO PAULO		State:	Country: Brazil	ZIP+4/Postal Code: 06400-001	
If this address is a private residence, check this box: $\ \square$					
Telephone Number: 55 11 37670818		Facsimile number, if any:			
This is (check one):  one of your branch offices or affiliates.					
o a third-party unaffiliated recordkeeper.					
O other.					
Briefly describe the books and records kept at this location BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIAN		ADVISERS ACT OF 1940.			
Name of entity where books and records are kept: IRON MOUNTAIN AUSTRALIA GROUP PTY LTD					
Number and Street 1: 465 PLUMMER STREET PORT		Number and Stre	eet 2:		
City: MELBOURNE	State:	Country: Australia	ZIF 320	P+4/Postal Code: 07	
If this address is a private residence, check this box: $\ \square$					
Telephone Number: 61 1300 476668	Facsimile num	ober, if any:			
This is (check one):  one of your branch offices or affiliates.					

• a third-party unaffiliated recordkeeper.

O other.			
Briefly describe the books and records kept at this location.  CERTAIN BOOKS AND RECORDS REQUIRED TO BE KEPT IN CO	OMPLIANCE WITH APPROPRIATE	REGULATORY REQUIREMENTS.	
Name of entity where books and records are kept: IRON MOUNTAIN LTD			
Number and Street 1: 19826 RUSSELL ROAD		Number and Street 2:	
City: KENT	State: Washington	Country: United States	ZIP+4/Postal Code: 98032
If this address is a private residence, check this box:			
Telephone Number: 800 899 4766	Facsimile number, if any:		
This is (check one):  one of your branch offices or affiliates.			
<ul><li>a third-party unaffiliated recordkeeper.</li><li>o other.</li></ul>			
Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANC	E WITH THE INVESTMENT ADVIS	ERS ACT OF 1940.	
Name of entity where books and records are kept: IRON MOUNTAIN LTD			
Number and Street 1: 5443 S. 108TH E AVE		Number and Street 2:	
	State: Oklahoma	Number and Street 2:  Country: United States	ZIP+4/Postal Code: 74146
5443 S. 108TH E AVE City:		Country:	
5443 S. 108TH E AVE City: TULSA		Country:	
5443 S. 108TH E AVE City: TULSA  If this address is a private residence, check this box:  Telephone Number:	Oklahoma	Country:	
5443 S. 108TH E AVE City: TULSA  If this address is a private residence, check this box:  Telephone Number: 918 280 0841  This is (check one):	Oklahoma	Country:	
5443 S. 108TH E AVE  City: TULSA  If this address is a private residence, check this box: □  Telephone Number: 918 280 0841  This is (check one):     one of your branch offices or affiliates.     a third-party unaffiliated recordkeeper.	Oklahoma  Facsimile number, if any:	Country: United States	
Telephone Number: 918 280 0841  This is (check one): one of your branch offices or affiliates. o a third-party unaffiliated recordkeeper. other.  Telephone Number: 918 280 0841  This is (check one): one of your branch offices or affiliates. other.	Oklahoma  Facsimile number, if any:	Country: United States	
City: TULSA  If this address is a private residence, check this box:  Telephone Number: 918 280 0841  This is (check one): one of your branch offices or affiliates. o a third-party unaffiliated recordkeeper. other.  Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE  Name of entity where books and records are kept: IRON MOUNTAIN LTD  Number and Street 1:	Oklahoma  Facsimile number, if any:	Country: United States	
City: TULSA  If this address is a private residence, check this box:  Telephone Number: 918 280 0841  This is (check one): one of your branch offices or affiliates. one of third-party unaffiliated recordkeeper. other.  Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE  Name of entity where books and records are kept: IRON MOUNTAIN LTD  Number and Street 1: 8150 SIGNAL CT.	Oklahoma  Facsimile number, if any:  EE WITH THE INVESTMENT ADVIS	Country: United States  ERS ACT OF 1940.  Number and Street 2:	74146
City: TULSA  If this address is a private residence, check this box:  Telephone Number: 918 280 0841  This is (check one): one of your branch offices or affiliates. o a third-party unaffiliated recordkeeper. other.  Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE  Name of entity where books and records are kept: IRON MOUNTAIN LTD  Number and Street 1:	Oklahoma  Facsimile number, if any:	Country: United States	
City: TULSA  If this address is a private residence, check this box:  Telephone Number: 918 280 0841  This is (check one): one of your branch offices or affiliates. of a third-party unaffiliated recordkeeper. other.  Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE  Name of entity where books and records are kept: IRON MOUNTAIN LTD  Number and Street 1: 8150 SIGNAL CT. City:	Oklahoma  Facsimile number, if any:  E WITH THE INVESTMENT ADVIS  State:	Country: United States  ERS ACT OF 1940.  Number and Street 2: Country:	74146  ZIP+4/Postal Code:

833 630 7484

This is (check one):				
one of your branch offices or affiliates.				
o a third-party unaffiliated recordkeeper.				
O other.				
Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE	WITH THE INVESTMENT ADV	VISERS ACT OF 1940.		
Name of entity where books and records are kept: IRON MOUNTAIN LTD				
Number and Street 1: 6933 PRESTON AVE.		Number and Street 2:		
City:	State:	Country:	ZIP+4/Postal Code:	
LIVERMORE	California	United States	94551	
If this address is a private residence, check this box: $\ \square$				
Telephone Number: 800 899 4766	Facsimile number, if any:			
This is (check one):  O one of your branch offices or affiliates.				
a third-party unaffiliated recordkeeper.				
O other.				
Briefly describe the books and records kept at this location.  BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE  Name of entity where books and records are kept:	WITH THE INVESTMENT ADV	VISERS ACT OF 1940.		
IRON MOUNTAIN LTD				
Number and Street 1: 600 DISTRIBUTION DRIVE		Number and Street 2:		
City: ATLANTA	State: Georgia	Country: United States	ZIP+4/Postal Code: 30336	
ATLANTA	Georgia	United States	30330	
If this address is a private residence, check this box: $\ \square$				
Telephone Number: 800 899 4766	Facsimile number, if any	y:		
This is (check one):  O one of your branch offices or affiliates.				
a third-party unaffiliated recordkeeper.				
O other.				
Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE	WITH THE INVESTMENT ADV	VISERS ACT OF 1940.		
Name of entity where books and records are kept: IRON MOUNTAIN NEDERLAND B.V.				
Number and Street 1:		Number and Street 2:		
J. KEPLERWEG 2				
City: ALPHEN AAN DEN RIJN	State:	Country: Netherlands	ZIP+4/Postal Code: 2408 AC	

If this address is a private residence, check this box: $\ \square$				
Telephone Number: 317 204 60070	Facsimile number, if a	ny:		
This is (check one):  one of your branch offices or affiliates.				
o a third-party unaffiliated recordkeeper.				
O other.				
Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE W	VITH THE INVESTMENT ADVIS	SERS ACT OF 1940.		
Name of entity where books and records are kept: IRON MOUNTAIN MEXICO S DE RL DE CV				
Number and Street 1: PARQUE INDUSTRIAL TOLUCA 2000		Number and Stree	t 2:	
City: TOLUCA	State:	Country: Mexico	ZIP+4/Postal Code:	
TOLUCA		Mexico	50200	
If this address is a private residence, check this box: $\ \square$				
Telephone Number: 800 5526246	Facsimile numl	per, if any:		
This is (check one):				
one of your branch offices or affiliates.				
a third-party unaffiliated recordkeeper.				
O other.				
Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE W	VITH THE INVESTMENT ADVIS	SERS ACT OF 1940.		
Name of entity where books and records are kept: IRON MOUNTAIN LTD				
Number and Street 1: 11333 E. 53RD AVE		Number and Street 2:		
City: DENVER	State: Colorado	Country: United States	ZIP+4/Postal Code: 80239	
If this address is a private residence, check this box: $\ \square$				
Telephone Number: 800 934 3453	Facsimile number, if any:			
This is (check one):  O one of your branch offices or affiliates.				
a third-party unaffiliated recordkeeper.				
o other.				
Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE W	VITH THE INVESTMENT ADVIS	SERS ACT OF 1940.		
Name of entity where books and records are kept: IRON MOUNTAIN LTD				

100 HARBOR DRIVE			
City: JERSEY CITY	State: New Jersey	Country: United States	ZIP+4/Postal Code: 07305
If this address is a private residence, check this box: $\ \square$			
Telephone Number: 800 934 3453	Facsimile number, if any:		
This is (check one):  one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE	WITH THE INVESTMENT ADVI	SERS ACT OF 1940.	
Name of entity where books and records are kept: IRON MOUNTAIN LTD			
Number and Street 1: 6935 FLANDERS DRIVE		Number and Street 2:	
City:	State:	Country:	ZIP+4/Postal Code:
SAN DIEGO	California	United States	92121
If this address is a private residence, check this box: $\ \square$			
Telephone Number: 800 899 4766	Facsimile number, if any:		
This is (check one):  O one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
$_{ m C}$ other.			
Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE	WITH THE INVESTMENT ADVI	SERS ACT OF 1940.	
Name of entity where books and records are kept: IRON MOUNTAIN INTELLECTUAL PROPERTY MGMT			
Number and Street 1: 6111 LIVE OAK PARKWAY		Number and Street 2:	
City: NORCROSS	State: Georgia	Country: United States	ZIP+4/Postal Code: 30093
If this address is a private residence, check this box: $\ \square$			
Telephone Number: 770 239 9200	Facsimile number, if any:		
This is (check one):  O one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
o other.			
Briefly describe the books and records kept at this location.	DDDANCE WITH LOCAL LAVACE A	ND DECLII ATIONS	

Number and Street 2:

Number and Street 1:

Name of entity where books and records are kept: CROWN WORLDWIDE (HK) LTD.			
Number and Street 1:  1 LEUNG YIP STREET		Number and Street 2:	
City: HONG KONG	State:	Country: China	ZIP+4/Postal Code:
If this address is a private residence, check this box: $\ \square$			
Telephone Number: 852 2636 8388	Facsimile numb	er, if any:	
This is (check one):  O one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at this location. BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE WI	TH THE INVESTMENT A	ADVISERS ACT OF 1940.	
Name of entity where books and records are kept: RED OAK SYSTEM			
Number and Street 1: 1101 ARROW POINT DR		Number and Street 2:	
City: CEDAR PARK	State: Texas	Country: United States	ZIP+4/Postal Code: 78613
CEDAR PARK	Texas	United States	70013
If this address is a private residence, check this box: $\ \square$			
Telephone Number: 15126961432	Facsimile number, if 15128427497	any:	
This is (check one):  O one of your branch offices or affiliates.			
o a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at this location.  MARKETING MATERIALS REVIEW AND APPROVAL FOR PUBLICATION	NO		
Name of entity where books and records are kept: CROWN WORLDWIDE PTE LTD			
Number and Street 1: MALLARDS ROAD		Number and Street 2:	
ž		Country:	ZIP+4/Postal Code:
PETERBOROUGH		United Kingdom	PE3 8YN
If this address is a private residence, check this box: $\ \square$			
Telephone Number: 020 7510 9892	Facsimile number, if ar	ny:	
This is (check one):  one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
O other.			

ESTION 1.M. Registration with Foreign Financial Regulatory Authorities  Use I am any and comity (** in English of each division disease) registered products and the state of County (Foreign Financial Regulatory Authority)  Name of County (Foreign Financial Regulatory Authority)  Tomas Securities and batharings state of ordina  Others  Tomas Securities and batharings state of ordina  Tomas Securities and batharings state of ordina  Others  Tomas Securities and batharings state of ordina  Tomas Securities and batharings state of ordina  Tomas Securities and batharings state of ordina  Tomas Securities and batharings state of ordina state ordina st				
Notes of Country/rowage Attendal Regulatory Authority: Intel® SEC Registration/Reporting  Responses to this item help us (cro you) determine whether you are eligible to register with the SEC Complete this hern 2.A. only if you are explaining to SEC registration or submitting or convergence to this item help us (cro you) determine whether you are eligible to register with the SEC Complete this hern 2.A. only if you are explaining to SEC registration or submitting or convergence to the item help us (cro you) determine whether you are eligible to register with the SEC Complete this hern 2.A. only if you are explaining to submitting or convergence to the item help us (cro you) determine whether you are eligible to register with the SEC check item 2.A. (13), fant 1.A. instruction 2 crowless information to help you determine whether you may affirmatively respond to count of hermal forms.  A. To register for remain registered with the SEC check item 2.A. (13), fant 1.A. instruction 2 crowless information to help you determine whether you may affirmatively respond to count of hermal forms.  A. To register the remains a convergence of the SEC check item 2.A. (13), fant 1.A. instruction 2 crowless information to help you determine whether you may affirmatively respond to count of hermal forms.  A. To register the convergence of the second of the se	SEC	TION	J 1.M	I. Registration with Foreign Financial Regulatory Authorities
Control Securities and Exchange Board of India  Other  Teen 2 SCC Registration/Reporting  Responses in this Term being in (and you), discreming whether you are cligible in register with the SPC, Complete the Licen 2 A, poly if you are supplying for SPC registration or waters ling an aremany partners and to your SPC registration (and you are no longer elligible to register with the SPC, Conf. International Temporary (and you where make).  A to replace for render requires provides in the SPC, Section 2 A (13), fact 1 is instruction a provided into major to help you deview make a ready to seach of these laws.  You (the individual):  (i) are a large advisory firm that other:  (ii) are a given by a sequence of the section of 300 million (in U.S. datars) or more or  (iii) the registration years under management of 300 million (in U.S. datars) or more or  (iii) are a given by a sequence of the registration of 300 million (in U.S. datars) or more or  (iii) not registrately seaded under management of 300 million (in U.S. datars) or more or  (iii) not registrately seaded under management of 300 million (in U.S. datars) or more or  (iii) not suggested to experiment do search services with the section of this pile in ording its most recent aremat spatially are majoritated with the SPC.  (iv) not suggested to experiment do search services with the section of this pile in ording its most recent aremat spatially and you are either (iv) not suggested to experiment and as registrated with the section of this continue pour merced published and section of the				
term 2 SEC Registration/Reporting  Responses to this term help us find you) determine whether you are eligible to register with the SEC Complete this term. 2.A dry if you are applying for SEC registration or submitting an annex your processor to the term help us find you'der polysor and a commentation of term of should be provided for the pilling adviser only.  A To register for immain registered with this SEC, you must check at least one of the terms 2.A (1) through 2.A (12), below. If you are associated an annex underlying adviser only.  A To register for immain registered with this SEC, you must check at least one of the terms 2.A (1) through 2.A (12), below. If you are associated an annex underlying adviser only.  A To register for immain registered with this SEC through 1.A (12), below. If you are associated an annex underlying adviser only.  A To register for immain registered with this SEC through 1.A (12), below. If you are associated an annex under the stems.  You (this advisor):  (a) It is requisitory associated an annex prement of \$100 million (in U.5. deliase) or more. In  (b) has requisitory associated an annex employment of \$20 million (in U.5. deliase) or more. In  (c) are an immainded with the through associated with the SEC.  (d) through 2.A (12) and a subject to examination by the safe association and pleas of teachers are  (d) in all registered in the registered and in the other vacables within your procedule office and pleas of teachers are  (d) in all subject to examination by the safe association and pleas of teachers are all pleas of teachers and pleas of teachers are all pleas of teachers and pleas of teachers are all pleas of teachers.  (d) have your preferred adviser of a company which has alleged to be a business development company oursuant to section \$2 of the Investment Company Act of 1940  are an investment adviser to a company which has alleged to be a business development company oursuant to section \$2 of the Investment Company with the Section and you have at least \$2.0 of Sche	Naı	ne o	f Cou	untry/Foreign Financial Regulatory Authority:
tem 2 SEC Registration/Reporting  (Responses to this time help us Sero you') determine whether you are aligned to register with the Set. Complete this item 2.A. only if you are applying for Set registration or summitting an anabel updated generated to your. SET registeration, if you are filing an unweeter registration in item 2 should be provided for the filing an anabel updating version only.  A Tai register (in normal registration) with the SEC, you must idea at least one of the Temps 2.A. (13), from 1.A. Instruction 2 provides information to help you determine whether you may altitimatively respond to each at these filens.  You the advast):  (I) It is regulately assets under management of STO million (in U.S. collars) or more or (in) has regulately assets under management of STO million (in U.S. collars) or more at the time of it ling is most recent annual updating amendment and is registered with the SEC:  (I) It is regulately assets under management of STO million (in U.S. collars) or more at the time of it ling is most recent annual updating amendment and is registered with the SEC:  (I) It is regulately assets under management of STO million (in U.S. collars) or more but less than STO million th U.S. collars) and you are either:  (I) It is regulately assets under management of STO million (in U.S. collars) or more but less than STO million th U.S. collars) and you are either:  (I) It is registered as an advatory time that is registered as an advatory time shallow whether where you manifest in the U.S. collars) and you are either:  (I) It is registered to the registered as an advatory of the shallow whether where you manifest in the U.S. collars) and you are either:  (I) It is registered to inscribe a proper of collars as underwised in registered whether the accomplished place of invalidation in your properties of invalidation in the U.S. collars) and you have a collars of invalidation in your properties to exceed the shall be registered with the SEC and your properties of the shallow of the place of the	Ind	lia -	Secur	rities and Exchange Board of India
Responses to this time neby us (and you) electromic electricity as an eligibit to register with the ETC. Competite this first 3.A. may be a provided for the billing and electromic registerion. If you are filing an electroder of the provided for the billing advices only application of the provided for the billing advices only application and you are no langer eligible to register with the STC, check term 2.A. (1) through 3.A. (1) provides information to help you determine whether you may afterwardedly response to each of these terms.  **You the adviser**    **Other actual to the stress**   **Other actual to the provided for the stress**   **Other actual to the provided for the stress**   **Other actual to the provided for the stress**   **Other actual to the stress**   **Other actua	Oth	ner:		
Responses to this time neby us (and you) electromic electricity as an eligibit to register with the ETC. Competite this first 3.A. may be a provided for the billing and electromic registerion. If you are filing an electroder of the provided for the billing advices only application of the provided for the billing advices only application and you are no langer eligible to register with the STC, check term 2.A. (1) through 3.A. (1) provides information to help you determine whether you may afterwardedly response to each of these terms.  **You the adviser**    **Other actual to the stress**   **Other actual to the provided for the stress**   **Other actual to the provided for the stress**   **Other actual to the provided for the stress**   **Other actual to the stress**   **Other actua				
Labeling amendment to your SEX registration if You are filling in undersital registration. The information in Item 2 should be provided for the filling advisor only.  A. To registrater (or men's registered) with the SEC, you must check at least one in the Items 2.A. (1) through 2.A. (12), below. It you are submitting an annual updating amendment to your SEC registration and you are no image diliption for register with the SEC, check 16th 2.A. (13). Part 14 instruction 2 provides information to body you determine whether you may affirmationly respond to cach of these times.  When the control of the cont				
registration and you are no longer eligible to register with the SEC, check from 2 A. (13). Part 1A Instruction 3 provides information to help you determine whether you may affirmatively respond to each of these items.  You (the advisor):  (1) are a large advisory firm that either:  (a) has regulatory assets under management of \$100 million (in U.S. dollars) or more: or  (b) has regulatory assets under management of \$90 million (in U.S. dollars) or more at the time of filing its most recent amoul optating amendment and is registered with the SEC;  (a) not required to be registered as an advisor with the state securities authority of the state where you maintain your principal office and place of business: or  (b) not subject to examination by the state securities authority of the state where you maintain your principal office and place of business:  (c) not subject to examination by the state securities authority of the state where you maintain your principal office and place of business:  (c) not subject to examination by the state securities authority of the state where you maintain your principal office and place of business:  (d) have your principal office and place of business outside the United States:  (d) have your principal office and place of business outside the United States:  (e) are an investment advisor to a company which has elected to be a business development company pursuant to section 54 of the investment Company Act of 1940; are an investment advisor to a company which has elected to be a business development company pursuant to section 54 of the investment Company Act of 1940 and has not writted with the oction, and you have at least 542 million of regulatory assets under management;  (f) are a presion consultant with respect to assets of plans having an aggregate value of at least 320,000,000 that qualifies for the exemption in rule 203A-2(a):  (g) are a related advisor under rule 203A-2(b) that confrois, is controlled by, or is under common control with, an investment advisor in the Exci				
(a) has regulatory assets under management of \$100 million (in U.S. dollars) or more or (b) has regulatory assets under management of \$90 million (in U.S. dollars) or more at the time of filling its most recent annual updating amendment and is registered with the SEC:  (2) are a mid-steed advisory time that has regulatory assets under management of \$20 million (in U.S. dollars) or more but less than \$100 million (in U.S. dollars) and you are either (a) not required to be registered as an advisor with the state securities authority of the state where you maintain your principal office and place of business or (b) not subject to examination by the state securities authority of the state where you maintain your principal office and place of business.  Click HERE for a list of states in which an investment advisor, if registered, would not be subject to examination by the state securities authority.  (3) Reserved  (4) have your principal office and place of business outside the United States;  (5) are an investment advisor (or subadvisor) to an investment company registered under the Investment Company Act of 1940.  (6) are an investment advisor to a company which has elected to be a business development company pursuant to section 54 of the Investment Company Act of 1940 and has not withdrawn the election, and you have at least \$25 million of regulatory essets under management:  (7) are a persion consultant with respect to assets of plans having an aggregate value of at least \$200,000,000 that qualifies for the exemption in rule 203A-2(n); or an expect to be same as the registered advisor.  (8) are an advisor relying on rule 203A-2(b) of Schedule 0.  (9) are an advisor relying on rule 203A-2(c) because you expect to be eligible for SEC registration within 120 days;  If you check this box, complete Section 2.A (10) of Schedule 0.  (10) are a milli-state advisor that is required to register in 15 or more states and is relying on rule 203A-2(d);  If you check this box, complete Section 2.A (20) of Schedule 0.  (12) h	Α.	regi to e	strat ach d	ion and you are no longer eligible to register with the SEC, check Item 2.A.(13). Part 1A Instruction 2 provides information to help you determine whether you may affirmatively respond of these items.
(b) bus regulatory assets under management of \$90 million (in U.5. dollars) or more at the time of filing its most recent annual updating amendment and is registered with the SEC;  are a mid-sized advisory firm that has regulatory assets under management of \$25 million (in U.5. dollars) or more but less than \$100 million (in U.5. dollars) and you are either:  (a) not required to be registered as an advisor with the state securities authority of the state where you maintain your principal office and place of business, or  (b) not subject to examination by the state securities authority of the state where you maintain your principal office and place of business.  (c) Reserved  (d) have your principal office and place of business outside the United States;  (e) are an investment advisor (or subadvisor) to an investment company registered under the Investment Company Act of 1940;  (e) are an investment advisor to a company which has elected to be a business development company pursuant to section \$4 of the Investment Company Act of 1940 and has not withdrawn the election, and you have at least \$25 million of regulatory assets under management;  (f) are a pension consultant with respect to assets of plans having an aggregate value of at least \$200,000,000 that qualifies for the exemption in rule 203A-2(a);  (g) are a related advisor under rule 203A-2(b) that controls is confrolled by, or is under common control with, an investment advisor that is registered with the SEC, and your principal office and place of business is the same as the registered advisor;  If you check this box, complete Section 2.A. (ii) of Schedule D.  (10) are a multi-state advisor that is required to registor in 1s or more states and is relying on rule 203A-2(b);  If you check this box, complete Section 2.A. (iii) of Schedule D.  (11) are an Internet advisor relying on rule 203A-2(e);  (12) have received an SEC order exempting you from the prohibition against registration with the SEC;  If you check this box, complete Section 2.A. (iii) of Sche		V	(1)	are a large advisory firm that either:
<ul> <li>(2) are a mid-sized advisory firm that has regulatory assets under management of \$25 million (in U.S. deliars) or more but less than \$100 million (in U.S. deliars) and you are either: <ul> <li>(a) not required to be registered as an adviser with the state securities authority of the state where you maintain your principal office and place of business; or</li> <li>(b) not subject to examination by the states securities authority of the state where you maintain your principal office and place of business;</li> <li>(CIRK HERE for a list of states in which an investment advisor, if registered, would not be subject to examination by the state securities authority.</li> </ul> </li> <li>(3) Reserved <ul> <li>(4) have your principal office and place of business outside the United States.</li> <li>(5) are an investment advisor for subadvisor) to an investment company registered under the investment Company Act of 1940:</li> <li>(6) are an investment advisor to a company which has elected to be a business development company pursuant to section 54 of the Investment Company Act of 1940 and has not withdrawn the election, and you have at least \$25 million of regulatory assets under management;</li> <li>(7) are a pension consultant with respect to assets of plans having an aggregate value of at least \$200,000,000 that qualifies for the exemption in rule 203A-2(a):</li> <li>(8) are a related advisor under rule 203A-2(b) that controls, is controlled by, or is under common control with, an investment advisor that is registered with the SEC, and your principal office and place of business is the same as the registered advisor;  If you check this box, complete Section 2.A. (8) of Schedule D.</li> <li>(10) are an internet advisor relying on rule 203A-2(c) because you expect to be eligible for SEC registration within 120 days;  If you check this box, complete Section 2.A. (7) of Schedule D.</li> <li>(11) are an internet advisor relying on rule 203A-2(c) because you expect to be eligible to remain registered with the SEC.</li></ul></li></ul>				(a) has regulatory assets under management of \$100 million (in U.S. dollars) or more; or
<ul> <li>(a) not required to be registered as an advisor with the state securities authority of the state where you maintain your principal office and place of business: or</li> <li>(b) not subject to examination by the state securities authority of the state where you maintain your principal office and place of business:  Click HERE for a list of states in which an investment adviser, if registered, would not be subject to examination by the state securities authority.</li> <li>(3) Reserved</li> <li>(4) have your principal office and place of business outside the United States;</li> <li>(5) are an investment adviser (or subadviser) to an investment company registered under the investment Company Act of 1940.</li> <li>(6) are an investment adviser to a company which has elected to be a business development company pursuant to section 54 of the Investment Company Act of 1940 and has not withdrawn the election, and you have at least \$25 million of regulatory assets under management:</li> <li>(7) are a pension consultant with respect to assets of plans having an aggregate value of at least \$200,000,000 that qualifies for the exemption in rule 203A-2(a):</li> <li>(8) are a related adviser under rule 203A-2(b) that controls, is controlled by, or is under common control with, an investment adviser that is registered with the SEC, and your principal of the properties of business is to same as the registered adviser.  If you check this box, complete Section 2.A. (0) of Schedule D.</li> <li>(10) are a multi-state adviser that is required to register in 15 or more states and is relying on rule 203A-2(d):  If you check this box, complete Section 2.A. (10) of Schedule D.</li> <li>(11) are an internet adviser relying on rule 203A-2(c):  10 are an internet adviser relying on rule 203A-2(c):  11 are an internet adviser rule in registered with the SEC.  12 have received an SEC order exempting you from the prohibition against registration with the SEC:  13 are no longer eligible to remain registered with the SEC.</li> </ul>				(b) has regulatory assets under management of \$90 million (in U.S. dollars) or more at the time of filing its most recent annual updating amendment and is registered with the SEC;
(b) not subject to examination by the state securities authority of the state where you maintain your principal office and place of business:  Click HERE for a list of states in which an investment adviser, it registered, would not be subject to examination by the state securities authority.  (a) Reserved  A have your principal office and place of business outside the United States:  (b) are an investment adviser (or subadviser) to an investment company registered under the Investment Company Act of 1940.  (c) are an investment adviser to a company which has elected to be a business development company pursuant to section 54 of the Investment Company Act of 1940 and has not withdrawn the election, and you have at least \$25 million of regulatory assets under management.  (d) are a pension consultant with respect to assets of plans having an aggregate value of at least \$200,000,000 that qualifies for the exemption in rule 203A-2(a).  (e) are a related adviser under rule 203A-2(b) that controls, is controlled by, or is under common control with, an investment adviser that is registered with the SEC, and your principal office and place of business is the same as the registered adviser;  If you check this box, complete Section 2.A. (ii) of Schedule D.  (b) are an adviser relying on rule 203A-2(c) because you expect to be eligible for SEC registration within 120 days;  If you check this box, complete Section 2.A. (iii) of Schedule D.  (ii) are an internet adviser relying on rule 203A-2(e):  (iii) are an internet adviser relying on rule 203A-2(e):  (iii) are an internet adviser place of a schedule D.  (iii) are an internet adviser relying on rule 203A-2(e):  (iii) are no longer eligible to remain registered with the SEC.			(2)	are a mid-sized advisory firm that has regulatory assets under management of \$25 million (in U.S. dollars) or more but less than \$100 million (in U.S. dollars) and you are either:
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<ul> <li>(11) are an Internet adviser relying on rule 203A-2(e);</li> <li>(12) have received an SEC order exempting you from the prohibition against registration with the SEC;</li> <li>If you check this box, complete Section 2.A. (12) of Schedule D.</li> <li>(13) are no longer eligible to remain registered with the SEC.</li> </ul>			(10)	are a multi-state adviser that is required to register in 15 or more states and is relying on rule 203A-2(d);
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If you check this box, complete Section 2.A. (12) of Schedule D.  (13) are <b>no longer eligible</b> to remain registered with the SEC.			(11)	are an Internet adviser relying on rule 203A-2(e);
(13) are <b>no longer eligible</b> to remain registered with the SEC.			(12)	have received an SEC order exempting you from the prohibition against registration with the SEC;
				If you check this box, complete Section 2.A.(12) of Schedule D.
State Securities Authority Notice Filings and State Reporting by Exempt Reporting Advisers			(13)	are <b>no longer eligible</b> to remain registered with the SEC.
	Sta	te S	ecuri	ties Authority Notice Filings and State Reporting by Exempt Reporting Advisers

Briefly describe the books and records kept at this location.

BOOKS AND RECORDS REQUIRED TO BE KEPT IN COMPLIANCE WITH THE INVESTMENT ADVISERS ACT OF 1940.

C. Under state laws, SEC-registered advisers may be required to provide to state securities authorities a copy of the Form ADV and any amendments they file with the SEC. These are called notice filings. In addition, exempt reporting advisers may be required to provide state securities authorities with a copy of reports and any amendments they file with the SEC. If this is an initial application or report, check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to direct your notice filings or reports to additional state(s), check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to your registration to stop your notice filings or reports from going to state(s) that currently receive them, uncheck the box(es) next to those state(s).

	<b>₽</b> AL	<b>☑</b> IL	<b>☑</b> NE	<b>☑</b> SC				
	<b>☑</b> AK	<b>☑</b> IN	<b>₽</b> NV	<b>☑</b> SD				
	<b>☑</b> AZ	<b>☑</b> IA	<b>☑</b> NH	<b>☑</b> TN				
	<b>☑</b> AR	<b>▼</b> KS	<b>☑</b> NJ	<b>▼</b> TX				
	<b>☑</b> CA	<b>☑</b> KY	✓ NM	<b>☑</b> UT				
	<b>☑</b> co	✓ LA	<b>☑</b> NY	▼ VT				
	☑ CT	☑ ME	<b>☑</b> NC	VI VI				
	☑ DE	MD MD	✓ ND	✓ VA				
	☑ DC	₩ MD	✓ OH	₩ VA WA				
			III					
	▼ FL	☑ MI	<b>☑</b> OK	<b>☑</b> w∨				
	<b>☑</b> GA	✓ MN	<b>☑</b> OR	₩ WI				
	□ GU	<b>☑</b> MS	<b>₽</b> PA	₩ WY				
	<b>☑</b> HI	<b>☑</b> MO	<b>☑</b> PR					
	<b>☑</b> ID	<b>☑</b> MT	<b>☑</b> RI					
	the coming year, your amendment must be filed be TION 2.A.(8) Related Adviser		e tnat currently receives them and y	ou do not want to pay that state's notice filing or report filing fee for				
If yo	ou are relying on the exemption in rule 203A-2(b)	from the prohibition on registration becau	use you <i>control</i> , are <i>controlled</i> by, or	are under common control with an investment adviser that is				
	stered with the SEC and your <i>principal office and p</i> see of Registered Investment Adviser	place of business is the same as that of the	registered adviser, provide the fol	lowing information:				
CRD	Number of Registered Investment Adviser							
SEC -	Number of Registered Investment Adviser							
SECT	TON 2.A.(9) Investment Adviser Expecting to I	SECTION 2.A.(9) Investment Adviser Expecting to be Eligible for Commission Registration within 120 Days  If you are relying on rule 203A-2(c), the exemption from the prohibition on registration available to an adviser that expects to be eligible for SEC registration within 120 days, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations. You must make both of those representations:						
If yo	ou are relying on rule 203A-2(c), the exemption fr	rom the prohibition on registration availabl	e to an adviser that expects to be					
If you mak thes	ou are relying on rule 203A-2(c), the exemption free certain representations about your eligibility for e representations:	rom the prohibition on registration availabler SEC registration. By checking the approposite the securities authority	e to an adviser that expects to be oriate boxes, you will be deemed to					
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Jurisdictions

803-

Da	te of <i>order</i> :
l ter	n 3 Form of Organization
lf y	ou are filing an <i>umbrella registration</i> , the information in Item 3 should be provided for the <i>filing adviser</i> only.
A.	How are you organized?
	C Corporation
	O Sole Proprietorship
	C Limited Liability Partnership (LLP)
	O Partnership
	Limited Liability Company (LLC)
	C Limited Partnership (LP)
	Other (specify):
	If you are changing your response to this Item, see Part 1A Instruction 4.
B.	In what month does your fiscal year end each year? DECEMBER
C.	Under the laws of what state or country are you organized?  State Country
	Delaware United States
	If you are a partnership, provide the name of the state or country under whose laws your partnership was formed. If you are a sole proprietor, provide the name of the state or country where you reside.
	If you are changing your response to this Item, see Part 1A Instruction 4.
lter	m 4 Successions
i toi	Yes No
A.	Are you, at the time of this filing, succeeding to the business of a registered investment adviser, including, for example, a change of your structure or legal status (e.g., form of organization or state of incorporation)?
	If "yes", complete Item 4.B. and Section 4 of Schedule D.
B.	Date of Succession: (MM/DD/YYYY)
	If you have already reported this succession on a previous Form ADV filing, do not report the succession again. Instead, check "No." See Part 1A Instruction 4.
SEC	TION 4 Successions
	No Information Filed
l ter	n 5 Information About Your Advisory Business - Employees, Clients, and Compensation
	ponses to this Item help us understand your business, assist us in preparing for on-site examinations, and provide us with data we use when making regulatory policy. Part 1A Instruction 5.a. vides additional guidance to newly formed advisers for completing this Item 5.
En	ployees
	you are organized as a sole proprietorship, include yourself as an employee in your responses to Item 5.A. and Items 5.B.(1), (2), (3), (4), and (5). If an employee performs more than one function, you bould count that employee in each of your responses to Items 5.B.(1), (2), (3), (4), and (5).

A. Approximately how many *employees* do you have? Include full- and part-time *employees* but do not include any clerical workers.

B. (1) Approximately how many of the *employees* reported in 5.A. perform investment advisory functions (including research)?

Approximately how many of the employees reported in 5.A. are registered with one or more state securities authorities as investment adviser representatives?

(2) Approximately how many of the *employees* reported in 5.A. are registered representatives of a broker-dealer?

273

	5
(4	Approximately how many of the <i>employees</i> reported in 5.A. are registered with one or more <i>state securities authorities</i> as <i>investment adviser representatives</i> for an investment adviser other than you?
	5
(5	Approximately how many of the <i>employees</i> reported in 5.A. are licensed agents of an insurance company or agency?
	0
(6	Approximately how many firms or other persons solicit advisory clients on your behalf?
	0
In	your response to Item 5.B.(6), do not count any of your employees and count a firm only once – do not count each of the firm's employees that solicit on your behalf.
lient	S .

#### C

In your responses to Items 5.C. and 5.D. do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship with those investors.

C. (1) To approximately how many clients for whom you do not have regulatory assets under management did you provide investment advisory services during your most recently completed fiscal year?

(2) Approximately what percentage of your clients are non-United States persons?

D. For purposes of this Item 5.D., the category "individuals" includes trusts, estates, and 401(k) plans and IRAs of individuals and their family members, but does not include businesses organized as sole

The category "business development companies" consists of companies that have made an election pursuant to section 54 of the Investment Company Act of 1940. Unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, do not answer (1)(d) or (3)(d) below.

Indicate the approximate number of your clients and amount of your total regulatory assets under management (reported in Item 5.F. below) attributable to each of the following type of client. If you have fewer than 5 clients in a particular category (other than (d), (e), and (f)) you may check Item 5.D.(2) rather than respond to Item 5.D.(1).

The aggregate amount of regulatory assets under management reported in Item 5.F.(2)(c)

If a client fits into more than one category, select one category that most accurately represents the client to avoid double counting clients and assets. If you advise a registered investment company, business development company, or pooled investment vehicle, report those assets in categories (d), (e), and (f) as applicable.

Type of <i>Client</i>	(1) Number of Client(s)	(2) Fewer than 5 Clients	(3) Amount of Regulatory Assets under Management
(a) Individuals (other than high net worth individuals)			\$
(b) High net worth individuals			\$
(c) Banking or thrift institutions			\$
(d) Investment companies	221		\$ 980,781,957,936
(e) Business development companies	1 1		\$ 122,366
(f) Pooled investment vehicles (other than investment companies and business development companies)	8		\$ 1,779,419,219
(g) Pension and profit sharing plans (but not the plan participants or government pension plans)			\$
(h) Charitable organizations			\$
(i) State or municipal government entities (including government pension plans)	1	V	\$ 18,851,856,523
(j) Other investment advisers		V	\$ 307,179,072
(k) Insurance companies	1		\$
(I) Sovereign wealth funds and foreign official institutions			\$
(m) Corporations or other businesses not listed above	1		\$
(n) Other:			\$

# **Compensation Arrangements**

	-						
E.	You are compensated for your investment advisory services by (check all that apply):						
	<b>(</b> 1)	A percentage of assets under your management					
	(2)	Hourly charges					
	<b>(</b> 3)	Subscription fees (for a newsletter or periodical)					
	<b>(</b> 4)	Fixed fees (other than subscription fees)					
	<b>(</b> 5)	Commissions					
	<b>(</b> 6)	Performance-based fees					
	<b>(</b> 7)	Other (specify):					

Item	n 5 Information About Your Advisory Business - Regulatory	Asse	ts Under Management			
Reg	gulatory Assets Under Management					
						Yes No
F.	(1) Do you provide continuous and regular supervisory or m	anage	ement services to securities portfolios?			⊙ ○
	(2) If yes, what is the amount of your regulatory assets und	er ma	anagement and total number of accounts?			
			U.S. Dollar Amount		Total Number of Accounts	
	Discretionary:	(a)	\$ 1,001,720,535,116	(d)	316	
	Non-Discretionary:	(b)	\$ 0	(e)	0	
	Total:	(c)	\$ 1,001,720,535,116	(f)	316	
	Part 1A Instruction 5.b. explains how to calculate your reg	ıulato	ry assets under management. You must follow these ins	tructions	carefully when completing this Item.	
	(3) What is the approximate amount of your total regulatory \$ 1,270,812,244	asse	ts under management (reported in Item 5.F.(2)(c) abo	ove) attr	ibutable to clients who are non-United States persons?	
	\$ 1,270,012,244					
Item	n 5 Information About Your Advisory Business - Advisory A	ctivit	ies			
Adv	visory Activities					
G.	What type(s) of advisory services do you provide? Check all	that a	apply.			
	[ (1) Financial planning services					
	(2) Portfolio management for individuals and/or small					
		as we	ell as "business development companies" that have ma	ade an e	election pursuant to section 54 of the Investment Compa	any Act
	of 1940)  (4) Portfolio management for pooled investment vehic	les (d	other than investment companies)			
			•	red inve	stment companies and other pooled investment vehicle	s)
	(6) Pension consulting services				·	,
	(7) Selection of other advisers (including <i>private fund</i> r	mana	gers)			
	(8) Publication of periodicals or newsletters					
	<ul><li>(9) Security ratings or pricing services</li><li>(10) Market timing services</li></ul>					
	(11) Educational seminars/workshops					
	(12) Other(specify):					
	Do not check Item 5.G.(3) unless you provide advisory service including as a subadviser. If you check Item 5.G.(3), report the	•	· · · · · · · · · · · · · · · · · · ·	•		
H.	If you provide financial planning services, to how many <i>client</i>	ts did	you provide these services during your last fiscal year	?		
	C 0					
	O 1 - 10					
	O 11 - 25					
	C 26 - 50					
	o 51 - 100					
	0 101 - 250					
	C 251 - 500					
	More than 500  If more than 500, how many?					
	(round to the nearest 500)					
	•					
	In your responses to this Item 5.H., do not include as "clients"	the i	nvestors in a private fund you advise, unless you have a	separate	e advisory relationship with those investors.	
						Yes No
1.	(1) Do you participate in a wrap fee program?					0 0
	(2) If you participate in a wrap fee program, what is the amou	ınt of	your regulatory assets under management attributab	le to act	ing as:	
	(a) sponsor to a wrap fee program					
	\$					
	(b) portfolio manager for a wrap fee program?					
	\$		_			
	(c) <i>sponsor</i> to and portfolio manager for the same <i>wrap fe</i>	ee pro	gram?			
	\$					
	If you report an amount in Item 5.1.(2)(c), do not report that a	moun	t in Item 5   (2)(a) or Item 5   (2)(b)			
	ir you report air amount in rem 5.1.(2)(6), do not report that al	iiouii				
	If you are a portfolio manager for a wrap fee program, list the n	ames	of the programs, their sponsors and related information	in Section	on 5.1.(2) of Schedule D.	

	(c) Testimonials (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	0	C	)
	(b) A reference to specific investment advice provided by you (as that phrase is used in rule 206(4)-1(a)(5))?		С	
	(a) Performance results?	0	С	)
	(1) Do any of your advertisements include:	Yes	; INC	O
L.	Marketing Activities	<b>V</b>		_
	If yes, complete Section 5.K.(3) of Schedule D for each custodian.			
	(4) After subtracting the amounts in Item 5.D.(3)(d)-(f) above from your total regulatory assets under management, does any custodian hold ten percent or more of this remaining amount of regulatory assets under management?	•	C	5
	If yes, complete Section 5.K.(2) of Schedule D.		·	2
	(3) Do you engage in derivative transactions on behalf of any of the separately managed account clients that you advise?	0	œ	
	If yes, complete Section 5.K.(2) of Schedule D.		•	9
	If yes, complete Section 5.K.(1) of Schedule D.  (2) Do you engage in borrowing transactions on behalf of any of the separately managed account clients that you advise?	_		_
		•		,
	(1) Do you have regulatory assets under management attributable to <i>clients</i> other than those listed in Item 5.D.(3)(d)-(f) (separately managed account <i>clients</i> )?	Yes ©		
K.	Separately Managed Account Clients			
	(2) Do you report client assets in Item 4.E. of Part 2A that are computed using a different method than the method used to compute your regulatory assets under management?		•	
J.	(1) In response to Item 4.B. of Part 2A of Form ADV, do you indicate that you provide investment advice only with respect to limited types of investments?	Yes		

If you check Item 5.G.(3), what is the SEC file number (811 or 814 number) of each of the registered investment companies and business development companies to which you act as an adviser pursuant to an advisory contract? You must complete a separate Schedule D Section 5.G.(3) for each registered investment company and business development company to which you act as an adviser.

SEC File Number

811 - 02345

Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
S000001476	\$ 482,294,688,936

SEC File Number

811 - 02405

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,956,513,924

SEC File Number

811 - 02661

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 141,856,042

SEC File Number

811 - 02688

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 18,278,031,473

SEC File Number

811 - 02739

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
S000002321	\$ 2,087,741,855

SEC File Number

811 - 03091

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,650,251,708

811 - 03189

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
S000004031	\$ 403,832,278

SEC File Number

811 - 03290

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 13,653,164,145

SEC File Number

811 - 03451

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 12,775,091,009

SEC File Number

811 - 03618

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 8,185,274,384

SEC File Number

811 - 03990

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID Parallel Managed Account Regulatory assets under management

\$ 488,857,844

811 - 04264

Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or business development company that you advice

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 3,510,547,594

## SEC File Number

811 - 04282

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 193,678,512

## SEC File Number

811 - 04375

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 2,653,975,719

### SEC File Number

811 - 04379

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,175,714,240

# SEC File Number

811 - 04612

advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 133,314,493

#### SEC File Number

811 - 04802

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

	Series ID	Parallel Managed Account Regulatory assets under management
		\$ 9,329,098,422

#### SEC File Number

811 - 04878

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 481,703,492

## SEC File Number

811 - 05178

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
S000002243	\$ 21,693,523,167

## SEC File Number

811 - 05542

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 578,132,228

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 27,018,974,224

#### SEC File Number

811 - 05603

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,197,449,455

### SEC File Number

811 - 05611

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 891,578,633

### SEC File Number

811 - 05723

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 4,857,624,389

## SEC File Number

811 - 05742

	Series ID	Parallel Managed Account Regulatory assets under management
		\$ 70,226,112,773
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811 - 06349

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 57,814,252

### SEC File Number

811 - 06414

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 966,468,446

### SEC File Number

811 - 06499

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 345,810,984

# SEC File Number

811 - 06500

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 815,959,952

#### SEC File Number

811 - 06540

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,400,081,142

811 - 06570

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 565,712,263

SEC File Number

811 - 06660

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,653,159,868

SEC File Number

811 - 06669

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Ш		
	Series ID	Parallel Managed Account Regulatory assets under management
		\$ 4,925,388,748

SEC File Number

811 - 06692

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 720,598,378

SEC File Number

811 - 06728

Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or business development company that you advise.

Series ID Parallel Managed Account Regulatory assets under management

\$ 442,644,183		
•		

811 - 07080

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 462,082,629

### SEC File Number

811 - 07136

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 301,600,367

## SEC File Number

811 - 07171

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 495,219,432

### SEC File Number

811 - 07177

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 657,380,431

# SEC File Number

811 - 07354

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Series ID	Parallel Managed Account Regulatory assets under management
	\$ 409,751,451

#### SEC File Number

811 - 07478

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 472,353,244

#### SEC File Number

811 - 07642

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 749,297,865

## SEC File Number

811 - 07885

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 4.610.936.428

## SEC File Number

811 - 07899

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 8,529,848,888

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,266,275,442

#### SEC File Number

811 - 08090

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,039,505,216

### SEC File Number

811 - 08162

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 286,703,586

### SEC File Number

811 - 08217

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 709,843,979

## SEC File Number

811 - 08349

	Series ID	Parallel Managed Account Regulatory assets under management
		\$ 575,950,088
Ш		

811 - 08573

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 902,266,682

SEC File Number

811 - 08621

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

	Series ID	Parallel Managed Account Regulatory assets under management
		\$ 714,582,543

SEC File Number

811 - 09191

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 450,200,060

SEC File Number

811 - 09637

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 10,770,455,778

SEC File Number

811 - 09735

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 2,182,742,388

811 - 09739

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
S000001970	\$ 5,428,654,616

SEC File Number

811 - 10263

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,589,164,495

SEC File Number

811 - 10331

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

	Series ID	Parallel Managed Account Regulatory assets under management
		\$ 498,026,870

SEC File Number

811 - 10337

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 547,158,114

SEC File Number

811 - 10339

Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or business development company that you advise.

Series ID Parallel Managed Account Regulatory assets under management

\$ 931,467,657

SEC File Number 811 - 10543

Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or business development company that you advice

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,456,329,314

### SEC File Number

811 - 21053

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 36,667,084

## SEC File Number

811 - 21126

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,035,094,809

### SEC File Number

811 - 21178

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 551,878,622

### SEC File Number

811 - 21318

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Series ID	Parallel Managed Account Regulatory assets under management
	\$ 2,135,524,775

SEC File Number

811 - 21348

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

	Series ID	Parallel Managed Account Regulatory assets under management
		\$ 896,272,445

SEC File Number

811 - 21349

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,122,287,737

SEC File Number

811 - 21413

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 730,695,227

SEC File Number

811 - 21434

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 22,601,347,462

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
S000011985	\$ 6,519,901,181

#### SEC File Number

811 - 21506

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 987,661,439

### SEC File Number

811 - 21566

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 450,773,343

### SEC File Number

811 - 21624

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 539,980,578

## SEC File Number

811 - 21656

	Series ID	Parallel Managed Account Regulatory assets under management
		\$ 321,783,160
Ш		

811 - 21702

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 647,688,695

SEC File Number

811 - 21729

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 897,419,813

SEC File Number

811 - 21763

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
S000057851	\$ 70,664,848

SEC File Number

811 - 21784

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,929,548,422

SEC File Number

811 - 21793

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 52,798,926

811 - 21835

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 257,282,248

SEC File Number

811 - 22032

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 709,541,952

SEC File Number

811 - 22061

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

	Series ID	Parallel Managed Account Regulatory assets under management
		\$ 26,220,785,648

SEC File Number

811 - 22426

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 2,286,994,816

SEC File Number

811 - 22603

Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or business development company that you advise.

Series ID Parallel Managed Account Regulatory assets under management

\$ 2,646,605,567

811 - 22774

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 1,239,369,302

### SEC File Number

811 - 23218

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 37,085

## SEC File Number

811 - 23285

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 405,898,293

### SEC File Number

811 - 23339

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 107,271,895,414

### SEC File Number

811 - 23340

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Series ID	Parallel Managed Account Regulatory assets under management
	\$ 779,684,126

### SEC File Number

811 - 23341

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

	Series ID	Parallel Managed Account Regulatory assets under management
		\$ 17,466,314,889

#### SEC File Number

811 - 23343

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 2,247,455,620

## SEC File Number

811 - 23345

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
S000062374	\$ 148,678,962

## SEC File Number

811 - 23346

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 3,002,527,796

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management
	\$ 187,795,377
	<u>'</u>

SEC File Number

811 - 23380

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management				
	\$ 420,776,663				

SEC File Number

814 - 00712

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Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

Series ID	Parallel Managed Account Regulatory assets under management		
	\$ 122,366		

### SECTION 5.1.(2) Wrap Fee Programs

No Information Filed

### SECTION 5.K.(1) Separately Managed Accounts

After subtracting the amounts reported in Item 5.D.(3)(d)-(f) from your total regulatory assets under management, indicate the approximate percentage of this remaining amount attributable to each of the following categories of assets. If the remaining amount is at least \$10 billion in regulatory assets under management, complete Question (a). If the remaining amount is less than \$10 billion in regulatory assets under management, complete Question (b).

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise.

End of year refers to the date used to calculate your regulatory assets under management for purposes of your annual updating amendment. Mid-year is the date six months before the end of year date. Each column should add up to 100% and numbers should be rounded to the nearest percent.

Investments in derivatives, registered investment companies, business development companies, and pooled investment vehicles should be reported in those categories. Do not report those investments based on related or underlying portfolio assets. Cash equivalents include bank deposits, certificates of deposit, bankers' acceptances and similar bank instruments.

Some assets could be classified into more than one category or require discretion about which category applies. You may use your own internal methodologies and the conventions of your service providers in determining how to categorize assets, so long as the methodologies or conventions are consistently applied and consistent with information you report internally and to current and prospective clients. However, you should not double count assets, and your responses must be consistent with any instructions or other guidance relating to this Section.

(a)	Asset Type	Mid-year	End of year
	(i) Exchange-Traded Equity Securities	3 %	1 %
	(ii) Non Exchange-Traded Equity Securities	0 %	0 %
	(iii) U.S. Government/Agency Bonds	0 %	0 %
	(iv) U.S. State and Local Bonds	0 %	0 %

(v) Sovereign Bonds	0 %	0 %
(vi) Investment Grade Corporate Bonds	0 %	0 %
(vii) Non-Investment Grade Corporate Bonds	0 %	0 %
(viii) Derivatives	0 %	0 %
(ix) Securities Issued by Registered Investment Companies or Business Development Companies	91 %	79 %
(x) Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	1 %	17 %
(xi) Cash and Cash Equivalents	3 %	2 %
(xii) Other	0 %	0 %

Generally describe any assets included in "Other"

Asset Type	End of year
(i) Exchange-Traded Equity Securities	%
(ii) Non Exchange-Traded Equity Securities	%
(iii) U.S. Government/Agency Bonds	%
(iv) U.S. State and Local Bonds	%
(v) Sovereign Bonds	%
(vi) Investment Grade Corporate Bonds	%
(vii) Non-Investment Grade Corporate Bonds	%
(viii) Derivatives	%
(ix) Securities Issued by Registered Investment Companies or Business Development Companies	%
(x) Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	%
(xi) Cash and Cash Equivalents	%
(xii) Other	%

Generally describe any assets included in "Other"

### SECTION 5.K.(2) Separately Managed Accounts - Use of *Borrowings* and Derivatives

☑ No information is required to be reported in this Section 5.K.(2) per the instructions of this Section 5.K.(2)

If your regulatory assets under management attributable to separately managed accounts are at least \$10 billion, you should complete Question (a). If your regulatory assets under management attributable to separately managed accounts are at least \$500 million but less than \$10 billion, you should complete Question (b).

(a) In the table below, provide the following information regarding the separately managed accounts you advise. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise. End of year refers to the date used to calculate your regulatory assets under management for purposes of your annual updating amendment. Mid-year is the date six months before the end of year date.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any *borrowings* and (b) the *gross notional value* of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of borrowings for the accounts included in column 1.

In column 3, provide aggregate *gross notional value* of derivatives divided by the aggregate regulatory assets under management of the accounts included in column 1 with respect to each category of derivatives specified in 3(a) through (f).

You may, but are not required to, complete the table with respect to any separately managed account with regulatory assets under management of less than \$10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

#### (i) Mid-Year

Exposure	Management	Borrowings	(3) Derivative Exposures					
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative	(d) Equity Derivative	(e) Commodity Derivative	(f) Other Derivative
Less than 10%	\$	\$	%	%	%	%	%	%
10-149%	\$	\$	%	%	%	%	%	%
150% or more	\$	\$	%	%	%	%	%	%

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which borrowings and derivatives are used in the management of the separately managed accounts that you advise.

(ii) End of Year

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings	(3) Derivative Exposures					
		(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative	(d) Equity Derivative	(e) Commodity Derivative	(f) Other Derivative	
Less than 10%	\$	\$	%	%	%	%	%	%
10-149%	\$	\$	%	%	%	%	%	%
150% or more	\$	\$	%	%	%	%	%	%

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

(b) In the table below, provide the following information regarding the separately managed accounts you advise as of the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any borrowings and (b) the gross notional value of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of borrowings for the accounts included in column 1.

You may, but are not required to, complete the table with respect to any separately managed accounts with regulatory assets under management of less than \$10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings	
Less than 10%	\$	\$	
10-149%	\$	\$	
150% or more	\$	\$	

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

## SECTION 5.K.(3) Custodians for Separately Managed Accounts

Complete a separate Schedule D Section 5.	K.(3) for each custodian that holds ten percent	or more of your aggregate separately managed	account regulatory assets under management.
		9 99 9 1 9 9	9 9

- (a) Legal name of custodian:
  - BANK OF NEW YORK MELLON, N.A.
- (b) Primary business name of custodian:
  - BANK OF NEW YORK MELLON, N.A.
- (c) The location(s) of the custodian's office(s) responsible for *custody* of the assets :

City:	State:	Country:
NEW YORK	New York	<b>United States</b>

Yes No

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- (d) Is the custodian a *related person* of your firm?
- (e) If the custodian is a broker-dealer, provide its SEC registration number (if any)

(f) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its *legal entity identifier* (if any)

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  What amount of your regulatory assets under management attributable to separately managed asseupts is held at the custodian?
- (g) What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian? \$ 18,851,856,523

In th	this Item, we request information about your firm's other business activities.					
A.	You are actively engaged in business as a (check all that apply):    (1) broker-dealer (registered or unregistered)   (2) registered representative of a broker-dealer   (3) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)   (4) futures commission merchant   (5) real estate broker, dealer, or agent   (6) insurance broker or agent   (7) bank (including a separately identifiable department or division of a bank)   (8) trust company   (9) registered municipal advisor   (10) registered security-based swap dealer   (11) major security-based swap participant   (12) accountant or accounting firm   (13) lawyer or law firm   (14) other financial product salesperson (specify):					
	If you engage in other business using a name that is different from the names reported in Items 1.A. or 1.B.(1), complete Section 6.A. of Schedule D.					
B.	(1) Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)?	Yes No ○ ⊙				
	(2) If yes, is this other business your primary business?	0 0				
	If "yes," describe this other business on Section 6.B.(2) of Schedule D, and if you engage in this business under a different name, provide that name.					
		Yes No				
	(3) Do you sell products or provide services other than investment advice to your advisory <i>clients</i> ?	0 0				
	If "yes," describe this other business on Section 6.B.(3) of Schedule D, and if you engage in this business under a different name, provide that name.					
SECT	TION 6.A. Names of Your Other Businesses					
	No Information Filed					
Des	STION 6.B.(2) Description of Primary Business Scribe your primary business (not your investment advisory business):  You engage in that business under a different name, provide that name:					
SECT	TION 6.B.(3) Description of Other Products and Services					
Des	scribe other products or services you sell to your client. You may omit products and services that you listed in Section 6.B.(2) above.					
If yo	vou engage in that business under a different name, provide that name:					
Itom	7 Financial Industry Affiliations					
	n 7 Financial Industry Affiliations  this Item, we request information about your financial industry affiliations and activities. This information identifies areas in which conflicts of interest may occur between you	and vour <i>clients</i> .				
	This part of Item 7 requires you to provide information about you and your related persons, including foreign affiliates. Your related persons are all of your advisory affiliates are under common control with you.					
	You have a related person that is a (check all that apply):					
	<ul> <li>(1) broker-dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered)</li> <li>(2) other investment adviser (including financial planners)</li> </ul>					
	(3) registered municipal advisor					
	<ul> <li>(4) registered security-based swap dealer</li> <li>(5) major security-based swap participant</li> </ul>					
	(6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)					
	<ul> <li>□ (7) futures commission merchant</li> <li>□ (8) banking or thrift institution</li> </ul>					
	(9) trust company					
	☐ (10) accountant or accounting firm ☐ (11) lawyer or law firm					
	(12) insurance company or agency					
	(14) real estate broker or dealer					
	(15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles				

Note that Item 7.A. should not be used to disclose that some of your employees perform investment advisory functions or are registered representatives of a broker-dealer. The number of your firm's employees who perform investment advisory functions should be disclosed under Item 5.B.(1). The number of your firm's employees who are registered representatives of a broker-dealer should be disclosed under Item 5.B.(2).

Note that if you are filing an umbrella registration, you should not check Item 7.A.(2) with respect to your relying advisers, and you do not have to complete Section 7.A. in Schedule D for your relying advisers. You should complete a Schedule R for each relying adviser.

For each related person, including foreign affiliates that may not be registered or required to be registered in the United States, complete Section 7.A. of Schedule D.

You do not need to complete Section 7.A. of Schedule D for any related person if: (1) you have no business dealings with the related person in connection with advisory services you provide to your clients; (2) you do not conduct shared operations with the related person; (3) you do not refer clients or business to the related person, and the related person does not refer prospective clients or business to you; (4) you do not share supervised persons or premises with the related person; and (5) you have no reason to believe that your relationship with the related person otherwise creates a conflict of interest with your clients.

	You must complete Section 7.A. of Schedule D for each related person acting as qualified custodian in connection with advisory services you provide to your clients (other than any mutual fund transpent pursuant to rule 206(4)-2(b)(1)), regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.			
EC	ECTION 7.A. Financial Industry Affiliations			
	Complete a separate Schedule D Section 7.A. for each <i>related person</i> listed in Item 7.A.			
JUI	Complete a separate schedule of section 7.A. for each related person listed in Item 7.A.			
1.	<ol> <li>Legal Name of Related Person:</li> <li>BLACKROCK SECONDARIES &amp; LIQUIDITY SOLUTIONS (GENPAR), S.A R.L.</li> </ol>			
2.	2. Primary Business Name of <i>Related Person</i> : BLACKROCK SECONDARIES & LIQUIDITY SOLUTIONS (GENPAR), S.A R.L.			
3.	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	- or			
	Other			
4.	4. Related Person's			
	(a) CRD Number (if any):			
	(b) CIK Number(s) (if any):  No Information Filed			
ο.	<ul> <li>Related Person is: (check all that apply)</li> <li>(a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer</li> <li>(b) □ other investment adviser (including financial planners)</li> <li>(c) □ registered municipal advisor</li> <li>(d) □ registered security-based swap dealer</li> <li>(e) □ major security-based swap participant</li> <li>(f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li> <li>(g) □ futures commission merchant</li> <li>(h) □ banking or thrift institution</li> <li>(i) □ trust company</li> <li>(j) □ accountant or accounting firm</li> <li>(k) □ lawyer or law firm</li> <li>(l) □ insurance company or agency</li> <li>(m) □ pension consultant</li> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>			
<b>5</b> .	6. Do you control or are you controlled by the related person?	Yes No C ⊙		
7.	7. Are you and the <i>related person</i> under common <i>control</i> ?	○ ●		
3.	3. (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide	e to clients?		
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surpris maintained at the <i>related person</i> ?	overcome the presumption that you are not operationally ${f C}$		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for Number and Street 1:	or custody of your clients' assets:		

		City: State:	Country:	ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\square$			Yes N	٥V
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			0	0
	(b)	If the answer is yes, under what exemption?				
10	(a) (b)	Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign finance</i> .	<i>ial regulatory authority</i> with which t No Information Filed	the <i>related person</i> is registered.	0	•
11.	Do y	ou and the related person share any supervised persons?	No information Filed		0	0
12	Do y	ou and the <i>related person</i> share the same physical location?			0	•
1.	_	ll Name of <i>Related Person</i> : CKROCK PRIVATE EQUITY PRIMARIES 2021 (GENPAR) S.À R.L.				
2.		ary Business Name of <i>Related Person</i> : CKROCK PRIVATE EQUITY PRIMARIES 2021 (GENPAR) S.À R.L.				
3.	Rela -	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)				
	or Othe	er -				
4.	Rela (a)	ted Person's CRD Number (if any):				
	(b)	CIK Number(s) (if any):	No Information Filed			
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l)	broker-dealer, municipal securities dealer, or government securities broker other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pools sponsor, general partner, managing member (or equivalent) of pooled investigations.	d or exempt from registration)		Yes N	Νo
6.	Do y	ou control or are you controlled by the related person?			0	•
7.	Are	you and the <i>related person</i> under common <i>control</i> ?			<b>©</b>	0
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connectio			0	
	(b)	If you are registering or registered with the SEC and you have answered "yes," independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus maintained at the <i>related person</i> ?	•		0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the Number and Street 1:  City:  State:	e related person's office responsible  Number and Street 2:  Country:	e for <i>custody</i> of your <i>clients</i> ' assets:  ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\Box$	55 a j.			
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			Yes N	
J.	(a) (b)	If the answer is yes, under what exemption?			0	O
	(-)					

10.	(a) Is the related person registered with a foreign financial regulatory authority?		0	$\odot$
	(b) If the answer is yes, list the name and country, in English of each foreign finance	cial regulatory authority with which the related person is registered.  No Information Filed		
11.	Do you and the related person share any supervised persons?		•	0
12.	Do you and the <i>related person</i> share the same physical location?		0	•
1	Land Name of Deleted Demon			
1.	Legal Name of <i>Related Person</i> :  BLACKROCK PRIVATE EQUITY CO-INVESTMENTS 2021 (GENPAR) S.À.R.L.			
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK PRIVATE EQUITY CO-INVESTMENTS 2021 (GENPAR) S.À.R.L.			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Other			
4.	Related Person's  (a) CRD Number (if any):			
	(b) CIK Number(s) (if any):	No Information Filed		
5.	Related Person is: (check all that apply)  (a) D broker-dealer, municipal securities dealer, or government securities broker	r or dealer		
	(b) ☐ other investment adviser (including financial planners)			
	(c) $\square$ registered municipal advisor			
	(d) $\square$ registered security-based swap dealer			
	(e) major security-based swap participant			
	(f) commodity pool operator or commodity trading advisor (whether registered	d or exempt from registration)		
	(g) futures commission merchant			
	<ul><li>(h) □ banking or thrift institution</li><li>(i) □ trust company</li></ul>			
	<ul><li>(i) ☐ trust company</li><li>(j) ☐ accountant or accounting firm</li></ul>			
	(k) lawyer or law firm			
	(I) insurance company or agency			
	(m) pension consultant			
	(n) $\square$ real estate broker or dealer			
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding poo			
	(p) sponsor, general partner, managing member (or equivalent) of pooled inve	estment vehicles	Vos	. N.
4	Do you control or are you controlled by the related person?		Yes	
<i>J</i> .	Do you control of the you controlled by the related person.		0	•
7.	Are you and the related person under common control?		•	0
3.	(a) Does the related person act as a qualified custodian for your clients in connection	on with advisory services you provide to clients?	0	•
		" to question 8.(a) above, have you overcome the presumption that you are not operationally are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the Number and Street 1:	ne related person's office responsible for custody of your clients' assets:  Number and Street 2:		
	City: State:	Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: $\square$			
2	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		Yes	
7.	(b) If the answer is yes, under what exemption?		0	0
10	(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?		_	_
، ں.	(b) If the answer is yes, list the name and country, in English of each <i>foreign finance</i>	cial regulatory authority with which the related person is registered.	•	0
	Name of Country/English Name of Foreign Financial Regulatory Authority	,		
	Luxembourg, Grand Duchy of - Commission to Surveillance of the Finance Sector	or		
11.	Do you and the related person share any supervised persons?		•	0

12.	Do yo	ou and the <i>related person</i> share the same physical location?	0 0
1.	0	l Name of <i>Related Person</i> : CKROCK MÉXICO MANAGER II, S. DE R.L. DE C.V.	
2.		ary Business Name of <i>Related Person</i> : CKROCK MÉXICO MANAGER II, S. DE R.L. DE C.V.	
3.	Relat	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Othe	r	
4.		ted Person's CRD Number (if any):	
	(b)	CIK Number(s) (if any):  No Information Filed	
5	Polat	tod Parson is: (chack all that apply)	
5.	(a) (b) (c)	ted Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or dealer  other investment adviser (including financial planners)  registered municipal advisor  registered security-based swap dealer	
	(e) (f) (g)	major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant	
	(i) (j)	banking or thrift institution trust company accountant or accounting firm lawyer or law firm	
	(m)	<ul> <li>□ insurance company or agency</li> <li>□ pension consultant</li> <li>□ real estate broker or dealer</li> </ul>	
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
6.	Do yo	ou control or are you controlled by the related person?	Yes No
7.	Are y	you and the <i>related person</i> under common <i>control</i> ?	• o
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
		If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0
		If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:	
		If this address is a private residence, check this box:	Vaa Na
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes No
	(b)	If the answer is yes, under what exemption?	
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0 0
	(b)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	
		Mexico - National Commission for Banking and Securities	
11.	Do yo	ou and the <i>related person</i> share any <i>supervised persons</i> ?	<ul><li>O</li></ul>
12.	Do yo	ou and the <i>related person</i> share the same physical location?	0 0

1.	Legal Name of <i>Related Person</i> :  BLACKROCK DIVERSIFIED PRIVATE DEBT FUND GP LTD	
2	Primary Business Name of <i>Related Person</i> :	
2.	BLACKROCK DIVERSIFIED PRIVATE DEBT FUND GP LTD	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or	
	Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	Related Person is: (check all that apply)	
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	<ul><li>(d) ☐ registered security-based swap dealer</li><li>(e) ☐ major security-based swap participant</li></ul>	
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g)  utures commission merchant	
	(h) anking or thrift institution	
	(i) trust company	
	(j) accountant or accounting firm	
	(k) ☐ lawyer or law firm  (l) ☐ insurance company or agency	
	(m) pension consultant	
	(n)	
	(o) 🗖 sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
	Do you control or are you controlled by the related person?	Yes No
Ο.	Do you control or are you controlled by the related person?	0 0
7.	Are you and the related person under common control?	0 0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
		Yes No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11.	Do you and the related person share any supervised persons?	⊙ ○
12.	Do you and the <i>related person</i> share the same physical location?	0 0
1.	Legal Name of Related Person:	
	BLACKROCK LISI CREDIT FUND GP, LLC	
2.	Primary Business Name of <i>Related Person</i> :	

3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIV Number (c) (if any)		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	Related Person is: (check all that apply)		
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) other investment adviser (including financial planners)		
	(c) registered municipal advisor		
	<ul><li>(d) ☐ registered security-based swap dealer</li><li>(e) ☐ major security-based swap participant</li></ul>		
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)  futures commission merchant		
	(h) anking or thrift institution		
	(i) trust company		
	(j) accountant or accounting firm		
	(k) lawyer or law firm		
	(I) ☐ insurance company or agency (m) ☐ pension consultant		
	(n) real estate broker or dealer		
	(o) ullipsychology sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
,		Yes	
<b>5</b> .	Do you control or are you controlled by the related person?	⊙	0
7.	Are you and the related person under common control?		0
	The feature the related person and the comment comment	· ·	0
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally		0
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are		
	maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:		
		Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10	(a) Is the related person registered with a foreign financial regulatory authority?	_	_
10.	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	O	•
	No Information Filed		
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the related person share the same physical location?	•	0
1.	Legal Name of Related Person:		
	GEPIF III (GENPAR), LLC		
_			
2.	Primary Business Name of <i>Related Person</i> :  GEPIF III (GENPAR), LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4	Related Person's		

	(b)		Information Filed		
5.	(a) (b) (c) (d)	other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exe futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant			
	(o) (p)				V B
6.	Do y	you control or are you controlled by the related person?			Yes N
7.	Are	e you and the related person under common control?			© (
8.	(a) (b) (c)	If you are registering or registered with the SEC and you have answered "yes," to que independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related</i> Number and Street 1:	restion 8.(a) above, have you required to obtain a surprise of person's office responsible for and Street 2:	overcome the presumption that you are not operationally e examination for your <i>clients'</i> funds or securities that are or <i>custody</i> of your <i>clients'</i> assets:	0 0
		City: State: Count If this address is a private residence, check this box:	try:	ZIP+4/Postal Code:	
9.	(a) (b)				Yes N
10.	(a) (b)	If the answer is yes, list the name and country, in English of each foreign financial regula	atory authority with which the Information Filed	e <i>related person</i> is registered.	0 (
11.	Do y	you and the related person share any supervised persons?			<b>⊙</b> (
12.	Do y	you and the related person share the same physical location?			© (
1.	_	gal Name of <i>Related Person</i> : ARDWALK I (GENPAR), LLC			
2.		mary Business Name of <i>Related Person</i> : ARDWALK I (GENPAR), LLC			
3.	Related and the control of the contr	lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) ner			
4.	Rela (a)	lated Person's  CRD Number (if any):			
	(b)	.,.	Information Filed		

(a) CRD Number (if any):

5.	Rela	elated Person is: (check all that apply)			
	(a)	) D broker-dealer, municipal securities dealer, or government securities broker or dealer			
	(b)	) 🗖 other investment adviser (including financial planners)			
	(c)	registered municipal advisor			
(d) $\square$ registered security-based swap dealer					
	(e)				
	(f)				
	(g)				
	(h)				
	(i)				
	(j)				
	(k)				
	(l)				
	(m)				
	(n) (o)				
	(p)				
	(P)	sponsor, general partner, managing member (or equivalent) or pooled investment venicles	Yes No		
6.	Do '	o you control or are you controlled by the related person?	0 0		
	20,		0 0		
7	Are	re you and the <i>related person</i> under common <i>control</i> ?			
, .	711 C	e you and the related person under common controls	⊙ ○		
8.	(2)	) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?			
Ο.	(a)		0 0		
	(b)	) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not open independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities maintained at the related person?			
	(c)				
	(-)	Number and Street 1: Number 2:			
		City: Country: ZIP+4/Postal Code:			
		If this address is a private residence, check this box: 🗖			
			Yes No		
9.	(a)	) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0 0		
	(b)	) If the answer is yes, under what exemption?			
10	. (a)	) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0 0		
	(b)				
		No Information Filed			
11	. Do	you and the <i>related person</i> share any <i>supervised persons</i> ?	• c		
12	. Do	o you and the <i>related person</i> share the same physical location?	⊙ ೧		
1.	_	egal Name of <i>Related Person</i> : LACKROCK NHRS GP, LLC			
	BLA	ACKROCK INTRS GP, LLC			
2	Prin	imary Business Name of <i>Related Person</i> :			
∠.		ACKROCK NHRS GP, LLC			
3.	Rela	elated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	-				
	or				
	Oth	ther			
4.	Rela	elated Person's			
	(a)	) CRD Number (if any):			
	(1-)	OHA Namedo and a Mile			
	(b)	) CIK Number(s) (if any):  No Information Filed			
		NO INFORMATION FREE			
5.	Rel:	elated Person is: (check all that apply)			
]	(a)				
	(b)				
	(c)				
	(d)				
	(e)				

	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g) 🔲 futures commission merchant  (h) 🗖 banking or thrift institution	
	(i) Tust company	
	(j) accountant or accounting firm	
	(k) awyer or law firm	
	(I) Insurance company or agency	
	(m)	
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes No
6.	Do you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	0 0
7.	Are you and the related person under common control?	<b>⊙</b> ○
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are	0 0
	maintained at the related person?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	
		Yes No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10	(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	
10.	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	0 0
	No Information Filed	
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	<ul><li>0</li></ul>
12.	Do you and the <i>related person</i> share the same physical location?	0 0
1.	Legal Name of <i>Related Person</i> : BLACKROCK DIVPEP I, LLC	
	SLACKROCK DIVPEP I, LLC	
2.	Primary Business Name of Related Person:	
	BLACKROCK DIVPEP I, LLC	
2	Polated Parcen's SEC File Number (if any) (e.g. 901 9 944 902)	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) -	
	or	
	Other	
4	Related Person's	
4.	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	Related Person is: (check all that apply)	
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) a other investment adviser (including financial planners)	
	(c)	
	(d) The fregistered security-based swap dealer  (e) I major security-based swap participant	
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g)  futures commission merchant	
	(h) Danking or thrift institution	
	(i) 🔲 trust company (j) 🗖 accountant or accounting firm	
	(k) I lawyer or law firm	
1		

	(I) $\square$ insurance company or agency		
	(m) $\square$ pension consultant		
	(n)  real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6	Do you control or are you controlled by the related person?		No
0.	bo you control of are you controlled by the related person:	O	⊙
7.	Are you and the related person under common control?	•	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		O
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
		Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10.	. (a) Is the related person registered with a foreign financial regulatory authority?	0	⊙
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?		
	. Do you and the related person share any supervised persons:	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
		_	
2.	Legal Name of Related Person: BLACKROCK CAPITAL MANAGEMENT, INC.  Primary Business Name of Related Person: BLACKROCK CAPITAL MANAGEMENT, INC.  Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 57038 or Other  Related Person's (a) CRD Number (if any): 108069 (b) CIK Number(s) (if any): CIK Number(s) (if any): 108069 108069		
5.	Related Person is: (check all that apply)  (a)		
	(n) $\square$ real estate broker or dealer  (o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		

	(p) $\square$ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes			
6.	Do you control or are you controlled by the related person?				
7.	Are you and the related person under common control?				
8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?  (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:				
9.	(a) If the related person is an investment adviser, is it exempt from registration?	Yes			
	(b) If the answer is yes, under what exemption?	~			
	<ul> <li>(a) Is the related person registered with a foreign financial regulatory authority?</li> <li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.</li> <li>No Information Filed</li> </ul>				
11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0		
12.	. Do you and the <i>related person</i> share the same physical location?	•	0		
1.	Legal Name of <i>Related Person</i> : FIXED INCOME OPPORTUNITIES NERO (GENPAR), LLC  Primary Business Name of <i>Related Person</i> : FIXED INCOME OPPORTUNITIES NERO (GENPAR), LLC				
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  or Other				
4.	Related Person's  (a) CRD Number (if any):				
	(b) CIK Number(s) (if any):  No Information Filed				
5.	Related Person is: (check all that apply)  (a)	Yes	: No		
6.	Do you control or are you controlled by the related person?		• NO		
7.	7. Are you and the <i>related person</i> under common <i>control</i> ?				

8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?			
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
		If this address is a private residence, check this box.	Yes	s No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	0
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	~	~
11.	Do 7	you and the related person share any supervised persons?	$\odot$	0
12.	Do y	you and the <i>related person</i> share the same physical location?	•	0
1	Leas	al Name of <i>Related Person</i> :		
1.	_	CKROCK MÉXICO OPERADORA, S.A. DE C.V., SOCIEDAD OPERADORA DE FONDOS DE INVERSION		
2.		nary Business Name of <i>Related Person</i> : CKROCK MÉXICO OPERADORA, S.A. DE C.V., SOCIEDAD OPERADORA DE FONDOS DE INVERSION		
3.	Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4.	Rela (a)	ated Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		No Information Filed		
5.	Rela	ated Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) other investment adviser (including financial planners)			
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer major security-based swap participant		
	(e) (f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	□ trust company		
	(j)	accountant or accounting firm		
	(k)	lawyer or law firm		
	(l)	insurance company or agency		
	(m)	pension consultant		
	(n) (o)	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	D	or and the last control of the state of the		s No
6.	Do 2	you control or are you controlled by the related person?	0	•
7.	Are	you and the related person under common control?	•	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0	0
		independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		

Number and Street 2:

Number and Street 1:

		City:	State:	Country:	ZIP+4/Postal Code:	
		If this address is a	private residence, check this box: $\square$			Yes No
9.	(a)	If the related persor	ı is an investment adviser, is it exempt from regi	stration?		• • •
	(b)	If the answer is yes	s, under what exemption?			
		FOREIGN PRIVATE A	ADVISER			
10	. (a)	Is the <i>related perso</i>	n registered with a <i>foreign financial regulatory au</i> t	thority?		<b>o</b> o
	(b)		s, list the name and country, in English of each fo		which the <i>related person</i> is registered.	
			English Name of Foreign Financial Regulatory	Authority		
	5		Commission for Banking and Securities			
11	. Do y	you and the <i>related p</i>	person share any supervised persons?			⊙ ○
12	. Do y	you and the <i>related p</i>	person share the same physical location?			0 0
1.	Lega	al Name of <i>Related Pe</i>	erson:			
	BLA	CKROCK PRIVATE EQ	UITY CO-INVESTMENTS 2021 (GENPAR), LLC			
2.	Prim	nary Business Name (	of Related Person:			
		•	UITY CO-INVESTMENTS 2021 (GENPAR), LLC			
	Dola	stad Damaania CEC Ella	Number (if any) (a.g. 001 0 0(/ 000)			
3.	-	ned Person's SEC File	Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or					
	Othe	er				
4.	Rela	ited Person's				
	(a)	CRD Number (if any	):			
	(b)	CIK Number(s) (if a	ny):			
				No Information Filed		
5.	Rela	ted Person is: (check	all that apply)			
			municipal securities dealer, or government secur	rities broker or dealer		
	(b)	b) 🔲 other investment adviser (including financial planners) c) 🗖 registered municipal advisor				
	(d)	(d) registered security-based swap dealer				
	(e)		-based swap participant ol operator or commodity trading advisor (whethe	or registered or exempt from registration		
	(f) (g)	futures commis		er registered of exempt from registration		
	(h)	banking or thri	ft institution			
	(i)	trust company				
	(J) (k)	lawyer or law f	accounting firm irm			
	(I)		pany or agency			
	(m)	pension consul real estate bro				
	(n) (o)		oker of dealer dicator of limited partnerships (or equivalent), ex	xcluding pooled investment vehicles		
	(p)		ral partner, managing member (or equivalent) of	<u> </u>		
	Dox	you control or are you	u controlled by the related person?			Yes No
0.	D0 7	you <i>control</i> or are you	u controlled by the related person?			0 0
7.	Are	you and the <i>related</i> ,	person under common control?			⊙ ○
						_ ==
8.	(a)	•	erson act as a qualified custodian for your <i>clients</i> i			0 0
	(b)	-	ant to rule 206(4)-2(d)(5)) from the related person		ave you overcome the presumption that you are not operationally a surprise examination for your <i>clients'</i> funds or securities that are	0 0
	(c)		red "yes" to question 8.(a) above, provide the lo	cation of the <i>related person's</i> office respo	onsible for <i>custody</i> of your <i>clients'</i> assets:	
	. /	Number and Street	t 1:	Number and Street 2:		
		City: If this address is a	State: private residence, check this box:	Country:	ZIP+4/Postal Code:	
		11 1113 QUUI 533 13 d	private residence, effect tills box.			Yes No
9.	(a)	If the related persor	n is an investment adviser, is it exempt from regi	stration?		0.0

	(b) If the answer is yes, under what exemption?		
10.	. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
	No Information Filed		
11.	. Do you and the related person share any supervised persons?	⊙	0
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of Related Person:		
	APERIO GROUP, LLC		
2.	Primary Business Name of Related Person:		
	APERIO GROUP, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
<u>5</u> .	Related Person is: (check all that apply)		
	(a) Doroker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) ☑ other investment adviser (including financial planners) (c) ☑ registered municipal advisor		
	(c) □ registered municipal advisor  (d) □ registered security-based swap dealer		
	(e) $\square$ major security-based swap participant		
	(f) $\Box$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)  futures commission merchant		
	(h) Deanking or thrift institution		
	(i) ☐ trust company (j) ☐ accountant or accounting firm		
	(k)  awyer or law firm		
	(I)		
	(m) pension consultant		
	(n) real estate broker or dealer		
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p) $\square$ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	No
5.	Do you control or are you controlled by the related person?	•	0
7.	Are you and the related person under common control?	⊙	0
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0	
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2:  City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:		
_		Yes	
₹.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	⊙
	(b) If the answer is yes, under what exemption?		
10.	. (a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
	No Information Filed		

11.	Do you and the related person share any supervised persons?	⊙	0
12.	Do you and the <i>related person</i> share the same physical location?	0	•
1.	Legal Name of <i>Related Person</i> : GCO II FUND B GP S.À R.L.		
2.	Primary Business Name of <i>Related Person</i> : GCO II FUND B GP S.À R.L.		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
	Related Person is: (check all that apply)  (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer  (b) deter investment adviser (including financial planners)  registered municipal advisor  (d) registered security-based swap dealer  (e) major security-based swap participant  (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) turves commission merchant  (h) banking or thrift institution  (i) trust company  (j) accountant or accounting firm  (k) lawyer or law firm  (n) pension consultant  (n) pension consultant  (n) call estate broker or dealer  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  Do you control or are you controlled by the related person?	Yes O	
	Are you and the <i>related person</i> under common <i>control</i> ?	•	
8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?  (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:	0 0	
9.	<ul><li>(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	Yes O	
10.	<ul> <li>(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i>?</li> <li>(b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.</li> </ul>	0	•
11.	No Information Filed  Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0

1.	Legal Name of <i>Related Person</i> :  1824 PRIVATE EQUITY GP, LLC		
2.	Primary Business Name of <i>Related Person</i> : 1824 PRIVATE EQUITY GP, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or		
	Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	Related Person is: (check all that apply)    a	Vos N	
6.	Do you control or are you controlled by the related person?	Yes N ⊙ (	
/.	Are you and the related person under common control?	⊙ (	)
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:	Yes N	lo
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0.0	
	(b) If the answer is yes, under what exemption?		
10.	. (a) Is the related person registered with a foreign financial regulatory authority?	0 6	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	Do you and the related person share any supervised persons?	⊙ ⊙	0
12.	. Do you and the <i>related person</i> share the same physical location?	· ·	0
			_
1.	Legal Name of <i>Related Person</i> : BLACKROCK BOWLING GREEN (GENPAR), LLC		
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK BOWLING GREEN (GENPAR), LLC		

3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	Related Person is: (check all that apply)		
	<ul> <li>(a)</li></ul>		
	(c) registered municipal advisor		
	(d) registered security-based swap dealer		
	(e) amajor security-based swap participant		
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) futures commission merchant		
	<ul><li>(h) □ banking or thrift institution</li><li>(i) □ trust company</li></ul>		
	(j) accountant or accounting firm		
	(k)  lawyer or law firm		
	(I) Insurance company or agency		
	(m) pension consultant		
	(n) real estate broker or dealer		
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>		
	(p) — spensor, general partner, managing member (or equivalent) or position members	Yes	No
<b>5</b> .	Do you control or are you controlled by the related person?	•	0
7.	Are you and the related person under common control?	•	0
2	(a) Does the related person set as a qualified exetedian for your elients in connection with advisory corvince you provide to elients?		_
5.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0	
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are	0	О
	maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:		
		Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of Related Person:		
	BLACKROCK DIVERSIFIED PRIVATE OPPORTUNITIES II GP, LLC		
2.	Primary Business Name of <i>Related Person</i> :		
	BLACKROCK DIVERSIFIED PRIVATE OPPORTUNITIES II GP, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	Or Other		
	Other		
4	Related Person's		

	(b)	CIK Number(s) (if any):	lo Information Filed		
5.	(a) (b) (c) (d)	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exfutures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled inv	empt from registration)		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment			Yes N
6.	Do y	you control or are you controlled by the related person?			0 (
7.	Are	you and the related person under common control?			© (
8.	(a) (b) (c)		testion 8.(a) above, have you obtain a surprise ed person's office responsible for the and Street 2:	overcome the presumption that you are not operationally e examination for your <i>clients'</i> funds or securities that are or <i>custody</i> of your <i>clients'</i> assets:	0 0
		City: State: Cou If this address is a private residence, check this box: $\square$	ntry:	ZIP+4/Postal Code:	
9.	(a) (b)	If the <i>related person</i> is an investment adviser, is it exempt from registration?  If the answer is yes, under what exemption?			Yes N
10.	(a) (b)	If the answer is yes, list the name and country, in English of each foreign financial regu	<i>ulatory authority</i> with which the lo Information Filed	e related person is registered.	0 (
11.	Do y	you and the related person share any supervised persons?	io miormation rilea		· (
12.	Do y	you and the <i>related person</i> share the same physical location?			⊚ (
1.	_	al Name of <i>Related Person</i> : A CO-INVESTMENT FUND (GENPAR), LLC			
2.		mary Business Name of <i>Related Person</i> : A CO-INVESTMENT FUND (GENPAR), LLC			
3.	Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Othe	ner			
4.	Rela (a)	ated Person's  CRD Number (if any):			
	(b)	CIK Number(s) (if any):	lo Information Filed		

(a) CRD Number (if any):

5.	5. Related Person is: (check all that apply)			
	(a) $\square$ broker-dealer, municipal securities dealer, or government securities broker or dealer			
	(b) $\square$ other investment adviser (including financial planners)			
	(c) registered municipal advisor			
	(d) registered security-based swap dealer			
	<ul> <li>(e) ☐ major security-based swap participant</li> <li>(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li> </ul>			
	(g)  futures commission merchant	'')		
	(h) anking or thrift institution			
	(i)   trust company			
	(j) accountant or accounting firm			
	(k) 🗖 lawyer or law firm			
	(I) Insurance company or agency			
	(m) pension consultant			
	(n) areal estate broker or dealer			
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>			
	(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		Yes	No
6.	6. Do you control or are you controlled by the related person?		0	
				٠
7.	7. Are you and the <i>related person</i> under common <i>control</i> ?		•	0
8.	8. (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you	provide to <i>clients</i> ?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have	ave you overcome the presumption that you are not operationally	o	
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a maintained at the related person?	surprise examination for your <i>clients'</i> funds or securities that are		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office response	onsible for <i>custody</i> of your <i>clients'</i> assets:		
	Number and Street 1: Number and Street 2:			
	City: State: Country:  If this address is a private residence, check this box:	ZIP+4/Postal Code:		
	IT this dudress is a private residence, check this box.		Yes	No
9.	9. (a) If the related person is an investment adviser, is it exempt from registration?		0	
	(b) If the answer is yes, under what exemption?			
10.	10. (a) Is the related person registered with a foreign financial regulatory authority?		0	$\odot$
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with v	which the <i>related person</i> is registered.		
11	No Information Filed			
11.	11. Do you and the related person share any supervised persons?		⊙	0
12.	12. Do you and the <i>related person</i> share the same physical location?		•	0
1.	1. Legal Name of <i>Related Person</i> :			
	TENNENBAUM SENIOR LOAN GP IV-A, LLC			
2	2. Primary Business Name of <i>Related Person</i> :			
۷.	TENNENBAUM SENIOR LOAN GP IV-A, LLC			
3.	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	-			
	or			
	Other			
4.	4. Related Person's			
4.	(a) CRD Number (if any):			
	(b) CIK Number(s) (if any):			
	No Information Filed			
5.	5. Related Person is: (check all that apply)			
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer			
	(b)  other investment adviser (including financial planners)			
	(c) registered municipal advisor			
	(d) registered security-based swap dealer			
	(e) 🔲 major security-based swap participant			

	(f) L commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g) 🔲 futures commission merchant (h) 🗖 banking or thrift institution	
	(i) $\square$ trust company	
	(j) 🗖 accountant or accounting firm	
	(k) awyer or law firm	
	(I) I insurance company or agency	
	(m) 🔲 pension consultant (n) 🗖 real estate broker or dealer	
	(a) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) Sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes No
6.	Do you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	○ ⊙
7.	Are you and the related person under common control?	⊚ ○
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are no	
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or secumaintained at the <i>related person</i> ?	~ ~ ~
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
	IT this address is a private residence, check this box.	Yes No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	○ ⊙
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11.	Do you and the related person share any supervised persons?	<b>⊙</b> ○
12.	Do you and the <i>related person</i> share the same physical location?	⊙ ○
1.	Legal Name of <i>Related Person</i> : TENNENBAUM SENIOR LOAN MM V, LLC	
2.	Primary Business Name of <i>Related Person</i> :	
	TENNENBAUM SENIOR LOAN MM V, LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
_		
5.	Related Person is: (check all that apply)  (a)	
	(b) $\square$ other investment adviser (including financial planners)	
	(c) $\square$ registered municipal advisor	
	(d) registered security-based swap dealer	
	(e)  major security-based swap participant	
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) $\square$ futures commission merchant	
	(g) Language futures commission merchant  (h) Language banking or thrift institution	
	(i)	
	(j) 🔲 accountant or accounting firm	
	(k) 🗖 lawyer or law firm	

	(I) $\square$ insurance company or agency			
	(m) pension consultant			
	(n) $\square$ real estate broker or dealer			
	(o) 🗖 sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
		Yes	s N	lo
6.	Do you control or are you controlled by the related person?	0	6	⊙
7.	Are you and the related person under common control?	•	(	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	6	⊙
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	(	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:			
	Number and Street 1:  Number and Street 2:			
	City: State: Country: ZIP+4/Postal Code:			
	If this address is a private residence, check this box: $\square$			
		Yes	s N	lo
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	(	0
	(b) If the answer is yes, under what exemption?			
10.	. (a) Is the related person registered with a foreign financial regulatory authority?	0	6	⊙
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.			
	No Information Filed			
11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	(	0
4.0				
12.	. Do you and the <i>related person</i> share the same physical location?	•	(	0
1.	Legal Name of Related Person:			
	BLACKROCK JAPAN CO., LTD.			
2.	·			
	BLACKROCK JAPAN CO., LTD.			
2	Deleted Demonstra CEC File Number (if any ) (any 2011 0 2014 0 2014 )			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or			
	Other			
4.	Related Person's			
	(a) CRD Number (if any):			
	(b) CIK Number(s) (if any):  No Information Filed			
	No illioritation riled			
5.	Related Person is: (check all that apply)			
	(a) Fooker-dealer, municipal securities dealer, or government securities broker or dealer			
	(b) 🗹 other investment adviser (including financial planners)			
	(c) $\square$ registered municipal advisor			
	(d) $\square$ registered security-based swap dealer			
	(e) Imajor security-based swap participant			
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
	(g) futures commission merchant			
	(h) banking or thrift institution			
	(i)			
	(j) □ accountant or accounting firm  (k) □ lawyer or law firm			
	(k) □ lawyer or law firm  (l) □ insurance company or agency			
	(i) Insurance company of agency  (m) pension consultant			
	(n)  real estate broker or dealer			
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
	(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
		Yes	s N	lo

6	. Do y	you control or are you controlled by the related person?	0	$\odot$
7	Are	you and the related person under common control?	•	0
	(-)			
8	(a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?		0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
			Yes	s No
9	(a)	If the related person is an investment adviser, is it exempt from registration?	•	0
	(b)	If the answer is yes, under what exemption?  PARTICIPATING AFFILIATE		
		TAKTION ATTEME		
10	O. (a)	Is the related person registered with a foreign financial regulatory authority?	•	0
	(b)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.		
		Name of Country/English Name of Foreign Financial Regulatory Authority  Japan - Financial Services Agency		
		Other - JAPAN - KANTO FINANCIAL BUREAU		
		Other - JAPAN - TOKYO METROPOLITAN GOVERNMENT		
1	1. Do չ	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
			~	
1	2. Do y	you and the <i>related person</i> share the same physical location?	0	$\odot$
1.	_	al Name of <i>Related Person</i> : DIRECT LENDING MM VIII-T, LLC		
2		nary Business Name of <i>Related Person</i> : DIRECT LENDING MM VIII-T, LLC		
3	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or Othe	er er		
4	. Rela (a)	ated Person's  CRD Number (if any):		
	(a)	one named (ii dity).		
	(b)	CIK Number(s) (if any):  No Information Filed		
		No miormation riled		
5.	. Rela	ated Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		
	(c) (d)	registered municipal advisor registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i) (j)	<ul> <li>□ trust company</li> <li>□ accountant or accounting firm</li> </ul>		
	(k)	□ lawyer or law firm		
	(I)	insurance company or agency		
	(n) (o)	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	s No
114	Do v	you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	_	•

1.	Are ;	re you and the related person under common common	•	) (	0
8.	(a)	a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	) (	0
			rationally o	5	
	(c)				
		Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:			
		If this address is a private residence, check this box: $\square$			
			Yes	s N	VО
9.			0	) (	0
	(b)	b) If the answer is yes, under what exemption?			
10.	(a)	a) Is the related person registered with a foreign financial regulatory authority?	0	5 (	•
	(b)				
11	Do v	No Information Filed so you and the related person share any supervised persons?			_
	БО у	o you and the related person share any supervised persons:	•	•	O
12.	Do y	o you and the <i>related person</i> share the same physical location?	•	) (	0
1.	_	egal Name of <i>Related Person</i> : LACKROCK GLOBAL RENEWABLE POWER FUND III (GENPAR), L.P.			
2.		rimary Business Name of <i>Related Person</i> : LACKROCK GLOBAL RENEWABLE POWER FUND III (GENPAR), L.P.			
3.	Rela -	elated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or				
	Othe	ther			
4.	Rela	Pelated Person's			
	(a)	a) CRD Number (if any):			
	(b)	c) CIK Number(s) (if any):			
		No Information Filed			
5.	Rela	Pelated Person is: (check all that apply)			
	` ,				
	` ,				
	(c) (d)				
	(e)				
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
	(g) (h)				
	(i)	trust company			
	(j)	accountant or accounting firm			
	(k) (l)	k) 🔲 lawyer or law firm ) 🗖 insurance company or agency			
	(n) (m)				
	(n)	n)    real estate broker or dealer			
	` ,				
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Ye	s N	No
6.	Do y	o you control or are you controlled by the related person?		) (	
7.	Are y	re you and the <i>related person</i> under common <i>control</i> ?	•	9 (	0
8.	(a)	a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	) (	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not oper independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities	***	,	0

	(c)	maintained at the <i>related p</i> If you have answered "yes		ocation of the related person's office rec	ponsible for <i>custody</i> of your <i>clients'</i> assets:	
	(6)	Number and Street 1:	to question o.(a) above, provide the ic	Number and Street 2:	polisible for custody of your cheffs assets.	
		City:  If this address is a private	State: e residence, check this box:	Country:	ZIP+4/Postal Code:	
		·				Yes No
9.	(a)	·	nvestment adviser, is it exempt from reg	istration?		0 0
	(b)	If the answer is yes, under	r what exemption?			
10	. (a)	Is the related person regist	ered with a foreign financial regulatory au	ithority?		0 0
	(b)	If the answer is yes, list th	ne name and country, in English of each f	<i>Foreign financial regulatory authority</i> with No Information Filed	which the <i>related person</i> is registered.	
11	. Do y	you and the <i>related person</i> sl	hare any supervised persons?	No Illionnation Flied		<b>⊙</b> 0
10	D		hana tha arana mhuniad laratian?			
12		you and the <i>related person</i> si	hare the same physical location?			⊙ 0
1.	_	al Name of <i>Related Person</i> : LA GP S.A R.L.				
2.		nary Business Name of <i>Relato</i> LA GP S.A R.L.	red Person:			
3.	Rela -	<i>ited Person's</i> SEC File Numbe	er (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Othe	er				
4.	Rela	nted Person's				
••	(a)	CRD Number (if any):				
	(b)	CIK Number(s) (if any):				
				No Information Filed		
5.		ated Person is: (check all that				
	` ,		pal securities dealer, or government secu ser (including financial planners)	irities broker or dealer		
		registered municipal a	,			
	(d)	registered security-ba	•			
		major security-based		an analytical or average from magicturet		
	(f) (g)	futures commission me	ator or commodity trading advisor (wheth erchant	registered or exempt from registrati	on)	
	(h)	banking or thrift institu				
	(i)	trust company				
	(j)	accountant or account lawyer or law firm	ing firm			
	(k) (l)	insurance company or	agency			
	(m)	pension consultant				
		real estate broker or o				
	` '		of limited partnerships (or equivalent), e ner, managing member (or equivalent) o			
6.	W /	you <i>control</i> or are you <i>contro</i>				Yes No
7	٥		on den consumer control			
1.	Are j	you and the <i>related person</i> u	under common <i>control?</i>			⊙ (
8.	(a)	•	t as a qualified custodian for your <i>clients</i>		·	0 @
	(b)		rule 206(4)-2(d)(5)) from the related pers	•	have you overcome the presumption that you are not operationally a surprise examination for your <i>clients'</i> funds or securities that are	~ ~
	(c)	If you have answered "yes Number and Street 1:	" to question 8.(a) above, provide the Ic	ocation of the <i>related person's</i> office res Number and Street 2:	ponsible for <i>custody</i> of your <i>clients'</i> assets:	
		City:	State:	Country:	ZIP+4/Postal Code:	
		ii iiiis address is a private	e residence, check this box: $\square$			Vas Na

9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			0	$\circ$
	(b)	If the answer is yes, under what exemption?				
10	. (a)	Is the related person registered with a foreign financial regulatory authority?			_	_
	(b)	If the answer is yes, list the name and country, in English of each <i>foreign financia</i>	al regulatory authority with which	the <i>related person</i> is registered.	0	•
	` ,		No Information Filed	,		
11	. Do y	ou and the related person share any supervised persons?			⊙	0
12	Do v	ou and the related person share the same physical location?			_	0
12	. Do y	ou and the related person share the same physical location.			•	0
1	Leas	Il Name of <i>Related Person</i> :				
	_	CKROCK (SINGAPORE) LIMITED				
	Б.					
2.		ary Business Name of <i>Related Person</i> : CKROCK (SINGAPORE) LIMITED				
3.		ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 76926				
	or	- 70920				
	Othe	er				
4.	Pola	ted Person's				
4.		CRD Number (if any):				
		164594				
	(b)	CIK Number(s) (if any):  CIK Number				
		1559921				
E	Dolo	tod Bergania, (abady all that apply)				
5.		ted Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker of	or dealer			
	(b)	other investment adviser (including financial planners)				
	(c)	registered municipal advisor				
	(d)	registered security-based swap dealer				
	(e) (f)	<ul><li>□ major security-based swap participant</li><li>☑ commodity pool operator or commodity trading advisor (whether registered</li></ul>	or evennt from registration)			
	(g)	futures commission merchant	or exempt from registration,			
	(h)	banking or thrift institution				
	(i)	trust company				
	(j)	accountant or accounting firm				
	(k) (l)	lawyer or law firm insurance company or agency				
	(n) (m)	pension consultant				
	(n)	real estate broker or dealer				
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding poole				
	(p)	sponsor, general partner, managing member (or equivalent) of pooled inves	tment vehicles		Yes	No
6.	Do y	ou control or are you controlled by the related person?			0	
					_	
7.	Are	you and the <i>related person</i> under common <i>control</i> ?			$\odot$	0
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection	with advisory sorvices you provi	ida ta cliante?	_	_
0.	(a) (b)	If you are registering or registered with the SEC and you have answered "yes,"			0	
	(6)	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus a maintained at the <i>related person</i> ?			0	O
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the	related person's office responsible	e for <i>custody</i> of your <i>clients'</i> assets:		
		Number and Street 1:	Number and Street 2:	710 4/0 1 1 0 1		
		City: State:  If this address is a private residence, check this box:	Country:	ZIP+4/Postal Code:		
					Yes	No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			0	•
	(b)	If the answer is yes, under what exemption?				
10	(a)	Is the related person registered with a foreign financial regulatory authority?			_	_
10	. (a)	is the related person registered with a foreign illiancial regulatory authority?			⊙	0

	(0)	The answer is yes, list the name and country, in English of each toreign mancial regulatory authority with which the related person is registered.		
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		China, People's Republic of - China Securities Regulatory Commission		
		India - Securities and Exchange Board of India		
		Singapore - Monetary Authority of Singapore		
		South Korea - Financial Supervisory Commission / Financial Supervisory Service		
11.	Do y	you and the related person share any supervised persons?	•	0
12.	Do y	you and the <i>related person</i> share the same physical location?	0	•
1.	Lega	al Name of <i>Related Person</i> :		
	_	R (GENPAR), LLC		
2.		pary Business Name of Related Person:		
	FAIR	R (GENPAR), LLC		
3.	Relat	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe			
	Othe			
4.		ted Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		No Information Filed		
5.		ted Person is: (check all that apply)  Dispreyed by the control of		
	(a) (b)	other investment adviser (including financial planners)		
	` ,	registered municipal advisor		
	(d)	registered maniepar davisor  registered security-based swap dealer		
		major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
		□ trust company		
	(i)	accountant or accounting firm		
	(k)	□ lawyer or law firm		
	(l)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No
6.	Do y	ou control or are you controlled by the related person?	0	•
7.	Are y	you and the related person under common control?	•	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
		If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0	0
		independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number 2:		
		Number and Street 1:Number and Street 2:City:State:Country:ZIP+4/Postal Code:		
		If this address is a private residence, check this box:	Yes	Nο
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		

		No Information Filed		
11	. Do you and the related person share any supervised persons?			© 0
12	. Do you and the <i>related person</i> share the same physical location?			<b>⊙</b> 0
1.	Legal Name of <i>Related Person</i> : BLACKROCK PROPERTY CONSULTING (BEIJING) CO., LTD.			
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK PROPERTY CONSULTING (BEIJING) CO., LTD.			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Other			
4.	Related Person's  (a) CRD Number (if any):			
	(b) CIK Number(s) (if any):	No Information Filed		
5.	Related Person is: (check all that apply)  (a) □ broker-dealer, municipal securities dealer, or government securities broker (b) ☑ other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (whether registered futures commission merchant  (h) □ banking or thrift institution  (i) □ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm  (l) □ insurance company or agency  (m) □ pension consultant  (n) □ real estate broker or dealer  (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pool of pooled investigations)	ed or exempt from registration) oled investment vehicles		Yes No
6.	Do you control or are you controlled by the related person?			O @
7.	Are you and the related person under common control?			© 0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes, independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the Number and Street 1:  City: State:  If this address is a private residence, check this box: □</li> </ul>	," to question 8.(a) above, have y s are not required to obtain a surp	you overcome the presumption that you are not operationally prise examination for your <i>clients'</i> funds or securities that are	0 0
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?			Yes No
	(b) If the answer is yes, under what exemption? FOREIGN PRIVATE ADVISER			
10	(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  (b) If the answer is yes, list the name and country, in English of each <i>foreign financial</i>	<i>cial regulatory authority</i> with which No Information Filed	the <i>related person</i> is registered.	0 @
11	. Do you and the related person share any supervised persons?			<b>⊙</b> C
12	Do you and the related person share the same physical location?			

1.	Legal Name of <i>Related Person</i> : BLACKROCK INVESTMENT MANAGEMENT (TAIWAN) LIMITED		
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK INVESTMENT MANAGEMENT (TAIWAN) LIMITED		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or		
	Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	Related Person is: (check all that apply)    a		
6.	Do you control or are you controlled by the related person?	Yes	s No
7.	Are you and the related person under common control?	•	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?  (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:  Number and Street 1:  City: State: Country: ZIP+4/Postal Code:	0	С
	If this address is a private residence, check this box:	Yes	s No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	•	0
	(b) If the answer is yes, under what exemption? FOREIGN PRIVATE ADVISER		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	•	0
	(b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.		
	Name of Country/English Name of Foreign Financial Regulatory Authority  Taiwan - Financial Supervisory Commission		
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	0	•
1.	Legal Name of <i>Related Person</i> :		

BLACKROCK DIVPEP II, LLC

2.	Primary Business Name of <i>Related Person</i> : BLACKROCK DIVPEP II, LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's  (a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
	Related Person is: (check all that apply)  (a)	Yes No
	Are you and the <i>related person</i> under common <i>control</i> ?	0 0 0 0
Ω	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	
0.	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
		Yes No
9.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0 0
10	(a) Is the related person registered with a foreign financial regulatory authority?	
10.	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	0 @
11.	No Information Filed  Do you and the <i>related person</i> share any <i>supervised persons</i> ?	<b>⊙</b> 0
12.	Do you and the <i>related person</i> share the same physical location?	© 0
1.	Legal Name of <i>Related Person</i> : BLACKROCK DIVPEP III LLC	
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK DIVPEP III LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	

4. Related Person's  (a) CRD Number (if any):  (b) CIK Number (s) (if any):  No Information Filled  5. Related Person is: (check all that apply)  (a)   broker-dealer, municipal ascurities dealer, or government securities broker or dealer  (b)   other investment adviser (including financial planners)  (c)   registered municipal adviser  (d)   registered security-based swap dealer  (e)   major security-based swap participant  (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g)   futures commission merchant  (h)   banking or thrift institution  (i)   trust company  (j)   accountant or accounting firm  (k)   lawyer or law firm  (l)   insurance company or agency  (m)   pension consultant  (n)   real estate broker or dealer  (o)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p)   version or government of the related person?  7. Are you and the related person under common controt?	
(a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply)  (a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer  (b) □ other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) □ futures commission merchant  (h) □ banking or thrift institution  (i) □ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm  (l) □ insurance company or agency  (m) □ pension consultant  (n) □ real estate broker or dealer  (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  6. Do you control or are you controlled by the related person?	
No Information Filed	
Solution   Related Person   Is: (check all that apply)	
5. Related Person is: (check all that apply)  (a)  □ broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)  □ other investment adviser (including financial planners)  (c)  □ registered municipal advisor  (d)  □ registered security-based swap dealer  (e)  □ major security-based swap participant  (f)  □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g)  □ futures commission merchant  (h)  □ banking or thrift institution  (i)  □ trust company  (j)  □ accountant or accounting firm  (k)  □ lawyer or law firm  (l)  □ insurance company or agency  (m)  □ pension consultant  (n)  □ real estate broker or dealer  (o)  □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  6. Do you control or are you controlled by the related person?	
(a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer (b) □ other investment adviser (including financial planners) (c) □ registered municipal advisor (d) □ registered security-based swap dealer (e) □ major security-based swap participant (f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) □ futures commission merchant (h) □ banking or thrift institution (i) □ trust company (j) □ accountant or accounting firm (k) □ lawyer or law firm (l) □ insurance company or agency (m) □ pension consultant (n) □ real estate broker or dealer (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
(a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer (b) □ other investment adviser (including financial planners) (c) □ registered municipal advisor (d) □ registered security-based swap dealer (e) □ major security-based swap participant (f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) □ futures commission merchant (h) □ banking or thrift institution (i) □ trust company (j) □ accountant or accounting firm (k) □ lawyer or law firm (l) □ insurance company or agency (m) □ pension consultant (n) □ real estate broker or dealer (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
(c) ☐ registered municipal advisor (d) ☐ registered security-based swap dealer (e) ☐ major security-based swap participant (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) ☐ futures commission merchant (h) ☐ banking or thrift institution (i) ☐ trust company (j) ☐ accountant or accounting firm (k) ☐ lawyer or law firm (l) ☐ insurance company or agency (m) ☐ pension consultant (n) ☐ real estate broker or dealer (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
(d) ☐ registered security-based swap dealer (e) ☐ major security-based swap participant (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) ☐ futures commission merchant (h) ☐ banking or thrift institution (f) ☐ trust company (g) ☐ accountant or accounting firm (k) ☐ lawyer or law firm (l) ☐ insurance company or agency (m) ☐ pension consultant (n) ☐ real estate broker or dealer (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
(e) ☐ major security-based swap participant (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) ☐ futures commission merchant (h) ☐ banking or thrift institution (i) ☐ trust company (j) ☐ accountant or accounting firm (k) ☐ lawyer or law firm (l) ☐ insurance company or agency (m) ☐ pension consultant (n) ☐ real estate broker or dealer (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
(g) ☐ futures commission merchant  (h) ☐ banking or thrift institution  (i) ☐ trust company  (j) ☐ accountant or accounting firm  (k) ☐ lawyer or law firm  (l) ☐ insurance company or agency  (m) ☐ pension consultant  (n) ☐ real estate broker or dealer  (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
<ul> <li>(h) □ banking or thrift institution</li> <li>(i) □ trust company</li> <li>(j) □ accountant or accounting firm</li> <li>(k) □ lawyer or law firm</li> <li>(l) □ insurance company or agency</li> <li>(m) □ pension consultant</li> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> <li>6. Do you control or are you controlled by the related person?</li> </ul>	
<ul> <li>(i) □ trust company</li> <li>(j) □ accountant or accounting firm</li> <li>(k) □ lawyer or law firm</li> <li>(l) □ insurance company or agency</li> <li>(m) □ pension consultant</li> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> <li>6. Do you control or are you controlled by the related person?</li> </ul>	
<ul> <li>(k) ☐ lawyer or law firm</li> <li>(l) ☐ insurance company or agency</li> <li>(m) ☐ pension consultant</li> <li>(n) ☐ real estate broker or dealer</li> <li>(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> <li>6. Do you control or are you controlled by the related person?</li> </ul>	
<ul> <li>(i) ☐ insurance company or agency</li> <li>(m) ☐ pension consultant</li> <li>(n) ☐ real estate broker or dealer</li> <li>(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> <li>6. Do you control or are you controlled by the related person?</li> </ul>	
<ul> <li>(m) ☐ pension consultant</li> <li>(n) ☐ real estate broker or dealer</li> <li>(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> <li>6. Do you control or are you controlled by the related person?</li> </ul>	
<ul> <li>(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> <li>6. Do you control or are you controlled by the related person?</li> </ul>	
<ul><li>(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li><li>6. Do you control or are you controlled by the related person?</li></ul>	
6. Do you control or are you controlled by the related person?	
	Yes No
7. Are you and the <i>related person</i> under common <i>control</i> ?	0 @
	<b>⊙</b> (
8. (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0 @
(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that y independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' fun maintained at the related person?	ou are not operationally O
(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:	
If this address is a private residence, check this box:	
9. (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes No
(b) If the answer is yes, under what exemption?	0 0
10. (a) Is the related person registered with a foreign financial regulatory authority?	
(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	0 0
No Information Filed	
11. Do you and the related person share any supervised persons?	⊙ (
12. Do you and the <i>related person</i> share the same physical location?	<b>⊙</b> (
1. Legal Name of <i>Related Person</i> :  BAA PRIVATE CAPITAL II (GENPAR), LLC	
2. Primary Business Name of <i>Related Person</i> :  BAA PRIVATE CAPITAL II (GENPAR), LLC	
3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
or	
Other	
4. Related Person's  (a) CRD Number (if any):	

	CIK Number(s) (if any):  No Information Filed	
5.	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
6.		es N
7.	e you and the related person under common control?	•
8.		0 0
9.		es N
	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	0
12.	you and the <i>related person</i> share the same physical location?	•
1.	gal Name of <i>Related Person</i> : D RIVER PRIVATE EQUITY, LLC	
2.	mary Business Name of <i>Related Person</i> : D RIVER PRIVATE EQUITY, LLC	
3.	lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	her	
4.	lated Person's  CRD Number (if any):	
	CIK Number(s) (if any):  No Information Filed	
5.	lated Person is: (check all that apply)  □ broker-dealer, municipal securities dealer, or government securities broker or dealer	

	(b)		other investment adviser (including financial planners)					
	(c)		registered municipal advisor					
	(d)		registered security-based swap dealer					
	(e)		major security-based swap participant					
	(f)		commodity pool operator or commodity trading advisor (whether registered	or exempt from registra	tion)			
	(g)		futures commission merchant					
	(h)		banking or thrift institution					
	(i)		trust company					
	(j)		accountant or accounting firm					
	(k)		lawyer or law firm					
	(1)		insurance company or agency					
	(m)		pension consultant					
	(n)		real estate broker or dealer					
	(0)		sponsor or syndicator of limited partnerships (or equivalent), excluding pool					
	(p)	ı.	sponsor, general partner, managing member (or equivalent) of pooled inves	stifient vehicles			Yes	No.
	6 Do	VOLL C	control or are you controlled by the related person?					
	0. D0	you c	control of alle you controlled by the related person!				0	•
	7 Aro	. VOL	and the related person under common control?				_	_
	7. Ale	you	and the related person under common controls				•	0
	0 (0)	Doc	as the related person set as a qualified systedian for your eliants in connection	with advisory convices	vou provid	o to alianta	_	_
	8. (a)		es the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection	•	•		0	
	(b)	inde	you are registering or registered with the SEC and you have answered "yes," ependent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus a line in the related person.	•	•		0	0
	(c)	If y	intained at the <i>related person</i> ? You have answered "yes" to question 8.(a) above, provide the location of the		esponsible	for <i>custody</i> of your <i>clients'</i> assets:		
			mber and Street 1: y: State:	Number and Street 2:		ZIP+4/Postal Code:		
		City If t	y: State: this address is a private residence, check this box: $\square$	Country:		ZIP+4/Postal Code:		
			and address is a private residence, shock this sex.				Yes	No
	9. (a)	If th	he related person is an investment adviser, is it exempt from registration?				0	
	(b)	If ti	he answer is yes, under what exemption?				~	~
	(6)		ne answer is yes, ander what exemption.					
	10. (a)	Is t	the related person registered with a foreign financial regulatory authority?				0	•
	(b)		he answer is yes, list the name and country, in English of each <i>foreign financia</i>	al regulatory authority wi	h which th	ne <i>related person</i> is registered.		
	(6)		The driswer is yes, list the hame and country, in English of each foreign married	No Information Filed		to related person is registered.		
	11. Do	you a	and the related person share any supervised persons?				•	0
		,						
	12. Do	vou a	and the <i>related person</i> share the same physical location?				•	_
		<i>y</i>	, , , , , , , , , , , , , , , , , , , ,				· ·	
-								
	_		ime of <i>Related Person</i> :					
	BLA	ACKRO	OCK FUND MANAGEMENT COMPANY S.A.					
		-	Business Name of <i>Related Person</i> :					
	BLA	ACKRU	OCK FUND MANAGEMENT COMPANY S.A.					
	3. Rela	atod l	Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)					
	J. Kele	aieu r	rersorrs SEC The Number (ii arry) (e.g., 601-, 6-, 600-, 602-)					
	or							
	Oth	ner						
	4. Rela	ated F	Person's					
	(a)	CRL	O Number (if any):					
	(b)		Number(s) (if any):					
			K Number					
		15	59920					
		, .						
			Person is: (check all that apply)	on dool				
	(a)		broker-dealer, municipal securities dealer, or government securities broker	or dealer				
	(b)		other investment adviser (including financial planners)					
	(c)		registered municipal advisor registered security-based swap dealer					
	(d)		registered security-based swap dealer major security-based swap participant					
	(e) (f)		commodity pool operator or commodity trading advisor (whether registered	or exempt from registrs	tion)			
- 11	(1)	et annual a			/			

	(g)	futures commission merchant			
	(h)	banking or thrift institution			
	(i)	☐ trust company			
	(J) (k)	□ accountant or accounting firm □ lawyer or law firm			
	(N) (I)	insurance company or agency			
	(m)	pension consultant			
	(n)	real estate broker or dealer			
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
	_			s No	
6.	Во у	you control or are you controlled by the related person?	0	•	)
7.	Are y	you and the related person under common control?	•	С	)
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	•	5
		If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		C	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:			
		City: State: Country: ZIP+4/Postal Code:			
		If this address is a private residence, check this box: $\square$			
0	(a)	If the related names is an investment advisor is it averant from registration?		s No	
9.		If the <i>related person</i> is an investment adviser, is it exempt from registration?	⊙	С	)
	(b)	If the answer is yes, under what exemption? FOREIGN PRIVATE ADVISER			
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	С	,
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.			
		Name of Country/English Name of Foreign Financial Regulatory Authority  China Danyalia Danyalia of China Casurities Danyalatory Commission			4
		China, People's Republic of - China Securities Regulatory Commission			-
	_	Other - LUXEMBOURG - LUXEMBOURG TRADE AND COMPANIES REGISTER (THE REGISTRE DE COMMERCE ET DES SOCIETES)			4
11.	Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙	С	)
12.	Do v	you and the <i>related person</i> share the same physical location?	_	0	
	20 )			٠	
					Ξ
1.	Lega	al Name of <i>Related Person</i> :			
	FACL	ULTAS FUND (GENPAR), LLC			
2.		nary Business Name of <i>Related Person</i> : ULTAS FUND (GENPAR), LLC			
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	- Or				
	or Othe	er			
4.	Rela	ated Person's			
	(a)	CRD Number (if any):			
	(b)	CIK Number(s) (if any):			
	(6)	No Information Filed			
5.		ated Person is: (check all that apply)			
	(a) (b)	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners)			
	(c)	registered municipal advisor			
	(d)	registered security-based swap dealer			
	(e)	major security-based swap participant			
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
		futures commission merchant			
	(g)				
	(g) (h) (i)	banking or thrift institution trust company			

	(k) (l) (m) (n) (o)	accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	. No	)
6.	Do y	you control or are you controlled by the related person?	0	•	
7.	Are :	you and the related person under common control?	•	0	
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•	
		If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:			
		Number and Street 1:Number and Street 2:City:State:Country:ZIP+4/Postal Code:			
		If this address is a private residence, check this box: $\Box$			
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes		
, .		If the answer is yes, under what exemption?		0	
	(-)				
10.		Is the related person registered with a foreign financial regulatory authority?	0	$\odot$	
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed			
11.	Do y	you and the related person share any supervised persons?		0	
	,		· ·		
12.	Do y	you and the <i>related person</i> share the same physical location?	$\odot$	$\circ$	
	VFL (	al Name of <i>Related Person</i> : CO INVEST PARTNERS GP, LLC  nary Business Name of <i>Related Person</i> : CO INVEST PARTNERS GP, LLC			
3.		ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	- or Othe	er			
4.	Rela	ated Person's			
	(a)	CRD Number (if any):			
	(b)	CIK Number(s) (if any):  No Information Filed			
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (n)	other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer			
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			

	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6.	Do you control or are you controlled by the related person?	Yes	No <b>⊙</b>
7.	Are you and the related person under common control?	•	0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:  Number and Street 1:</li> </ul>		0
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
9.	<ul><li>(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	Yes O	C
10.	(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  (b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	0	•
11.	. Do you and the related person share any supervised persons?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : GID PROGRAM GENERAL PARTNER S.A.R.L.		
2.	Primary Business Name of <i>Related Person</i> : GID PROGRAM GENERAL PARTNER S.A.R.L.		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	Related Person is: (check all that apply)  (a)		
6.	Do you control or are you controlled by the related person?	Yes O	No ⊙
7.	Are you and the related person under common control?		

8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•	
<ul> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:</li> </ul>					
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:			
		City: Country: ZIP+4/Postal Code:			
		If this address is a private residence, check this box: $\square$	Yes	No	
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	0	
	(b)	If the answer is yes, under what exemption?			
10	. (a)	Is the related person registered with a foreign financial regulatory authority?	0	•	
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed			
11	. Do y	you and the related person share any supervised persons?	•	0	
10	5				
12	. Do y	you and the <i>related person</i> share the same physical location?	•	0	
1.	Lega	al Name of <i>Related Person</i> :			
	BAA	A CO-INVESTMENT FUND IV (GENPAR), LLC			
2.		nary Business Name of <i>Related Person</i> : A CO-INVESTMENT FUND IV (GENPAR), LLC			
	D /	/			
3.	Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Othe	er			
4.		ated Person's  CRD Number (if any):			
				ı	
	(b)	CIK Number(s) (if any):  No Information Filed			
5.	Rela	ated Person is: (check all that apply)			
	(a) (b)	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners)			
	(c)	registered municipal advisor			
	(d)	registered security-based swap dealer			
	(e) (f)	major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
	(g)	futures commission merchant			
	(h) (i)	banking or thrift institution  trust company			
	(j)	accountant or accounting firm			
	(k)	lawyer or law firm			
	(I) (m)	insurance company or agency pension consultant			
	(n)	real estate broker or dealer			
	(o) (p)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
	(ρ)	sponsor, general partner, managing member (or equivalent) or pooled investment vehicles	Yes	No	
6.	Do y	you control or are you controlled by the related person?	0	⊙	
7.	Are	you and the related person under common control?	•	0	
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•	
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number 2:			

		City: State:	Country:	ZIP+4/Postal Code:	
		If this address is a private residence, check this box: $\square$			Yes No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			0 0
	(b)	If the answer is yes, under what exemption?			
10		Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign fina</i>	ancial regulatory authority with whic No Information Filed	th the <i>related person</i> is registered.	0 0
11	. Do <u>y</u>	ou and the related person share any supervised persons?	110 11101111111111111111111111111111111		<ul><li>0</li></ul>
12	. Do y	ou and the <i>related person</i> share the same physical location?			• o
1.	_	Il Name of <i>Related Person</i> : CKROCK IMPACT OPPORTUNITIES (GENPAR), LLC			
2.		ary Business Name of <i>Related Person</i> : CKROCK IMPACT OPPORTUNITIES (GENPAR), LLC			
3.	Rela -	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Othe	PF			
4.		ted Person's  CRD Number (if any):			
	(b)	CIK Number(s) (if any):	No Information Filed		
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (k) (l) (m) (n) (o)	broker-dealer, municipal securities dealer, or government securities broken other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether register futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding posponsor, general partner, managing member (or equivalent) of pooled in	ered or exempt from registration) pooled investment vehicles		Yes No
		ou control or are you controlled by the related person?			0 0
7.	Are	you and the <i>related person</i> under common <i>contro</i> ?			⊙ ೧
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connect			0 0
	(b)	If you are registering or registered with the SEC and you have answered "ye independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and the maintained at the <i>related person</i> ?			0 0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the Number and Street 1:  City:  State:	the <i>related person's</i> office responsi Number and Street 2: Country:	ble for <i>custody</i> of your <i>clients'</i> assets:  ZIP+4/Postal Code:	
		If this address is a private residence, check this box: $\Box$	•		•
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			Yes No
	(b)	If the answer is yes, under what exemption?			

0.	0. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
1.	. Do you and the related person share any supervised persons?	•	0
2.	2. Do you and the <i>related person</i> share the same physical location?	•	С
	Legal Name of <i>Related Person</i> : BLACKROCK MEXICO MANAGER III, S. DE R.L. DE C.V.		
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK MEXICO MANAGER III, S. DE R.L. DE C.V.		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
١.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
). ).	Related Person is: (check all that apply)  (a)		s No ⊙
<b>'</b> .	Are you and the related person under common control?	•	0
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:		
).	(a) If the related person is an investment adviser, is it exempt from registration?		s No
	(b) If the answer is yes, under what exemption?	~	~
0.	(a) Is the related person registered with a foreign financial regulatory authority?  (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	0	•
	Name of Country/English Name of Foreign Financial Regulatory Authority  Mexico - National Commission for Banking and Securities		
1.	. Do you and the related person share any supervised persons?	•	0

12	2. Do you and the <i>related person</i> share the same physical location?	0 0
1.	Legal Name of <i>Related Person</i> : MARKWOOD PRIVATE OPPORTUNITIES GP, LLC	
2.	Primary Business Name of <i>Related Person</i> : MARKWOOD PRIVATE OPPORTUNITIES GP, LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or	
	Other  Related Revenue's	
4.	Related Person's  (a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
5.	Related Person is: (check all that apply)  (a)  broker-dealer, municipal securities dealer, or government securities broker or dealer	
	<ul><li>(b)  other investment adviser (including financial planners)</li><li>(c)  registered municipal advisor</li></ul>	
	(d) registered security-based swap dealer	
	<ul><li>(e) ☐ major security-based swap participant</li><li>(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li></ul>	
	(g) futures commission merchant	
	<ul><li>(h) □ banking or thrift institution</li><li>(i) □ trust company</li></ul>	
	(j) accountant or accounting firm	
	(k) ☐ lawyer or law firm (l) ☐ insurance company or agency	
	(m) pension consultant	
	<ul> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> </ul>	
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>	
6.	Do you control or are you controlled by the related person?	Yes No
7.	Are you and the related person under common control?	• c
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	Yes No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10	). (a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11	. Do you and the related person share any supervised persons?	<ul><li>O</li></ul>
12	2. Do you and the <i>related person</i> share the same physical location?	<ul><li>0</li></ul>
1.	Legal Name of Related Person:	

BLACKROCK ASIA-PACIFIC PRIVATE CREDIT OPP. FUND II (GENPAR) S.À R.L

2.	Primary Business Name of <i>Related Person</i> : BLACKROCK ASIA-PACIFIC PRIVATE CREDIT OPP. FUND II (GENPAR) S.À R.L	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or or	
	Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	Related Person is: (check all that apply)  (a) Discontinuous for the continuous formula is the continuous formula in the c	
	(b) □ other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	<ul><li>(e) ☐ major security-based swap participant</li><li>(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li></ul>	
	(g)  utures commission merchant	
	(h) banking or thrift institution	
	<ul><li>(i) □ trust company</li><li>(j) □ accountant or accounting firm</li></ul>	
	(k) I lawyer or law firm	
	(I) Insurance company or agency	
	(m) pension consultant	
	<ul> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> </ul>	
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
_		Yes N
6.	Do you control or are you controlled by the related person?	0 (
7.	Are you and the related person under common control?	© (
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 (
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
		Yes N
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11.	Do you and the related person share any supervised persons?	<b>©</b> (
12	Do you and the <i>related person</i> share the same physical location?	
12.	bo you and the related person share the same physical location:	0 (
1.	Legal Name of <i>Related Person</i> :	
	GID PROGRAM US GP LLC	
2.	Primary Business Name of <i>Related Person</i> :	
	GID PROGRAM US GP LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	

	or Other		
4.	Related Person's  (a) CRD Number (if anyl):		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	Related Person is: (check all that apply)  (a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)  other investment adviser (including financial planners)		
	(c) registered municipal advisor		
	(d) registered security-based swap dealer		
	<ul><li>(e) ☐ major security-based swap participant</li><li>(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li></ul>		
	(g)  futures commission merchant		
	(h) banking or thrift institution		
	<ul><li>(i) □ trust company</li><li>(j) □ accountant or accounting firm</li></ul>		
	(k)   lawyer or law firm		
	(I)  Insurance company or agency		
	(m) pension consultant		
	<ul> <li>(n)  real estate broker or dealer</li> <li>(o)  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> </ul>		
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	No
6.	Do you control or are you controlled by the related person?	0	•
7.	Are you and the related person under common control?	0	0
8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2:  City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: $\square$		
		Yes	
9.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0	0
	(b) If the unswel is yes, under what exemption.		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	Do you and the related person share any supervised persons?	•	0
10			
12.	Do you and the related person share the same physical location?	•	0
			_
1.	Legal Name of <i>Related Person</i> :		
	BLK2021 PRIVATE OPPORTUNITIES GP, LLC		
2	Primary Business Name of <i>Related Person</i> :		
۷.	BLK2021 PRIVATE OPPORTUNITIES GP, LLC		
2	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
J.	-		
	or Other		
4.	Related Person's		
	(a) CRD Number (if any):		

	O) CIK Number(s) (if any):  No Information Filed		
5.	telated Person is: (check all that apply)    broker-dealer, municipal securities dealer, or government securities broker or dealer   other investment adviser (including financial planners)   commodity of the project		
6.	o you control or are you controlled by the related person?	Yes ©	s N
7.	re you and the related person under common control?	•	(
8.	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:	0 0	(
9.	a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	s N
	b) If the answer is yes, under what exemption?	·	
10.	b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed		(
11.	o you and the <i>related person</i> share any <i>supervised persons</i> ?	•	(
12.	o you and the <i>related person</i> share the same physical location?	•	(
	egal Name of <i>Related Person</i> : CO II FUND A GP S.À R.L.  rimary Business Name of <i>Related Person</i> :		
	CO II FUND A GP S.À R.L.		
3.	related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  or other		
4.	Pelated Person's  a) CRD Number (if any):		
	O) CIK Number(s) (if any):  No Information Filed		
5.	Pelated Person is: (check all that apply)  a) Doubler-dealer, municipal securities dealer, or government securities broker or dealer		

	(b) 🗖 other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	(e) major security-based swap participant	
	(f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) □ futures commission merchant	
	<ul><li>(g) ☐ futures commission merchant</li><li>(h) ☐ banking or thrift institution</li></ul>	
	(i)  trust company	
	(j) accountant or accounting firm	
	(k)  awyer or law firm	
	(I)  insurance company or agency	
	(m) pension consultant	
	(n) $\square$ real estate broker or dealer	
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes No
6.	Do you control or are you controlled by the related person?	0 @
7.	Are you and the related person under common control?	⊙ ⊙
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:	
	Number and Street 1:  Number 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	
		Yes No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10	D. (a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	
	No Information Filed	
11	1. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙ 0
12	2. Do you and the <i>related person</i> share the same physical location?	⊙ 0
1.	Legal Name of Related Person:	
	BLACKROCK (NETHERLANDS) B.V.	
2.	Primary Business Name of Related Person:	
	BLACKROCK (NETHERLANDS) B.V.	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
_	Deleted Demonsia, (about all that apply)	
5.	Related Person is: (check all that apply)	
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer  (b) Droker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) ☑ other investment adviser (including financial planners) (c) □ registered municipal advisor	
	(c) L registered municipal advisor  (d) T registered security-based swap dealer	
	(d) Pregistered security-based swap dealer  (e) major security-based swap participant	
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g) ☐ futures commission merchant	
1		

	(h)			
	(i)	i)		
	(j) (k)			
	• •			
	(n)	n) $\square$ real estate broker or dealer		
	` ,			
	(p)	p) $\square$ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6	Dov	Do you control or are you controlled by the related person?	Yes N	
0.	БО у	to you control of are you controlled by the related person:	0 6	•
7.	Are :	Are you and the related person under common control?	· (	0
8.	(a)	a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0.6	•
				0
		independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination maintained at the <i>related person</i> ?	for your <i>clients'</i> funds or securities that are	
			our <i>clients'</i> assets:	
	(0)	Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal	Code:	
		If this address is a private residence, check this box: $\square$	Yea A	
9	(a)	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes N  ⊙ (	
,			• (	
		FOREIGN PRIVATE ADVISOR		
10.			⊙ (	0
	(b)		າ is registered.	
		Name of Country/English Name of Foreign Financial Regulatory Authority  Netherlands - The Netherlands Authority for the Financial Markets		
11	Do v	Do you and the <i>related person</i> share any <i>supervised persons</i> ?		_
' ' '	БО у	to you and the related person share any supervised persons:	⊙ (	0
12.	. Do y	Do you and the <i>related person</i> share the same physical location?	0.6	0
				_
1.	Leas	Legal Name of <i>Related Person</i> :		
	_	BR/OV GP, LLC		
2.		Primary Business Name of <i>Related Person</i> : BR/OV GP, LLC		
	DR/C	DR/OV GP, LLC		
3.	Rela	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or Othe			
	Othe	Arrier		
4.	Rela	Related Person's		
	(a)	a) CRD Number (if any):		
	(b)	b) CIV Number(e) (if any).		
	(b)	(b) CIK Number(s) (if any):  No Information Filed		
5.		Related Person is: (check all that apply)		
	(c)			
	(d)			
	(e)			
	(f)	f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) (h)			
	(i)	i)		
	(j)	j) $\square$ accountant or accounting firm		
	(k)	(k) 🗖 lawyer or law firm		

	(I) 🗖 insurance comp	pany or agency		
	(m) $\square$ pension consult	Itant		
	(n) $\square$ real estate brok	oker or dealer		
	(o) $\square$ sponsor or sync	ndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, genera	ral partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No
6.	Do you <i>control</i> or are you	u controlled by the related person?	0	$\odot$
7.	. Are you and the related p	person under common control?	•	$\circ$
8.	•	erson act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	⊙
		ng or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally uant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are related person?	0	0
		red "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:		
	Number and Street			
	City:	State: Country: ZIP+4/Postal Code:		
	If this address is a	private residence, check this box: 🗖		
			Yes	No
9.	9. (a) If the related person	n is an investment adviser, is it exempt from registration?	0	$\circ$
	(b) If the answer is yes	s, under what exemption?		
10	10 (a) In the contest of concern			
10.	•	on registered with a foreign financial regulatory authority?	0	⊙
	(b) If the answer is yes,	s, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed		
11	1 Do you and the related n	person share any supervised persons?	_	_
11.	1. Do you and the related pe	rerson share any supervised persons:	•	0
12.	2. Do you and the <i>related p</i> e	person share the same physical location?	•	0
	<i> </i>		٠	0
1.	Legal Name of Related Pe			
	TENNENBAUM SENIOR LO.	DAN GP IV-B, LLC		
2.	2. Primary Business Name o TENNENBAUM SENIOR LO.			
•				
3.	. Related Person's SEC File I	Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or			
	Other			
4.				
	(a) CRD Number (if any)	):		
	(L) OH( Novele(-) (!f			
	(b) CIK Number(s) (if an	ny):  No Information Filed		
5.	5. Related Person is: (check	all that apply)		
		municipal securities dealer, or government securities broker or dealer		
	***************************************	ent adviser (including financial planners)		
	(c) $\square$ registered muni			
	-	urity-based swap dealer		
		y-based swap participant		
		ol operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) ☐ futures commiss (h) ☐ banking or thrif			
	(i) trust company			
	(j) accountant or a			
	(k) I lawyer or law fir			
	(I) Insurance comp			
	(m) pension consult			
	(n) real estate brok			
	(o) $\square$ sponsor or sync	ndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, genera	ral partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No

8 (c) Finds the resided was one or an application activation for your owners in concentral settlement (yeu) and other (through a section of the personal president) (c) if you are not the personal of the SEC (s) you go you are accessed yeu; in precision (you have the you go you are accessed yeu; in precision (you have the your your owners and precision (you have the your your owners) and the personal your districts of the your your owners are not personally and the personal your districts of the your your owners are not personally and the personal your districts are not personally an expect of the personal your districts are not personally and the personal your	6.	Do you control or are you controlled by the related person?	0	⊙	
20   Province or equipment on project end with the CSC and you more encouraged them. The your province control that you were to conclude the control to restate description of the province of the project of the province	7.	Are you and the related person under common control?	•	0	
Section of the content of the cont	8.	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally			
City States allowed by a private resilicance direct this boar   Yes Not   Ye		(c) If you have answered "yes" to question 8 (a) above, provide the location of the related person's office responsible for custody of your clients' assets:			
10   On   Information grows with invalentment advocation, let incompatition registration?   One   On		City: State: Country: ZIP+4/Postal Code:			
10 (g) is the content general registered with a breight transact arguetory authordy?  (g) is the content promote content, its highly highly all each transplantacion registered by the promote	9.	(a) If the related person is an investment adviser, is it exempt from registration?			
(b) If the answer is yes, list the name and country, in English of each draggn financial regulatory with which the reterior persons in regulators of the country of the cou		(b) If the answer is yes, under what exemption?			
No Information Filed  1. Lagol Name of Newton Person  E.A.KROCK ASSET MANAGEMENT SCHWICE AS  E.M.KROCK ASSET MANAGEMENT SCHWICE AS  2. Primary Business Rame on Newton Preson:  E.A.KROCK ASSET MANAGEMENT SCHWICE AS  3. Newton Persons Sect Telegraphic Schwice Asset Management (a may)  (a) Cold Burnoth (flority)  (b) Cold Burnoth (flority)  (c) Telegraphic Schwing Cold Burnoth  (b) Cold Burnoth  (c) Cold Bur	10.		0	•	
19. 7m you and this individed procure described in security played location?  1. Trapel Name of Shifted Previous structions Name of Shifted Name of Shifted Name of Shifted Previous structions Name of Shifted Name of Sh					
1. Engil Name of Adelet Phone BLACKROCK ASSET MANAGEMENT SCHWELZ AG  2. Primary Business Name of Newbord Newon BLACKROCK ASSET MANAGEMENT SCHWELZ AG  3. Melated Verson's SC File Number (if any) (e.g., 801-, 8-, 86-, 802-)  3. Melated Verson's SC File Number (if any) (e.g., 801-, 8-, 86-, 802-)  3. Melated Verson's SC File Number (if any) (e.g., 801-, 8-, 86-, 802-)  4. Sphring Phone  4. Sphring Phone  5. Adeleted Phone  6. Co Mumber  1. Enside To  6. Mumber  1. Enside To  7. Coll K Number  1. Enside To  8. Adeleted Phone  9. Coll K Number  1. Enside To  1. Enside To  9. Coll K Number  1. Enside To  1. Enside T	11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0	
BLACKROCK ASSET MANACEMENT SCHWEIZ AC  Primary Rusiness Name of Robotor Process BLACKROCK ASSET MANACEMENT SCHWEIZ AC  MARKING PROSONS SECTIVE Number (it any) (e.g., 801 -, 8 -, 862 -)  201 - 78476  or  Other  A Related Presons  (a) CRO Number of eny):  1=1987  (b) Cit Kumber  1854 470  5. Related Preson is (dreck all that apply)  (c) If Number  1854 470  5. Related Preson is (dreck all that apply)  (c) If the preson is (dreck all that apply)  (d) If the preson is (dreck all that apply)  (e) If the preson is (dreck all that apply)  (f) If the preson is (dreck all that apply)  (g) If the preson is (d	12.	. Do you and the <i>related person</i> share the same physical location?	•	0	
BLACKROCK ASSET MANACEMENT SCHWEIZ AC  Primary Rusiness Name of Robotor Process BLACKROCK ASSET MANACEMENT SCHWEIZ AC  MARKING PROSONS SECTIVE Number (it any) (e.g., 801 -, 8 -, 862 -)  201 - 78476  or  Other  A Related Presons  (a) CRO Number of eny):  1=1987  (b) Cit Kumber  1854 470  5. Related Preson is (dreck all that apply)  (c) If Number  1854 470  5. Related Preson is (dreck all that apply)  (c) If the preson is (dreck all that apply)  (d) If the preson is (dreck all that apply)  (e) If the preson is (dreck all that apply)  (f) If the preson is (dreck all that apply)  (g) If the preson is (d					
3. Selstrad Recons's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801-78476 or Other  4. Selstrad Person's (a) CR9 Number (if any) 161987 (b) CR Number (if any) 161987 (c) CR Number (if any) 161987 (d) CR In selstrad Person is (chock all that apply) (e) CR Number (if any) (f) CR Number (if a	1.	·			
301 - 784 76 or Other  4. Related Person's (a) - CRD Number (if any): 16197 (b) - CIK Numbor(s) (if any): 1654470  5. Related Reson is: (check all that apply) (a) - Display - Indeed Person is: (check all that apply) (b) - Display - Indeed Person is: (check all that apply) (c) - CIK Numbor 1654470  5. Related Reson is: (check all that apply) (d) - Display - Indeed Person is: (check all that apply) (e) - Display - Indeed Person is: (check all that apply) (d) - Display - Indeed Person is: (check all that apply) (e) - Display - Indeed Person is: (check all that apply) (e) - Display - Indeed Person is: (check all that apply) (f) - Display - Indeed Person is: (check all that apply) (g) - Display - Display - Indeed Person is: (check all that apply) (g) - Display	2.	·			
## Acitated Person's  ## (a) CRD Number (if any): 16197    CIK Number	3.	801 - 78476			
(a) CRD Number (if any): 161987  (b) CIK Number (s) (if any):  CIK Number (1654470)  5. Relared Person is: (check all that apply) (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer (b)   other investment adviser (including financial planners) (c)   registered municipal advisor (d)   registered security-based swap dealer (e)   major security-based swap dealer (e)   major security-based swap participant (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g)   futures commission merchant (h)   banking or thrift institution (t)   trust company (g)   accountant or accounting firm (k)   lawyer or law firm (k)   lawyer or law firm (g)   pension consultant (n)   real estate broker or dealer (o)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p)   sponsor or syndicator of limited partnerships (or equivalent) of pooled investment vehicles (p)   sponsor or syndicator of limited partnerships (or equivalent) of pooled investment vehicles (p)   sponsor or syndicator of limited partnerships (or equivalent) of pooled investment vehicles (p)   sponsor or syndicator of limited partnerships (or equivalent) of pooled investment vehicles (p)   sponsor or syndicator of limited partnerships (or equivalent) of pooled investment vehicles (p)   sponsor or syndicator of limited partnerships (or equivalent) of pooled investment vehicles					
161987 (b) CIK Number(s) (if any): CIK Number   1654470  5. Related Person is: (check all that apply) (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer (b)   other investment advisor (including financial planners) (c)   registered municipal advisor (d)   registered security-based swap dealer (e)   major security-based swap participant (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g)   trutines commission merchant (h)   banking or thrift institution (g)   truts company (g)   secountant or accounting firm (g)   insurance company or agency (m)   pension consultant (n)   real estate broker or dealer (o)   sponsor or syndictor of limited partnerships (or equivalent), excluding pooled investment vehicles (b)   sponsor or syndictor of limited partnerships (or equivalent) of pooled investment vehicles (c)   by sponsor or syndictor of limited partnerships (or equivalent) of pooled investment vehicles (d)   control or are you controlled by the related person?	4.				
CIK Number    1654470		161987		ı	
5. Related Person is: (check all that apply)  (a)		·			
(a)   broker-dealer, municipal securities dealer, or government securities broker or dealer (b)   volume investment adviser (including financial planners) (c)   registered municipal advisor (d)   registered security-based swap dealer (e)   major security-based swap participant (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g)   futures commission merchant (h)   banking or thrift institution (f)   trust company (g)   accountant or accounting firm (k)   lawyer or law firm (f)   insurance company or agency (g)   pension consultant (n)   real estate broker or dealer (o)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p)   sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  Yes No  6. Do you control or are you controlled by the related person?		1654470			
(a)   broker-dealer, municipal securities dealer, or government securities broker or dealer (b)   volume investment adviser (including financial planners) (c)   registered municipal advisor (d)   registered security-based swap dealer (e)   major security-based swap participant (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g)   futures commission merchant (h)   banking or thrift institution (f)   trust company (g)   accountant or accounting firm (k)   lawyer or law firm (f)   insurance company or agency (g)   pension consultant (n)   real estate broker or dealer (o)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p)   sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  Yes No  6. Do you control or are you controlled by the related person?					
(c) registered municipal advisor (d) registered security-based swap dealer (e) major security-based swap participant (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) futures commission merchant (h) banking or thrift institution (f) trust company (g) accountant or accounting firm (k) lawyer or law firm (f) insurance company or agency (g) pension consultant (g) pension consultant (g) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  Yes No  6. Do you control or are you controlled by the related person?	5.				
(d)					
(f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) □ futures commission merchant  (h) □ banking or thrift institution  (i) □ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm  (l) □ insurance company or agency  (m) □ pension consultant  (n) □ real estate broker or dealer  (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p) □ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  Yes No  6. Do you control or are you controlled by the related person?					
(g) ☐ futures commission merchant (h) ☐ banking or thrift institution (i) ☐ trust company (j) ☐ accountant or accounting firm (k) ☐ lawyer or law firm (l) ☐ insurance company or agency (m) ☐ pension consultant (n) ☐ real estate broker or dealer (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  Yes No  6. Do you control or are you controlled by the related person?					
(h) □ banking or thrift institution (i) □ trust company (j) □ accountant or accounting firm (k) □ lawyer or law firm (l) □ insurance company or agency (m) □ pension consultant (n) □ real estate broker or dealer (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) □ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  Yes No 6. Do you control or are you controlled by the related person?					
(i) accountant or accounting firm (k) lawyer or law firm (i) insurance company or agency (m) pension consultant (n) real estate broker or dealer (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  Yes No  Do you control or are you controlled by the related person?					
(k)  □ lawyer or law firm  (l)  □ insurance company or agency  (m)  □ pension consultant  (n)  □ real estate broker or dealer  (o)  □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p)  □ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  Yes No  6. Do you control or are you controlled by the related person?					
(i) insurance company or agency (m) pension consultant (n) real estate broker or dealer (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  Yes No  Do you control or are you controlled by the related person?		·			
(n) ☐ real estate broker or dealer (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  Yes No  Do you control or are you controlled by the related person?					
(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  Yes No  6. Do you control or are you controlled by the related person?  ○ •					
(p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  Yes No  Do you control or are you controlled by the related person?  • • • • • • • • • • • • • • • • • • •					
6. Do you control or are you controlled by the related person?		(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
7. Are you and the <i>related person</i> under common <i>control</i> ?	6.	Do you control or are you controlled by the related person?			
	7.	Are you and the related person under common control?	•	0	

8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•	
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?				
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:			
		Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:			
		If this address is a private residence, check this box: $\square$			
	(-)			s No	
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	•	
	(b)	If the answer is yes, under what exemption?			
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	0	
	(b)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.			
		Name of Country/English Name of Foreign Financial Regulatory Authority  Switzerland - Swiss Financial Market Supervisory Authority			
11.	Do v	ou and the related person share any supervised persons?		0	
	- 3		e		
12.	Do y	ou and the <i>related person</i> share the same physical location?	0	•	
1.	_	I Name of <i>Related Person</i> : JECT GLOW CO-INVESTMENT FUND (GENPAR), L.L.C.			
2.		ary Business Name of <i>Related Person</i> : JECT GLOW CO-INVESTMENT FUND (GENPAR), L.L.C.			
3.	Rela -	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Othe				
4.	Rela (a)	ted Person's CRD Number (if any):			
	(b)	CIK Number(s) (if any):  No Information Filed			
5.		ted Person is: (check all that apply)			
	(a) (b)	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners)			
	(c)	registered municipal advisor			
	(d)	registered security-based swap dealer			
	(e) (f)	major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
	(g)	futures commission merchant			
	(h)	banking or thrift institution			
	(i)	trust company accountant or accounting firm			
	(k)	lawyer or law firm			
	(I)	insurance company or agency			
	(III)	pension consultant real estate broker or dealer			
	(n) (o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
	D			s No	
6.	DO 2	ou control or are you controlled by the related person?	0	•	
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	•	0	
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•	
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are	ō	Õ	
	(c)	maintained at the <i>related person</i> ?  If you have answered "yes" to question 8 (a) above provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:			

	Number and Street 1: City: State:	Number and Street 2: Country: ZIP+4/Postal Co	de:
	If this address is a private residence, check this box: $\square$		Yes No
9.	(a) If the related person is an investment adviser, is it exempt from re	gistration?	0 0
	(b) If the answer is yes, under what exemption?		
10	). (a) Is the related person registered with a foreign financial regulatory a	uthority?	0 @
	(b) If the answer is yes, list the name and country, in English of each	foreign financial regulatory authority with which the related person is  No Information Filed	registered.
11	. Do you and the related person share any supervised persons?		⊙ ○
12	2. Do you and the <i>related person</i> share the same physical location?		© C
1.	Legal Name of <i>Related Person</i> : GLOBAL CREDIT OPPORTUNITIES FUND (GENPAR), LLC		
2.	Primary Business Name of <i>Related Person</i> : GLOBAL CREDIT OPPORTUNITIES FUND (GENPAR), LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or		
	Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):	No Information Filed	
5.	Related Person is: (check all that apply)  (a) □ broker-dealer, municipal securities dealer, or government securities of the problem of the	her registered or exempt from registration)  excluding pooled investment vehicles	Yes No
6.	Do you control or are you controlled by the related person?		0 @
7.	Are you and the related person under common control?		© C
8.	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related permaintained</i> at the <i>related person</i> ?	s in connection with advisory services you provide to <i>clients</i> ?  Isswered "yes," to question 8.(a) above, have you overcome the provision and thus are not required to obtain a surprise examination for control of the <i>related person's</i> office responsible for <i>custody</i> of you Number and Street 2:  Country:  ZIP+4/Postal Co	your <i>clients'</i> funds or securities that are r <i>clients'</i> assets:
a	(a) If the <i>related person</i> is an investment adviser, is it exempt from re	gistration?	Yes No
7.	(b) If the answer is vest under what exemption?	giod adorr:	0 0

10.	. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  (b) If the answer is yes, list the name and country, in English of each <i>foreign financial</i>		0	•	
11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	No Information Filed	0	C	
10	Do you and the related narrow share the same physical leastion?				
12.	. Do you and the <i>related person</i> share the same physical location?		•	C	
1.	Legal Name of <i>Related Person</i> : BLACKROCK ALTERNATIVES MANAGEMENT, LLC				
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK ALTERNATIVES MANAGEMENT, LLC				
3.	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 110250				
	or Other				
4.	Related Person's  (a) CRD Number (if any): 288041				
	(b) CIK Number(s) (if any):	No Information Filed			
	Related Person is: (check all that apply)  (a)	ed or exempt from registration) oled investment vehicles	Yes		
			0	•	
7.	Are you and the related person under common control?		•	C	
8.	(b) If you are registering or registered with the SEC and you have answered "yes,	," to question 8.(a) above, have you overcome the presumption that you are not operationally are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are		0	
	Number and Street 1: City: State: If this address is a private residence, check this box:	Number and Street 2: Country: ZIP+4/Postal Code:			
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		Yes	s No ⊙	
	(b) If the answer is yes, under what exemption?		-	~	
10.	. (a) Is the related person registered with a foreign financial regulatory authority?		0	e	
	(b) If the answer is yes, list the name and country, in English of each foreign finance	cial regulatory authority with which the related person is registered.  No Information Filed	_		
11.	. Do you and the related person share any supervised persons?		•	0	

Legal Name of Related Person: BOPA1 (GENPAR), LLC  Primary Business Name of Related Person: BOPA1 (GENPAR), LLC  Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  or Other  4. Related Person's (a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer (b) broker-dealer, municipal advisor (c) registered municipal advisor (d) registered security-based swap dealer	
BOPAT (GENPAR), LLC  3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
or Other  4. Related Person's (a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply) (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer (b)   other investment adviser (including financial planners) (c)   registered municipal advisor	
Other  4. Related Person's (a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer (b) other investment adviser (including financial planners) (c) registered municipal advisor	
A. Related Person's  (a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply)  (a)  broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)  other investment adviser (including financial planners)  (c) registered municipal advisor	
(a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  6. Related Person is: (check all that apply)  (a) broker-dealer, municipal securities dealer, or government securities broker or dealer  (b) other investment adviser (including financial planners)  (c) registered municipal advisor	
No Information Filed  5. Related Person is: (check all that apply)  (a)  broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)  other investment adviser (including financial planners)  (c) registered municipal advisor	
<ul> <li>(a)</li></ul>	
<ul> <li>(a)</li></ul>	
(c) registered municipal advisor	
(d) L registered security-based swap dealer	
(e) 🗖 major security-based swap participant	
(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) $\square$ futures commission merchant	
<ul><li>(g) ☐ futures commission merchant</li><li>(h) ☐ banking or thrift institution</li></ul>	
(i)	
(j) □ accountant or accounting firm  (k) □ lawyer or law firm	
(i) $\square$ insurance company or agency	
(m) pension consultant	
(n) $\square$ real estate broker or dealer  (o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
Yes	
Do you control or are you controlled by the related person?	•
Are you and the related person under common control?	0
	•
(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0
(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:	
If this address is a private residence, check this box:   Yes	. No
9. (a) If the related person is an investment adviser, is it exempt from registration?	0
(b) If the answer is yes, under what exemption?	
	•
(b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	
11. Do you and the related person share any supervised persons?	0
12. Do you and the <i>related person</i> share the same physical location?	0
<ol> <li>Legal Name of Related Person:</li> <li>BAA FINANCIAL VENTURES II (GENPAR), LLC</li> </ol>	

2.	Primary Business Name of <i>Related Person</i> : BAA FINANCIAL VENTURES II (GENPAR), LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or	
	Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	Related Person is: (check all that apply)  (a) Discontinuous broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	(e) major security-based swap participant	
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) I futures commission merchant	
	(g) I futures commission merchant  (h) banking or thrift institution	
	(i)  trust company	
	(j) accountant or accounting firm	
	(k) awyer or law firm	
	(I) insurance company or agency	
	(m) pension consultant  (n) real estate broker or dealer	
	(n) I real estate broker or dealer  (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes No
6.	Do you control or are you controlled by the related person?	0 @
7.	Are you and the related person under common control?	<b>⊙</b> 0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	Yes No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	
11.	No Information Filed  Do you and the <i>related person</i> share any <i>supervised persons</i> ?	© 0
12	Do you and the related person share the same physical location?	
12.	Do you and the <i>related person</i> share the same physical location?	<b>⊙</b> C
1.	Legal Name of Related Person:	
	BLACKROCK PRIVATE EQUITY ERB GP, LLC	
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK PRIVATE EQUITY ERB GP, LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	

	Other	
4.	Related Person's  (a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
5.	Related Person is: (check all that apply)  (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer  other investment adviser (including financial planners)  (c)   registered municipal advisor  (d)   registered security-based swap dealer  (e)   major security-based swap participant  (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g)   futures commission merchant  (h)   banking or thrift institution  (i)   trust company  (j)   accountant or accounting firm  (k)   lawyer or law firm  (l)   insurance company or agency  (m)   pension consultant  (n)   real estate broker or dealer  (o)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p)   vertical partner, managing member (or equivalent) of pooled investment vehicles	Vas N
6.	Do you control or are you controlled by the related person?	Yes No
7.	Are you and the related person under common control?	⊙ 0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:</li> </ul>	0 0
	Number and Street 1:Number and Street 2:City:State:Country:ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	Yes No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	<ul> <li>(a) Is the related person registered with a foreign financial regulatory authority?</li> <li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.</li> <li>No Information Filed</li> </ul>	0 @
11.	Do you and the related person share any supervised persons?	⊙ 0
12.	. Do you and the <i>related person</i> share the same physical location?	© 0
1.	Legal Name of <i>Related Person</i> : FONOA (GENPAR), LLC	
2.	Primary Business Name of <i>Related Person</i> : FONOA (GENPAR), LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's  (a) CRD Number (if any):	

or

	(b) CIK Number(s) (if any): No	Information Filed
5.	5. Related Person is: (check all that apply)  (a) □ broker-dealer, municipal securities dealer, or government securities broker or deal  (b) □ other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (whether registered or exe  (g) □ futures commission merchant  (h) □ banking or thrift institution  (i) □ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm  (l) □ insurance company or agency  (m) □ pension consultant  (n) □ real estate broker or dealer  (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment	mpt from registration) estment vehicles vehicles
6.	6. Do you control or are you controlled by the related person?	Yes I
7.	7. Are you and the <i>related person</i> under common <i>control</i> ?	•
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with a (b) If you are registering or registered with the SEC and you have answered "yes," to que independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related</i> Number and Street 1:  City:  State:  Count If this address is a private residence, check this box:</li> </ul>	stion 8.(a) above, have you overcome the presumption that you are not operationally required to obtain a surprise examination for your <i>clients'</i> funds or securities that are <i>person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: er and Street 2:  Ty:  ZIP+4/Postal Code:
9.	9. (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes I
	(b) If the answer is yes, under what exemption?	
10	<ul><li>10. (a) Is the related person registered with a foreign financial regulatory authority?</li><li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory</li><li>No</li></ul>	atory authority with which the related person is registered. Information Filed
1	11. Do you and the related person share any supervised persons?	•
12	12. Do you and the <i>related person</i> share the same physical location?	•
1.	1. Legal Name of <i>Related Person</i> :  BLACKROCK LUXEMBOURG MULTI-ALTERNATIVE INCOME G.P. S.A R.L.	
2.	<ol> <li>Primary Business Name of Related Person: BLACKROCK LUXEMBOURG MULTI-ALTERNATIVE INCOME G.P. S.A R.L.</li> </ol>	
3.	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) -	
	or Other	
4.	4. Related Person's  (a) CRD Number (if any):	
	(b) CIK Number(s) (if any): No	Information Filed
5.	<ul> <li>5. Related Person is: (check all that apply)</li> <li>(a)</li></ul>	er

	<ul><li>(b) □ other investment adviser (including financial planners)</li><li>(c) □ registered municipal advisor</li></ul>	
	(d) $\square$ registered security-based swap dealer	
	(e) $\square$ major security-based swap participant	
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt fi	om registration)
	<ul><li>(g) □ futures commission merchant</li><li>(h) □ banking or thrift institution</li></ul>	
	(i) $\square$ trust company	
	(j) accountant or accounting firm	
	(k) 🗖 lawyer or law firm	
	(I) $\square$ insurance company or agency	
	(m) pension consultant	
	(n) real estate broker or dealer	
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investme</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehice</li> </ul>	
	(p) Early Sportson, general partner, managing member (or equivalent) or pooled investment venic	Yes No
6.	6. Do you control or are you controlled by the related person?	0.0
7.	7. Are you and the <i>related person</i> under common <i>control</i> ?	
8.	8. (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with adviso	ry services you provide to <i>clients</i> ?
	(b) If you are registering or registered with the SEC and you have answered "yes," to question	
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not requimaintained at the <i>related person</i> ?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related perso</i> .  Number and Street 1: Number an	
	City: State: Country:	ZIP+4/Postal Code:
	If this address is a private residence, check this box: $\square$	
9	9. (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes No
	(b) If the answer is yes, under what exemption?	
	(b) If the answer is yes, ander what exemption:	
10.	10. (a) Is the related person registered with a foreign financial regulatory authority?	O @
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory	·
11.	No Infor 11. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	mation Filed  • • •
	· J···································	
12.	12. Do you and the <i>related person</i> share the same physical location?	<b>⊙</b> C
1.	1. Legal Name of <i>Related Person</i> :	
	BLACKROCK SPECIAL OPPORTUNITIES GP, LLC	
2.	2. Primary Business Name of <i>Related Person</i> :	
	BLACKROCK SPECIAL OPPORTUNITIES GP, LLC	
3.	3. <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	-	
	or Other	
4.		
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Infor	mation Filed
_	F. Deleted Developing (electrically all 11 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	
5.	5. Related Person is: (check all that apply)  (a)  ullimits broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) $\square$ other investment adviser (including financial planners)	
	(c) $\square$ registered municipal advisor	
	(d) $\square$ registered security-based swap dealer	
	(e) $\square$ major security-based swap participant	
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt fi	om registration)
	(g) 🗖 futures commission merchant	

	(h) Lanking or thrift institution	
	(i) trust company	
	(j) accountant or accounting firm	
	(k) lawyer or law firm  (l) insurance company or agency	
	(m) pension consultant	
	(n) real estate broker or dealer	
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes No
6.	Do you control or are you controlled by the related person?	0 0
7.	Are you and the <i>related person</i> under common <i>control</i> ?	• o
		• 0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operational	
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that a maintained at the related person?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
	IT this dual ess is a private residence, check this box.	Yes No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11.	Do you and the related person share any supervised persons?	⊙ ○
12	Do you and the <i>related person</i> share the same physical location?	<b>⊙</b> ○
12	so you and the related person share the same physical location.	0 0
1.	Legal Name of <i>Related Person</i> : LINCOLN PENSION PRIVATE EQUITY GP, LLC	
	INSCENTENSION TRAVATE EQUITY SIT, EES	
2.	Primary Business Name of <i>Related Person</i> :	
	LINCOLN PENSION PRIVATE EQUITY GP, LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
J.	-	
	or	
	Other	
4.	Related Person's	
4.	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	Related Person is: (check all that apply)	
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	(e) amajor security-based swap participant  (f) acommodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g)  futures commission merchant	
	(h) banking or thrift institution	
	(i) Tust company	
	(j) accountant or accounting firm	
	(k) lawyer or law firm	
	(I) Insurance company or agency	
	(m) $\square$ pension consultant	

	(n)  real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		- NI-
6	. Do you control or are you controlled by the related person?		s No
0.	Do you control of the you controlled by the related person.	O	•
7.	Are you and the related person under common control?	•	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	$\odot$
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:	Yes	s No
9.	. (a) If the related person is an investment adviser, is it exempt from registration?		0
	(b) If the answer is yes, under what exemption?	~	
10	0. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0	$\odot$
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11	1. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
		•	~
12	2. Do you and the <i>related person</i> share the same physical location?	•	0
1.	. Legal Name of <i>Related Person</i> :		
	TANGO CAPITAL OPPORTUNITIES GP, LLC		
2	Drimary Dusiness Name of Polated Person		
2.	. Primary Business Name of <i>Related Person</i> : TANGO CAPITAL OPPORTUNITIES GP, LLC		
3.	. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or		
	Other		
4.	. Related Person's (a) CRD Number (if any):		
	(a) CND Number (ii arry).		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	. Related Person is: (check all that apply)		
	(a) Duroker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) other investment adviser (including financial planners)		
	(c) $\square$ registered municipal advisor  (d) $\square$ registered security-based swap dealer		
	(d) □ registered security-based swap dealer  (e) □ major security-based swap participant		
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) $\square$ futures commission merchant		
	(h) Denking or thrift institution		
	(i) Trust company		
	<ul><li>(j) □ accountant or accounting firm</li><li>(k) □ lawyer or law firm</li></ul>		
	(i) $\square$ insurance company or agency		
	(m) pension consultant		
	(n)  real estate broker or dealer		
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>		
	(p) — Sponson, goneral partition, managing member (or equivalent) or pooled investment vehicles	Yes	s No
6.	. Do you control or are you controlled by the related person?	0	•

/.	Are you and the related person under common controls	•	0
8.	<ul> <li>(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?</li> </ul>		0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:		
9.	(a) If the related person is an investment adviser, is it exempt from registration?	Yes O	No
	(b) If the answer is yes, under what exemption?		
10.	o. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  (b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	0	•
11.	. Do you and the related person share any supervised persons?	•	0
12.	2. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : TENNENBAUM SENIOR LOAN GP III, LLC		
2.	Primary Business Name of <i>Related Person</i> : TENNENBAUM SENIOR LOAN GP III, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
	No miormation riled		
5.	Related Person is: (check all that apply)  (a)		
	<ul> <li>(i) □ trust company</li> <li>(j) □ accountant or accounting firm</li> <li>(k) □ lawyer or law firm</li> <li>(l) □ insurance company or agency</li> <li>(m) □ pension consultant</li> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>	Yes	No
6.	Do you control or are you controlled by the related person?	Yes O	<b>⊙</b>
7.	Are you and the related person under common control?	•	0
8.	<ul> <li>(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8. (a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?</li> </ul>		0

	<ul> <li>(c) If you have answered "yes" to question 8. (a) above, provide the location of the Number and Street 1:</li> <li>City: State:</li> <li>If this address is a private residence, check this box: □</li> </ul>	he <i>related person's</i> office respor Number and Street 2: Country:	nsible for <i>custody</i> of your <i>clients'</i> assets:  ZIP+4/Postal Code:	
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?			Yes No
10	<ul><li>(b) If the answer is yes, under what exemption?</li><li>(a) Is the related person registered with a foreign financial regulatory authority?</li><li>(b) If the answer is yes, list the name and country, in English of each foreign financial</li></ul>	ncial regulatory authority with wh No Information Filed	nich the <i>related person</i> is registered.	0 @
11	1. Do you and the related person share any supervised persons?	No mormation riled		<b>⊙</b> C
12	2. Do you and the <i>related person</i> share the same physical location?			<b>⊙</b> 0
1.	Legal Name of <i>Related Person</i> : BLACKROCK CASCADE OPPORTUNITIES FUND (GENPAR), LLC			
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK CASCADE OPPORTUNITIES FUND (GENPAR), LLC			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Other			
4.	Related Person's  (a) CRD Number (if any):			
	(b) CIK Number(s) (if any):	No Information Filed		
5.	Related Person is: (check all that apply)  (a) □ broker-dealer, municipal securities dealer, or government securities broke  (b) □ other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (whether registered)  (g) □ futures commission merchant  (h) □ banking or thrift institution  (i) □ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm  (l) □ insurance company or agency  (m) □ pension consultant  (n) □ real estate broker or dealer  (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pools  (p) ▼ sponsor, general partner, managing member (or equivalent) of pooled inventions.	ed or exempt from registration)		Yes No
6.	Do you control or are you controlled by the related person?			Yes No
7.	Are you and the related person under common control?			<b>⊙</b> c
8.	(b) If you are registering or registered with the SEC and you have answered "yes independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus maintained at the <i>related person</i> ?	s," to question 8.(a) above, havus are not required to obtain a s	ve you overcome the presumption that you are not operationally surprise examination for your <i>clients'</i> funds or securities that are	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the Number and Street 1:	Number and Street 2:		
	City: State: If this address is a private residence, check this box: $\square$	Country:	ZIP+4/Postal Code:	
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?			Yes No

	(u)	if the answer is yes, under what exemption?			
10	). (a)	Is the related person registered with a foreign financial regulatory authority?		5	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regu	ulatory authority with which the related person is registered.  Io Information Filed		
11	I. Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?		9	0
				_	
12	ł. Do y	you and the <i>related person</i> share the same physical location?	6	•	0
1.	_	al Name of <i>Related Person</i> : JS INFRA EQUITY (GENPAR), LLC			
2.		nary Business Name of <i>Related Person</i> : US INFRA EQUITY (GENPAR), LLC			
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	- or				
	Othe	er			
4.	Rela	ated Person's			
	(a)	CRD Number (if any):			
	(b)	CIK Number(s) (if any):			
		N	lo Information Filed		
5.		ated Person is: (check all that apply)  Description broker-dealer, municipal securities dealer, or government securities broker or dealer.	aler		
	(b)	other investment adviser (including financial planners)			
	(c) (d)	registered municipal advisor registered security-based swap dealer			
	. ,	major security-based swap participant			
	(f)	commodity pool operator or commodity trading advisor (whether registered or ex futures commission merchant	empt from registration)		
	(g) (h)	banking or thrift institution			
	(i)	trust company			
	(j) (k)	□ accountant or accounting firm □ lawyer or law firm			
	(I)	insurance company or agency			
		pension consultant			
	` '	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled inv	vestment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investmen			
6.	Do y	you control or are you controlled by the related person?		es l	
7	۸ro	you and the related person under common control?			
'.	AIE,	you and the related person under common controls	6	9	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with	advisory services you provide to <i>clients</i> ?	5	•
	(b)		nestion 8.(a) above, have you overcome the presumption that you are not operationally of required to obtain a surprise examination for your <i>clients'</i> funds or securities that are		0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>relate</i>			
			nber and Street 2: ntry: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:	V	es l	Nο
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?		es 1	
	(b)	If the answer is yes, under what exemption?			
10	). (a)	Is the related person registered with a foreign financial regulatory authority?		5	e
		If the answer is yes, list the name and country, in English of each foreign financial regu	ulatory authority with which the related person is registered.	_	ان
11	1. Do \	N you and the <i>related person</i> share any <i>supervised persons</i> ?	lo Information Filed	•	0
11 ' '	- 3	$\varphi$ and $r$ and $r$ are $r$ and $r$ and $r$ and $r$ are $r$ and $r$ and $r$ are $r$ and $r$ and $r$ are $r$ a	,	5/	8.7

12.	Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : AVIATION HOLDINGS III (GENPAR), LLC		
2.	Primary Business Name of <i>Related Person</i> : AVIATION HOLDINGS III (GENPAR), LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
	Related Person is: (check all that apply)  (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)   other investment adviser (including financial planners)  (c)   registered municipal advisor  registered security-based swap dealer  (e)   major security-based swap participant  (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g)   futures commission merchant  (h)   banking or thrift institution  (f)   trust company  (g)   accountant or accounting firm  (k)   lawyer or law firm  (f)   insurance company or agency  (g)   pension consultant  (g)   pension consultant  (g)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (g)   sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes I	No
6.	Do you control or are you controlled by the related person?	0	•
7.	Are you and the related person under common control?	•	0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:  □</li> </ul>	0	0
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes I	
	(b) If the answer is yes, under what exemption?		
10.	<ul><li>(a) Is the related person registered with a foreign financial regulatory authority?</li><li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.</li><li>No Information Filed</li></ul>	0	•
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0

1. Legal Name of Related Person:

	AVIATION HOLDINGS GENPAR, LLC	
2.	Primary Business Name of <i>Related Person</i> : AVIATION HOLDINGS GENPAR, LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
5.	Related Person is: (check all that apply)  (a)	
	(b) other investment adviser (including financial planners)	
	(c) registered municipal advisor (d) registered security-based swap dealer	
	(e) $\square$ major security-based swap dealer	
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g) futures commission merchant	
	<ul><li>(h) □ banking or thrift institution</li><li>(i) □ trust company</li></ul>	
	(j) accountant or accounting firm	
	(k) awyer or law firm	
	(I) Insurance company or agency (m) pension consultant	
	(n) real estate broker or dealer	
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>	
	(p) Sponsor, general partner, managing member (or equivalent) or pooled investment venteres	Yes No
6.	Do you control or are you controlled by the related person?	0 @
7.	Are you and the related person under common control?	⊙ 0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	Yes No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10	o. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	0 6
11	No Information Filed  . Do you and the <i>related person</i> share any <i>supervised persons</i> ?	
1 1	. Do you and the related person share any supervised persons?	⊙ (
12	2. Do you and the <i>related person</i> share the same physical location?	<b>⊙</b> C
1.	Legal Name of <i>Related Person</i> :	
	BLACKROCK NTR RENEWABLE POWER FUND (GENPAR), L.P.	
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK NTR RENEWABLE POWER FUND (GENPAR), L.P.	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	

	-		
	or Other		
4.	4. Related Person's		
т.	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
_			
5.	<ul><li>5. Related Person is: (check all that apply)</li><li>(a)  broker-dealer, municipal securities dealer, or government securities broker or dealer</li></ul>		
	(b)  other investment adviser (including financial planners)		
	(c) $\square$ registered municipal advisor		
	(d) registered security-based swap dealer		
	(e) major security-based swap participant		
	<ul><li>(f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li><li>(g) □ futures commission merchant</li></ul>		
	(h)  banking or thrift institution		
	(i)   trust company		
	(j) accountant or accounting firm		
	(k)  awyer or law firm		
	(I) Insurance company or agency		
	(m) pension consultant (n) real estate broker or dealer		
	(o)  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes No
6.	6. Do you control or are you controlled by the related person?		0 0
7.	7. Are you and the <i>related person</i> under common <i>control</i> ?		0 0
8.	8. (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provi	ide to <i>clients</i> ?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you	ou overcome the presumption that you are not operationally	0 0
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surpr maintained at the related person?	ise examination for your <i>clients'</i> funds or securities that are	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible	e for <i>custody</i> of your <i>clients'</i> assets:	
	Number and Street 1: Number and Street 2: City: State: Country:	ZIP+4/Postal Code:	
	If this address is a private residence, check this box: $\Box$	Zii i iii ostar oode.	
			Yes No
9.	9. (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		0 0
	(b) If the answer is yes, under what exemption?		
10.	10. (a) Is the related person registered with a foreign financial regulatory authority?		0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which	the related person is registered.	-
	No Information Filed		
11.	11. Do you and the related person share any supervised persons?		⊙ 0
12.	12. Do you and the <i>related person</i> share the same physical location?		⊙ 0
1.	Legal Name of <i>Related Person</i> :     BLACKROCK INVESTMENT MANAGEMENT (AUSTRALIA) LIMITED		
2.	Primary Business Name of <i>Related Person</i> :     BLACKROCK INVESTMENT MANAGEMENT (AUSTRALIA) LIMITED		
3.	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-		
	or Other		
4.	4. Related Person's		
	CRD Number (if any):		

	(b)	CIK Number(s) (if any):		
		CIK Number		
		1461626		
5.	Rela	ted Person is: (check all that apply)		
		broker-dealer, municipal securities dealer, or government securities broker or dealer		
	` ,	other investment adviser (including financial planners)		
		registered municipal advisor		
	(C)			
		registered security-based swap dealer		
		major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	□ trust company		
	(j)	accountant or accounting firm		
	(k)	☐ lawyer or law firm		
	(l)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
		sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(1-7		Yes	s Na
6	Do v	you control or are you controlled by the related person?		
0.	БО у	to control of are you controlled by the related person:	O	•
7.	Are y	you and the <i>related person</i> under common <i>control</i> ?	⊙	C
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally		O
	` ,	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		•
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
			Yes	s No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?		0
			•	
	(b)	If the answer is yes, under what exemption?		
		PARTICIPATING AFFILIATE		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	⊙	C
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		Australia - Australian Securities and Investments Commission		
11.	Do y	you and the related person share any supervised persons?	•	О
			~	~
12	Do v	you and the related person share the same physical location?	_	_
12.	БО у	and the related person share the same physical location:	O	•
1	اممہ	Names of Dalatad Dargan.		
1.	_	al Name of <i>Related Person</i> : CKROCK POF IV (GP), LLC		
	DLAC	CROCK FOF IV (GF), LLC		
0	Б.			
2.		pary Business Name of Related Person:		
	BLAC	CKROCK POF IV (GP), LLC		
3.	Rela	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or			
	Othe			
4.	Rela	ted Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		No Information Filed		

5.	content of the cont	
6.		res No
7.	e you and the related person under common control?	<b>⊙</b> 0
8.		0 @ 0 0
	Number and Street 1:  City: State: Number and Street 2:  Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	res No
9.		0 0
10.	) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ? ) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.	0 0
	No Information Filed	
11.	you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙ C
12.	you and the <i>related person</i> share the same physical location?	⊙ C
1.	gal Name of <i>Related Person</i> : ACKROCK POF II (GP), L.P.	
2.	imary Business Name of <i>Related Person</i> : ACKROCK POF II (GP), L.P.	
3.	elated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	her	
4.	elated Person's ) CRD Number (if any):	
	) CIK Number(s) (if any):  No Information Filed	
5.	elated Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or dealer  other investment adviser (including financial planners)  registered municipal advisor	

	(d) $\square$ registered security-based swap dealer	
	(e) $\square$ major security-based swap participant	
	(f) $\Box$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g) $\square$ futures commission merchant	
	(h) Description banking or thrift institution	
	(i)	
	(j) accountant or accounting firm	
	(k) lawyer or law firm	
	(I) Insurance company or agency	
	(m) pension consultant	
	(n) □ real estate broker or dealer  (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>	
	(b) El sponsor, general partner, managing member (or equivalent) or pooled investment vehicles	Yes No
6.	Do you control or are you controlled by the related person?	0 0
		0 0
7.	Are you and the related person under common control?	0 0
	The year and the related person and comment comment	• 0
8	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	
0.		0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box: $\square$	Vac Na
0	(a) If the related person is an investment adviser, is it exempt from registration?	Yes No
9.		0 0
	(b) If the answer is yes, under what exemption?	
10	. (a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	0 0
	No Information Filed	
11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙ ○
12.	. Do you and the <i>related person</i> share the same physical location?	⊙ ○
		~ ~
1.	Legal Name of <i>Related Person</i> :	
	SPECIAL CREDIT OPPORTUNITIES (PARALLEL) (GENPAR) II, LLC	
2	Primary Business Name of Related Person:	
2.	SPECIAL CREDIT OPPORTUNITIES (PARALLEL) (GENPAR) II, LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	-	
	Or	
	Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	Related Person is: (check all that apply)	
	(a) Duroker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b)  other investment adviser (including financial planners)	
	(c) $\square$ registered municipal advisor	
	(d) $\square$ registered security-based swap dealer	
	(e) amajor security-based swap participant	
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g)  ull futures commission merchant	
	(h) banking or thrift institution	
	(i) $\square$ trust company	

	(j) ☐ accountant or accounting firm	
	(k) lawyer or law firm	
	(I) Insurance company or agency	
	(m) pension consultant	
	(n) real estate broker or dealer	
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>	
	(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes No
6	Do you control or are you controlled by the related person?	
0.	be you certified at a four certified by the rotated person.	0 0
7.	Are you and the related person under common control?	⊙ ○
, .		0 0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0 0
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are	0 0
	maintained at the related person?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box: $\Box$	Yes No
9	(a) If the related person is an investment adviser, is it exempt from registration?	
7.		0 0
	(b) If the answer is yes, under what exemption?	
10.	. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	0 0
	No Information Filed	
11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	<b>⊙</b> 0
12.	. Do you and the <i>related person</i> share the same physical location?	⊙ ○
1	Logal Name of Polated Persons	
1.	Legal Name of <i>Related Person</i> :  BLACKROCK BRASIL GESTORA DE INVESTTIMENTOS LTDA.	
	BENONTOCK BITTOLE GESTONT BE INVESTIMENTOS ETBAL	
2.	Primary Business Name of <i>Related Person</i> :	
	BLACKROCK BRASIL GESTORA DE INVESTTIMENTOS LTDA.	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
	No miornation riled	
5.	Related Person is: (check all that apply)	
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) 🗹 other investment adviser (including financial planners)	
	(c) $\square$ registered municipal advisor	
	(d) registered security-based swap dealer	
	(e) major security-based swap participant	
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g) futures commission merchant	
	<ul> <li>(h) □ banking or thrift institution</li> <li>(i) □ trust company</li> </ul>	
	<ul><li>(i) □ trust company</li><li>(j) □ accountant or accounting firm</li></ul>	
	(k) ☐ lawyer or law firm	
	(i) insurance company or agency	
	(m) □ pension consultant	
	(n) $\square$ real estate broker or dealer	
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	

	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		_	
6.	Do y	you control or are you controlled by the related person?		es I	
7.	Are <u>y</u>	you and the <i>related person</i> under common <i>control</i> ?	(	•	0
8.		Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operation		0	
	(c)	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:			
		Number and Street 1:  City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:   Number and Street 2:  Country: ZIP+4/Postal Code:	<b>v</b>	′es∃	Nο
9.		If the <i>related person</i> is an investment adviser, is it exempt from registration?  If the answer is yes, under what exemption?  FOREIGN PRIVATE ADVISER		<b>⊙</b>	
10				⊙	0
		Name of Country/English Name of Foreign Financial Regulatory Authority			
11	. Do y	Brazil - Securities and Exchange Commission  you and the related person share any supervised persons?		•	0
12	2. Do y	you and the <i>related person</i> share the same physical location?	(	0	•
1.	_	yal Name of <i>Related Person</i> : PITOL HILL CO-INVESTMENT FUND (GENPAR), LLC			
2.		mary Business Name of <i>Related Person</i> : PITOL HILL CO-INVESTMENT FUND (GENPAR), LLC			
3.	Rela: -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Othe	ner			
4.		ated Person's  CRD Number (if any):			
	(b)	CIK Number(s) (if any):  No Information Filed			
5.	(a)				
	(c)	registered municipal advisor			
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
	(3)	<ul> <li>☐ futures commission merchant</li> <li>☐ banking or thrift institution</li> <li>☐ trust company</li> </ul>			
	(j) (k)	accountant or accounting firm lawyer or law firm			
	(l) (m)				
	(0)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
6.	(1)	you control or are you controlled by the related person?		es I	

/.	Are you and the <i>related person</i> under common <i>control?</i>	•	С	)
8.	<ul> <li>(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?</li> </ul>	0	0	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:			
9.	(a) If the related person is an investment adviser, is it exempt from registration?	Yes O		
	(b) If the answer is yes, under what exemption?			
10.	D. (a) Is the related person registered with a foreign financial regulatory authority?  (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	0	•	5
	No Information Filed			
11.	1. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	C	)
12.	2. Do you and the <i>related person</i> share the same physical location?	•	O	5
	Legal Name of <i>Related Person</i> : BLACKROCK MEXICO INFRAESTRUCTURA III, S DE R.L. DE C.V.  Primary Business Name of <i>Related Person</i> :			
2.	BLACKROCK MEXICO INFRAESTRUCTURA III, S DE R.L. DE C.V.			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Other			
4.	Related Person's  (a) CRD Number (if any):			
	(b) CIK Number(s) (if any):			
	No Information Filed			
5.	Related Person is: (check all that apply)  (a)			
	(k) □ lawyer or law firm  (l) □ insurance company or agency  (m) □ pension consultant  (n) □ real estate broker or dealer  (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p) ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
		Yes		
Ο.	Do you control or are you controlled by the related person?	0	•	)
7.	Are you and the <i>related person</i> under common <i>control</i> ?	•	С	)
8.		0	•	)
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are	0	С	5

maintained at the related person?

	(c) If you have answered "yes" to question 8.(a) above, provide Number and Street 1:	Number and Street 2:	nsible for <i>custody</i> of your <i>clients'</i> assets:	
	City: State: If this address is a private residence, check this box: $\Box$	Country:	ZIP+4/Postal Code:	
9.	<ul><li>(a) If the <i>related person</i> is an investment adviser, is it exempt from</li><li>(b) If the answer is yes, under what exemption?</li></ul>	om registration?		Yes No
10	<ul><li>0. (a) Is the related person registered with a foreign financial regulate</li><li>(b) If the answer is yes, list the name and country, in English of expressions.</li></ul>		hich the <i>related person</i> is registered.	0 @
11	Do you and the related person share any supervised persons?	No Information Filed		© 0
12	2. Do you and the <i>related person</i> share the same physical location?			0 @
1.	. Legal Name of <i>Related Person</i> : BLACKROCK INFRASTRUCTURE MANAGEMENT I, LLC			
2.	Primary Business Name of <i>Related Person</i> :  BLACKROCK INFRASTRUCTURE MANAGEMENT I, LLC			
3.	. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-	-)		
	or Other			
4.	. Related Person's (a) CRD Number (if any):			
	(b) CIK Number(s) (if any):	No Information Filed		
5.	<ul> <li>Related Person is: (check all that apply)</li> <li>(a) □ broker-dealer, municipal securities dealer, or government</li> <li>(b) ☑ other investment adviser (including financial planners)</li> <li>(c) □ registered municipal advisor</li> <li>(d) □ registered security-based swap dealer</li> <li>(e) □ major security-based swap participant</li> <li>(f) □ commodity pool operator or commodity trading advisor (v.)</li> <li>(g) □ futures commission merchant</li> <li>(h) □ banking or thrift institution</li> <li>(i) □ trust company</li> <li>(j) □ accountant or accounting firm</li> <li>(k) □ lawyer or law firm</li> <li>(l) □ insurance company or agency</li> <li>(m) □ pension consultant</li> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivaled sponsor, general partner, managing member (or equivaled)</li> </ul>	whether registered or exempt from registration entition and the second second entition of the second entities entition of the second enti		Yes N
6.	. Do you control or are you controlled by the related person?			Yes No
7.	. Are you and the <i>related person</i> under common <i>control</i> ?			⊙ 0
8.	<ul> <li>(b) If you are registering or registered with the SEC and you have independent (pursuant to rule 206(4)-2(d)(5)) from the related maintained at the related person?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide</li> </ul>	ve answered "yes," to question 8.(a) above, haved person and thus are not required to obtain a the location of the related person's office response.	ve you overcome the presumption that you are not operationally surprise examination for your <i>clients'</i> funds or securities that are	0 0
	Number and Street 1: City: State:	Number and Street 2: Country:	ZIP+4/Postal Code:	
9.	If this address is a private residence, check this box:   (a) If the <i>related person</i> is an investment adviser, is it exempt from	om registration?		Yes No

(b)	) If the answer is yes, under what exemption? FOREIGN PRIVATE ADVISER		
10. (a)	) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	_	_
(b)		⊙	0
(6)	Name of Country/English Name of Foreign Financial Regulatory Authority		
	Cayman Islands - Cayman Islands Monetary Authority		
11. Do	o you and the related person share any supervised persons?	•	0
12. Do	o you and the <i>related person</i> share the same physical location?	0	•
	egal Name of <i>Related Person</i> : R OPPORTUNISTIC GP, LLC		
	imary Business Name of <i>Related Person</i> : R OPPORTUNISTIC GP, LLC		
3. <i>Re</i> -	elated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
or Ot	ther		
	elated Person's		
(a)	) CRD Number (if any):		
(b)	) CIK Number(s) (if any):  No Information Filed		
(a) (b) (c)	registered municipal advisor		
(d) (e) (f)	major security-based swap participant		
(g) (h)	futures commission merchant		
(i)			
(j) (k)			
(1)			
(m)			
(n) (o)			
(p)			
		Yes	
6. Do	o you control or are you controlled by the related person?	0	⊙
7. Are	re you and the <i>related person</i> under common <i>control</i> ?	•	0
8. (a)	) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	0	0
(c)	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
		Yes	No
9. (a)		0	0
(b)	) If the answer is yes, under what exemption?		
10. (a)		0	•
(b)	) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		

⊙ ⊙

12. Do you and the related person share the same physical location?

	_	al Name of <i>Related Person</i> : CKROCK INTERNATIONAL LIMITED		
<u>)</u> .		nary Business Name of <i>Related Person</i> : CKROCK INTERNATIONAL LIMITED		
3.		ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 51087 er		
١.	(a) (b)	ted Person's  CRD Number (if any): 106843  CIK Number(s) (if any):  CIK Number  1322981		
Ď.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (n) (o)	ted Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or dealer  other investment adviser (including financial planners)  registered municipal advisor  registered security-based swap dealer  major security-based swap participant  commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  futures commission merchant  banking or thrift institution  trust company  accountant or accounting firm  lawyer or law firm  insurance company or agency  pension consultant  real estate broker or dealer  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
<b>)</b> .	Do y	you control or are you controlled by the related person?	Yes	s No
<b>'</b> .	Are y	you and the related person under common control?	•	0
3.	(b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:  Number and Street 1:  Number and Street 2:		0
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
) <sub>.</sub>	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	s No
	(b)	If the answer is yes, under what exemption?		
Ο.		Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	•	0
		South Korea - Financial Supervisory Commission / Financial Supervisory Service  United Kingdom - Financial Conduct Authority		
1.	Do y	you and the related person share any supervised persons?	•	0
2.	Do y	you and the <i>related person</i> share the same physical location?	0	•

1. Legal Name of *Related Person*:

	BLACKROCK ASSET MANAGEMENT INTERNATIONAL INC.		
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK ASSET MANAGEMENT INTERNATIONAL INC.		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	CIK Number		
	1579406		╛
5.	Related Person is: (check all that apply)  (a)		
	(i) ☐ trust company (j) ☐ accountant or accounting firm (k) ☐ lawyer or law firm (l) ☐ insurance company or agency (m) ☐ pension consultant (n) ☐ real estate broker or dealer (sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes N	lo
6.	Do you control or are you controlled by the related person?	0 0	•
7.	Are you and the related person under common contro?	⊙ (	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 (	⊙
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 (	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
		Yes N	lo
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0	0
	(b) If the answer is yes, under what exemption?		
10.	<ul><li>(a) Is the related person registered with a foreign financial regulatory authority?</li><li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed</li></ul>	0 (	•
11.	Do you and the related person share any supervised persons?	⊙ (	0
12.	Do you and the <i>related person</i> share the same physical location?	0 (	•
1.	Legal Name of <i>Related Person</i> : BR CO-INVESTMENT ALFA BETA GP, LLC		
2.	Primary Business Name of <i>Related Person</i> :		

BR CO-INVESTMENT ALFA BETA GP, LLC

3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIV Number (c) (if any ).		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	Related Person is: (check all that apply)		
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) other investment adviser (including financial planners)		
	(c) registered municipal advisor		
	<ul><li>(d) □ registered security-based swap dealer</li><li>(e) □ major security-based swap participant</li></ul>		
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)  utures commission merchant		
	(h) Danking or thrift institution		
	(i) Tust company		
	(j) accountant or accounting firm		
	(k) lawyer or law firm		
	<ul><li>(I) □ insurance company or agency</li><li>(m) □ pension consultant</li></ul>		
	(n) real estate broker or dealer		
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
,		Yes	
<b>5</b> .	Do you control or are you controlled by the related person?	0	⊙
7	Are you and the related person under common control?		_
, .	The year and the related person under common control.	•	0
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	Õ	
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are	~	
	maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:		
		Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	$\circ$
	(b) If the answer is yes, under what exemption?		
10	. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	_	_
10.	(a) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	0	•
	No Information Filed		
11.	. Do you and the related person share any supervised persons?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
			_
1.	Legal Name of Related Person:		
	POF IV GP S.A.R.L.		
_			
2.	Primary Business Name of <i>Related Person</i> :  POF IV GP S.A.R.L.		
	TOTAL OF GRANGE.		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
1	Related Person's		

	(b) CIK Number(s) (if any):	No Information Filed		
		No Information Filed		
5.	Related Person is: (check all that apply)  (a) □ broker-dealer, municipal securities dealer, or government securities broker of other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (whether registered go) □ futures commission merchant  (h) □ banking or thrift institution  (i) □ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm  (l) □ insurance company or agency  (m) □ pension consultant  (n) □ real estate broker or dealer  (s) □ sponsor or syndicator of limited partnerships (or equivalent), excluding poole of pooled investigations.	or exempt from registration)  ed investment vehicles		
6.	Do you control or are you controlled by the related person?			Yes No
7.	Are you and the <i>related person</i> under common <i>control</i> ?			© (
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus a maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the Number and Street 1:  City:  State:  If this address is a private residence, shock this box:  The provide the connection of the part of the p</li></ul>	to question 8.(a) above, have yo are not required to obtain a surpr	ou overcome the presumption that you are not operationally ise examination for your <i>clients'</i> funds or securities that are	0 6
	If this address is a private residence, check this box: $\square$			Yes N
9.	<ul><li>(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>			0 0
10.	. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  (b) If the answer is yes, list the name and country, in English of each <i>foreign financial</i>	al regulatory authority with which t No Information Filed	the <i>related person</i> is registered.	0 0
11.	. Do you and the related person share any supervised persons?			© (
12.	. Do you and the <i>related person</i> share the same physical location?			© (
1.	Legal Name of <i>Related Person</i> : BLACKROCK ASSET MANAGEMENT NORTH ASIA LIMITED			
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK ASSET MANAGEMENT NORTH ASIA LIMITED			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 77343 or Other			
4.	Related Person's  (a) CRD Number (if any):  165482			
	(b) CIK Number(s) (if any):	No Information Filed		

(a) CRD Number (if any):

5	. Rela	ted Person is: (check all that apply)	
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b)	other investment adviser (including financial planners)	
	(c)	registered municipal advisor	
	(d)	registered security-based swap dealer	
	(e)	major security-based swap participant	
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g)	futures commission merchant	
	(h)	banking or thrift institution	
	(i)	trust company	
	(j)	accountant or accounting firm	
	(k)	lawyer or law firm	
	(l)	insurance company or agency	
	(m)	pension consultant real estate broker or dealer	
	(n) (o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(b)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
	(ρ)	Sponsor, general partner, managing member (or equivalent) or pooled investment venicles	Yes N
6	. Do v	you control or are you controlled by the related person?	0 6
	. Do y	you control of the you controlled by the related person.	0 6
7	Δro	you and the related person under common control?	
'	. AIC	you and the related person under common controls	⊙ (
8	(2)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	
0			0 6
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:	
	(0)	Number and Street 1:  Number 2:	
		City: State: Country: ZIP+4/Postal Code:	
		If this address is a private residence, check this box:	
			Yes N
9	. (a)	If the related person is an investment adviser, is it exempt from registration?	0 6
	(b)	If the answer is yes, under what exemption?	
1	0. (a)	Is the related person registered with a foreign financial regulatory authority?	· (
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	
		Name of Country/English Name of Foreign Financial Regulatory Authority	
		China, People's Republic of - China Securities Regulatory Commission	
		Hong Kong - Securities and Futures Commission	
		India - Securities and Exchange Board of India	
		Other - HONG KONG - SECURITIES AND FUTURES COMMISSION	
		South Korea - Financial Supervisory Commission / Financial Supervisory Service	
1	1. Do չ	you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙ (
1.	2. Do y	you and the <i>related person</i> share the same physical location?	0.6
1.	_	al Name of <i>Related Person</i> :	
	1017	AL ALTERNATIVES FUND (GENPAR), LLC	
2	Drim	nary Business Name of Related Person:	
2		AL ALTERNATIVES FUND (GENPAR), LLC	
	1017	AL ALTERNATIVES FORD (GENERAL), LEG	
3	. Rela	nted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	-		
	or		
	Othe		
		er	
4		er	
11		er ated Person's	
	. Rela (a)	eted Person's  CRD Number (if any):	
	. Rela	ated Person's	

5.	Rela	ated Person is: (check all that apply)			
	(a)	broker-dealer, municipal securities dealer, or government securities broker-	oker or dealer		
	(b)	other investment adviser (including financial planners)			
	(c)	registered municipal advisor			
	(d)	registered security-based swap dealer			
	(e)	major security-based swap participant	tored or evenut from regist	(ration)	
	(f) (g)	<ul><li>commodity pool operator or commodity trading advisor (whether regist</li><li>futures commission merchant</li></ul>	tered or exempt from regist	ration)	
	(h)	banking or thrift institution			
	(i)	trust company			
	(j)	accountant or accounting firm			
	(k)	☐ lawyer or law firm			
	(I)	☐ insurance company or agency			
	(m)	pension consultant			
	(n)	real estate broker or dealer			
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding	-	S	
	(p)	sponsor, general partner, managing member (or equivalent) of pooled	investment vehicles		
					Yes No
6.	Do :	you control or are you controlled by the related person?			0 0
7.	Are	you and the related person under common control?			0 0
8.	(a)	Does the related person act as a qualified custodian for your clients in conne	ection with advisory services	s you provide to <i>clients</i> ?	0 0
	(b)	If you are registering or registered with the SEC and you have answered "yindependent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and the maintained at the <i>related person</i> ?			0 0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location o	of the related person's office	responsible for custody of your clients' assets:	
	(0)	Number and Street 1:	Number and Street 2		
		City: State:	Country:	ZIP+4/Postal Code:	
		If this address is a private residence, check this box: $\square$			
					Yes No
9.	(a)	If the related person is an investment adviser, is it exempt from registration	1?		0 0
	(b)	If the answer is yes, under what exemption?			
10	). (a)	Is the related person registered with a foreign financial regulatory authority?			0 0
	(b)	If the answer is yes, list the name and country, in English of each foreign fire	<i>inancial regulatory authority</i> v No Information Fil		
11	Do	you and the related person share any supervised persons?	ווט וווטוווומנוטוו דווי	eu	
' '	. БО	you and the related person share any supervised persons:			⊙ ○
12	) Do	you and the <i>related person</i> share the same physical location?			
12	D0 ,	you and the related person share the same physical location:			• o
1.	Leg	al Name of <i>Related Person</i> :			
	MID	DDLE MARKET SENIOR FUND GP S.A.R.L.			
2.		nary Business Name of <i>Related Person</i> : DDLE MARKET SENIOR FUND GP S.A.R.L.			
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	-				
	or				
	Oth	er			
4.	Pol	ated Person's			
4.	(a)	CRD Number (if any):			
	(4)	end Number (if diffy).			
	(b)	CIK Number(s) (if any):			
			No Information Fil	ed	
5.		ated Person is: (check all that apply)			
	(a)	broker-dealer, municipal securities dealer, or government securities broker-dealer, dealer, de	oker or dealer		
	(b)	other investment adviser (including financial planners)			
	(c) (d)	registered municipal advisor registered security-based swap dealer			
	(e)	paner.			

	(f) U commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g) $\square$ futures commission merchant (h) $\square$ banking or thrift institution	
	(i) $\square$ trust company	
	(j) $\square$ accountant or accounting firm	
	(k) I lawyer or law firm	
	insurance company or agency	
	(m) $\square$ pension consultant (n) $\square$ real estate broker or dealer	
	(a) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(ρ) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes No
6.	Do you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	0 0
7.	Are you and the <i>related person</i> under common <i>control</i> ?	• o
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are	0 0
	maintained at the related person?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
	If this dadress is a private residence, check this box.	Yes No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	• c
		~ ~
12.	Do you and the <i>related person</i> share the same physical location?	⊙ ○
1.	Legal Name of Related Person:	
	GCO LUX GP SARL	
2.	Primary Business Name of Related Person:	
	GCO LÚX GP SARL	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	DF .	
	Other	
4.	Related Person's (a) CRD Number (if any):	
	a) OND Namber (ii arry).	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	Related Person is: (check all that apply)	
	(a) Duroker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) other investment adviser (including financial planners)	
	(c) 🔲 registered municipal advisor (d) 🗖 registered security-based swap dealer	
	(e) $\square$ major security-based swap dealer	
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g)	
	(h) D banking or thrift institution	
	(i) $\square$ trust company (j) $\square$ accountant or accounting firm	
	(k)	

	(I) Insurance company or agency	
	(m) pension consultant	
	(n)  real estate broker or dealer	
	(o) 🗖 sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes No
6.	Do you control or are you controlled by the related person?	0 0
7.	7. Are you and the related person under common control?	⊙ ○
0		
8.		0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not opera independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities t maintained at the related person?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box: $\square$	
0		Yes No
9.	2. (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10	O (a) Is the related person registered with a fereign financial regulatory outbority?	
10.	0. (a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	
	The year and the related person share any supervised persons.	⊙ ○
12.	2. Do you and the <i>related person</i> share the same physical location?	⊙ ○
1.	. Legal Name of Related Person:	
	BLACKROCK ERI PRIVATE OPPORTUNITIES GP S.A R.L.	
2.	Primary Business Name of <i>Related Person</i> :  BLACKROCK ERI PRIVATE OPPORTUNITIES GP S.A R.L.	
3.	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	- or	
	or Other	
4.	Related Person's	
	(a) CRD Number (if any):	
		1
	(b) CIK Number(s) (if any):  No Information Filed	
		ı
5.	5. Related Person is: (check all that apply)	
	(a) broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	(e) major security-based swap participant	
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) $\square$ futures commission merchant	
	(g) L futures commission merchant  (h) D banking or thrift institution	
	(i) Trust company	
	(j) accountant or accounting firm	
	(k) I lawyer or law firm	
	(i) insurance company or agency	
	(m) pension consultant	
	(n) real estate broker or dealer	
	(o) 🗖 sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes No

6.	Do you control or are you controlled by the related person?	0	⊙
7.	Are you and the related person under common contro?	•	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	_	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: $\square$		
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		s No
,	(b) If the answer is yes, under what exemption?		0
	(e) It the answer is yes, and what exemption.		
10	). (a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11	Do you and the related person share any supervised persons?	•	0
12	2. Do you and the <i>related person</i> share the same physical location?	⊙	0
1.	Legal Name of Related Person:		
	BLACKROCK INSTITUTIONAL TRUST COMPANY, N.A.		
2.	Primary Business Name of Related Person:		
	BLACKROCK INSTITUTIONAL TRUST COMPANY, N.A.		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	CIK Number		
	913414		
5.	Related Person is: (check all that apply)		
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) other investment adviser (including financial planners)		
	(c) registered municipal advisor		
	(d) registered security-based swap dealer  (e) major security-based swap participant		
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)  futures commission merchant		
	(h) anking or thrift institution		
	(i) ✓ trust company (j) □ accountant or accounting firm		
	(k)  accountant of accounting firm		
	(I) Insurance company or agency		
	(m) pension consultant		
	(n) real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	4.5 1 2 2 2 2 2 4 4 4 4 4 7 7 2 3 2 3 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4	Yes	s No
6.	Do you control or are you controlled by the related person?	0	•
7.	Are you and the related person under common control?	⊙	$\circ$

Ο.	(a)	boes the related person act as a qualified custodian for your chems in connection with advisory services you provide to chems?		(⊙)
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	•	0
	(b)	If the answer is yes, under what exemption?		
		EXCLUDED FROM THE DEFINITION "INVESTMENT ADVISOR" BY VIRTUE OF BEING A BANK		
10.	. (a)	Is the related person registered with a foreign financial regulatory authority?	•	
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	e	~
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		China, People's Republic of - China Securities Regulatory Commission		
		India - Securities and Exchange Board of India		
		United Kingdom - Financial Conduct Authority		
11.	. Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	$\odot$	$\circ$
4.0	Б			
12.	. Do s	you and the <i>related person</i> share the same physical location?	0	⊙
1.	_	al Name of <i>Related Person</i> : CKROCK NAF FUND A GP, LLC		
	DLA	ICKROCK NAF FUND A GP, LLC		
2.	Prim	nary Business Name of Related Person:		
	BLA	CKROCK NAF FUND A GP, LLC		
2	Dolo	ated Parcon's SEC File Number (if any) (a.g. 901 9 944 902)		
3.	- -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or			
	Othe	er er		
1	Dolo	ated Person's		
4.	(a)	CRD Number (if any):		
	()			
	(b)	CIK Number(s) (if any):		
		No Information Filed		
5.	Rela	ated Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		
	(c) (d)	registered municipal advisor registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	trust company		
	(j) (k)	accountant or accounting firm  lawyer or law firm		
	(I)	insurance company or agency		
	(m)			
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No
6.	Do ۱	you control or are you controlled by the related person?	ves O	
	- )		0	
7.	Are	you and the related person under common control?	•	0
				_
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	$\odot$

		If you are registering or registered with the SEC and you have answered "yes," independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus a maintained at the <i>related person</i> ?	are not required to obtain a surpr	rise examination for your <i>clients'</i> funds or securities that are	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the	·	e for <i>custody</i> of your <i>clients'</i> assets:		
		Number and Street 1: City: State:	Number and Street 2: Country:	ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		2.7		
					Yes	No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			0	$\circ$
	(b)	If the answer is yes, under what exemption?				
10	(2)	Le the voleted person registered with a femigra financial regulatory, sutherity 2				_
10.		Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign financia</i>	al regulatory authority with which t	the related person is registered	0	⊙
	(0)	Ti the answer is yes, list the name and country, in English of each foreign imancia	No Information Filed	the related person is registered.		
11.	. Do y	ou and the related person share any supervised persons?			•	0
12.	. Do y	ou and the related person share the same physical location?			•	0
1.	Lega	I Name of Related Person:				
	_	NYC INFRASTRUCTURE EMERGING MANAGER OPPORTUNITIES GP, LLC				
2.		ary Business Name of <i>Related Person</i> :				
	BIS	NYC INFRASTRUCTURE EMERGING MANAGER OPPORTUNITIES GP, LLC				
3.	Rela	ed Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)				
	-					
	or					
	Othe	r				
4.	Rela	ted Person's				
		CRD Number (if any):				
	(b)	CIK Number(s) (if any):	No Information Filed			
			No illioillation riled			
5.	Rela	ed Person is: (check all that apply)				
	(a)	broker-dealer, municipal securities dealer, or government securities broker of	or dealer			
		other investment adviser (including financial planners)				
	• •	registered municipal advisor registered security-based swap dealer				
	` ,	major security-based swap dealer major security-based swap participant				
	` ,	commodity pool operator or commodity trading advisor (whether registered	or exempt from registration)			
	(g)	futures commission merchant				
		banking or thrift institution				
	• • •	trust company				
	(J) (k)	<ul><li>accountant or accounting firm</li><li>lawyer or law firm</li></ul>				
	` ,	insurance company or agency				
	(m)	pension consultant				
	(n)	real estate broker or dealer				
	` ,	sponsor or syndicator of limited partnerships (or equivalent), excluding pool-				
	(p)	sponsor, general partner, managing member (or equivalent) of pooled inves	stment vehicles		V	NI-
6	Do v	ou control or are you controlled by the related person?			Yes	
Ο.	БО у	ou control of are you controlled by the related person:			O	•
7.	Are '	you and the related person under common control?			•	0
	- 3				٠	
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection	with advisory services you provi	de to clients?	0	•
		If you are registering or registered with the SEC and you have answered "yes,"				Õ
		independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus a	are not required to obtain a surpr	rise examination for your <i>clients'</i> funds or securities that are		
		maintained at the <i>related person</i> ?	related me			
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the Number and Street 1:	Number and Street 2:	e ioi <i>custoay</i> oi your <i>ciients</i> assets:		
		City: State:	Country:	ZIP+4/Postal Code:		

		If this address is a private residence, check this box:	<b>W</b> = =	N
9	(a) (b)	If the <i>related person</i> is an investment adviser, is it exempt from registration?  If the answer is yes, under what exemption?	Yes I	
1	0. (a) (b)	Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	0	•
1	1. Do y	you and the related person share any supervised persons?	•	0
1	2. Do y	you and the <i>related person</i> share the same physical location?	•	0
1	_	al Name of <i>Related Person</i> : PRIVATE CAPITAL III (GENPAR), LLC		
2		nary Business Name of <i>Related Person</i> : PRIVATE CAPITAL III (GENPAR), LLC		
3	. Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4		cted Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):  No Information Filed		
5		broker-dealer, municipal securities dealer, or government securities broker or dealer  other investment adviser (including financial planners)  registered municipal advisor registered security-based swap dealer major security-based swap participant  commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes I	No
6	. Do y	you control or are you controlled by the related person?	O	
7	. Are	you and the related person under common control?	•	0
8	(a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?	0	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:		
		If this address is a private residence, check this box:	Yes I	No
9	. (a)	If the related person is an investment adviser, is it exempt from registration?	0	
	(b)	If the answer is yes, under what exemption?		
1	0. (a)	Is the related person registered with a foreign financial regulatory authority?	0	•

	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
1	Legal Name of <i>Related Person</i> :		
	BLACKROCK MCKINNEY OPPORTUNITIES GP, LLC		
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK MCKINNEY OPPORTUNITIES GP, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	Related Person is: (check all that apply)  (a)		
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	. Nc
6.	Do you control or are you controlled by the related person?		•
7.	Are you and the related person under common control?	•	0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:  Number and Street 1:</li> </ul>		0
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
9.	(a) If the related person is an investment adviser, is it exempt from registration?	Yes	No O
	(b) If the answer is yes, under what exemption?		•
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	. Do you and the related person share any supervised persons?	•	0
12	Do you and the <i>related person</i> share the same physical location?	_	_

	_	Name of <i>Related Person</i> : CKROCK (CHANNEL ISLANDS) LIMITED		
<u>)</u> .		ary Business Name of <i>Related Person</i> : CKROCK (CHANNEL ISLANDS) LIMITED		
8.	Relat	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
ļ.		ted Person's CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		CIK Number 1388403		
		1300403		
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (n) (o)	broker-dealer, municipal securities dealer, or government securities broker or dealer of other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No
). '		ou <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?  you and the <i>related person</i> under common <i>control</i> ?		0
	ALC )	you and the related person under common common	•	0
3.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
		If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number 2:		
		City: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\square$	Yes	No
).	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?		NC.
	(b)	If the answer is yes, under what exemption?		
		FOREIGN PRIVATE ADVISER		
Ο.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	0
	(b)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	_	
		Jersey - Jersey Financial Services Commission		
1.	Do y	ou and the related person share any supervised persons?	⊙	0
2.	Do y	ou and the <i>related person</i> share the same physical location?	0	•

1.	Legal Name of <i>Related Person</i> :  BLACKROCK MASTER HEDGE FUND (GENPAR), LLC	
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK MASTER HEDGE FUND (GENPAR), LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's	
••	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
5.	Related Person is: (check all that apply)  (a)	
	<ul> <li>(i) □ trust company</li> <li>(j) □ accountant or accounting firm</li> <li>(k) □ lawyer or law firm</li> <li>(l) □ insurance company or agency</li> <li>(m) □ pension consultant</li> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>	
6.	Do you control or are you controlled by the related person?	Yes No
7.	Are you and the <i>related person</i> under common <i>control</i> ?	• o
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
	If this address is a private residence, theth this box.	Yes No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	~ ~
11.	Do you and the related person share any supervised persons?	<ul><li>0</li></ul>
12.	Do you and the <i>related person</i> share the same physical location?	0 0
	Legal Name of <i>Related Person</i> : OAK MARSH GLOBAL OPPORTUNITIES FUND (GENPAR), LLC  Primary Business Name of <i>Related Person</i> : OAK MARSH GLOBAL OPPORTUNITIES FUND (GENPAR), LLC	

3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	Related Person is: (check all that apply)		
	(a) broker-dealer, municipal securities dealer, or government securities broker or dealer		
	<ul><li>(b) □ other investment adviser (including financial planners)</li><li>(c) □ registered municipal advisor</li></ul>		
	(c) □ registered municipal advisor  (d) □ registered security-based swap dealer		
	(e)  major security-based swap participant		
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)  futures commission merchant		
	(h) banking or thrift institution		
	<ul><li>(i) □ trust company</li><li>(j) □ accountant or accounting firm</li></ul>		
	(k)   lawyer or law firm		
	(i) insurance company or agency		
	(m) pension consultant		
	(n) real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) <b>☑</b> sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No
<b>5</b> .	Do you control or are you controlled by the related person?	0	
		~	~
7.	Are you and the related person under common contro?	•	0
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	$\odot$
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are	0	$\circ$
	maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:		
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:	Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	
	(b) If the answer is yes, under what exemption?		
10	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
	No Information Filed		
11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12	. Do you and the <i>related person</i> share the same physical location?		_
12	bo you and the related person share the same physical location:	•	0
1.	Legal Name of <i>Related Person</i> :  FM PRIVATE OPPORTUNITIES GP, LLC		
	TW PRIVATE OF ORTONTHES GF, EEC		
2.	Primary Business Name of <i>Related Person</i> :		
	FM PRIVATE OPPORTUNITIES GP, LLC		
2	Polated Person's SEC File Number (if any) (e.g., 901, 9, 944, 902)		
٥.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or		
	Other		
1	Related Person's		
-			

	(b)	CIK Number(s) (if any):	lo Information Filed		
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (k) (l) (m) (n)	other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or ex futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer	empt from registration)		
	(o)				Yes N
6.	Do y	you control or are you controlled by the related person?			0 6
7.	Are	e you and the related person under common control?			<b>⊙</b> (
8.	(a) (b) (c)	If you are registering or registered with the SEC and you have answered "yes," to question independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are no maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related</i>	uestion 8.(a) above, have you on the required to obtain a surprise	examination for your <i>clients'</i> funds or securities that are	0 0
			ntry:	ZIP+4/Postal Code:	
9.	(a) (b)				Yes N
10.	(a) (b)	If the answer is yes, list the name and country, in English of each foreign financial regu	<i>ulatory authority</i> with which the Io Information Filed	related person is registered.	0 (
11.	Do y	you and the related person share any supervised persons?	o momatism nod		· •
12.	Do y	you and the related person share the same physical location?			⊙ (
1.	_	gal Name of <i>Related Person</i> : OBAL ENERGY & POWER INFRASTRUCTURE GP, L.P.			
2.		mary Business Name of <i>Related Person</i> : DBAL ENERGY & POWER INFRASTRUCTURE GP, L.P.			
3.	Rela	lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Othe	ner			
4.	Rela (a)	lated Person's  CRD Number (if any):			
	(b)	CIK Number(s) (if any):	lo Information Filed		

(a) CRD Number (if any):

5.	Related Person is: (check all that apply)	
	(a) $\square$ broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) $\square$ other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	(e) major security-based swap participant	
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g)  futures commission merchant	
	(h) banking or thrift institution	
	(i) Trust company	
	(j) accountant or accounting firm	
	(k) awyer or law firm	
	(I) Insurance company or agency	
	(m) pension consultant	
	(n) real estate broker or dealer	
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes No
6.	Do you control or are you controlled by the related person?	0 0
7.	Are you and the related person under common control?	• o
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not ope	
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securitie maintained at the <i>related person</i> ?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	
		Yes No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	D. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	
	No Information Filed	
11.	1. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙ ○
		• 0
12	2. Do you and the <i>related person</i> share the same physical location?	6.0
12.	Bo you and the related person share the same physical location.	© C
1.	Legal Name of Related Person:	
	FUTUREADVISOR, INC.	
2.	Primary Business Name of Related Person:	
	FUTUREADVISOR, INC.	
3.		
	801 - 71929	
	or	
	Other	
4.		
	(a) CRD Number (if any):	
	154604	
	(b) CIK Number(s) (if any):	
	CIK Number	
	1556846	
		1
5.		
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) $\square$ registered security-based swap dealer	

	(e)		
	(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		Yes No
6.	6. Do you control or are you controlled by the related person?		0 0
7.	7. Are you and the related person under common contro?		⊙ ○
8.	<ul> <li>8. (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you profile.</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surmaintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsi Number and Street 1:  City:  State:  Country:  If this address is a private residence, check this box:   </li> </ul>	you overcome the presumption that you are not operationally rprise examination for your <i>clients'</i> funds or securities that are	O
9.			O O
	(b) If the answer is yes, under what exemption?		
10.	<ul><li>(a) Is the related person registered with a foreign financial regulatory authority?</li><li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which</li></ul>	th the <i>related person</i> is registered.	0 0
11.	No Information Filed  11. Do you and the <i>related person</i> share any <i>supervised persons</i> ?		• o
12.	12. Do you and the <i>related person</i> share the same physical location?		0 0
	1. Legal Name of <i>Related Person</i> : BLACKROCK FINANCIAL MANAGEMENT, INC  2. Primary Business Name of <i>Related Person</i> :		
	BLACKROCK FINANCIAL MANAGEMENT, INC		
3.	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 48433 or Other		
4.	4. Related Person's  (a) CRD Number (if any):  107105		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	5. Related Person is: (check all that apply)  (a)		
.1	(j) 🗖 accountant or accounting firm		

	(N)		
	(I)	☐ insurance company or agency ) ☑ pension consultant	
	(n)		
	(o)		
	(p)		
	(۲)	Spensor, general partner, managing member (or equivalent) or pooled investment verious	Yes No
1	5. Do	you control or are you controlled by the related person?	⊙ ⊖
-	7. Are	e you and the related person under common control?	⊙ ○
8	3. (a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b)		0 0
	()	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are	0 0
		maintained at the related person?	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
		Number and Street 1: Number and Street 2:	
		City: State: Country: ZIP+4/Postal Code:	
		If this address is a private residence, check this box: $\Box$	\/ NI
1	) (a)	If the related paragraphs on investment advisor is it even the resistantian?	Yes No
	9. (a)		0 0
	(b)	If the answer is yes, under what exemption?	
	10 (-)		
	10. (a)		⊙ ○
	(b)		
		Name of Country/English Name of Foreign Financial Regulatory Authority  Canada - Alberta Securities Commission	
		Canada - British Columbia Securities Commission	
		Canada - Manitoba Securities Commission	
		Canada - New Brunswick Securities Commission	
		Canada - Newfoundland and Labrador, Financial Services Regulation Division	
		Canada - Northwest Territories, Office of the Registrar of Securities	
		Canada - Nova Scotia Securities Commission	
		Canada - Nunavut, Registrar of Securities	
		Canada - Ontario Securities Commission	
		Canada - Prince Edward Island, Securities Office	
		Canada - Quebec, Financial Markets Authority	
		Canada - Saskatchewan Financial Services Commission	
		Canada - Yukon Territories, Registrar of Securities	
		Ireland - Central Bank of Ireland	
	11 Do		
	II. DO	you and the related person share any supervised persons?	⊙ ೧
	12 Do	you and the <i>related person</i> share the same physical location?	
	12. D0	you and the related person share the same physical location?	0 0
L			
-	I. Leg	gal Name of <i>Related Person</i> :	
	BLA	ACKROCK ENERGY OPPORTUNITY FUND GP, LLC	
2		mary Business Name of <i>Related Person</i> :	
	BLA	ACKROCK ENERGY OPPORTUNITY FUND GP, LLC	
	3. Rel	lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	- or		
	or Oth	her	
	Ott		
	1. Rel	lated Person's	
	(a)		
	(b)		
		No Information Filed	
	5. Rel	lated Person is: (check all that apply)	

	(a) D broker-dealer, municipal securities dealer, or government securities broker of	or dealer		
	(b) $\square$ other investment adviser (including financial planners)			
	(c) $\square$ registered municipal advisor			
	(d) $\square$ registered security-based swap dealer			
	(e) $\square$ major security-based swap participant			
	(f) commodity pool operator or commodity trading advisor (whether registered	or exempt from registration)		
	(g) futures commission merchant			
	(h) Deanking or thrift institution			
	(i) trust company			
	(j) accountant or accounting firm			
	<ul><li>(k) □ lawyer or law firm</li><li>(l) □ insurance company or agency</li></ul>			
	(m) pension consultant			
	(n) $\square$ real estate broker or dealer			
	(i) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding poole	led investment vehicles		
	(p) <b>☑</b> sponsor, general partner, managing member (or equivalent) of pooled invest			
		Υ	es N	٧c
6.	Do you control or are you controlled by the related person?		0 (	•
7.	Are you and the related person under common control?		•	O
8.	(a) Does the related person act as a qualified custodian for your clients in connection	with advisory services you provide to clients?	0 (	•
	(b) If you are registering or registered with the SEC and you have answered "yes,"	to question 8.(a) above, have you overcome the presumption that you are not operationally	0 (	O
		are not required to obtain a surprise examination for your clients' funds or securities that are		
	maintained at the related person?			
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the			
	Number and Street 1:	Number and Street 2:		
	City: State:  If this address is a private residence, check this box: $\Box$	Country: ZIP+4/Postal Code:		
	IT this address is a private residence, theth this box.	Y	es N	۷c
9.	(a) If the related person is an investment adviser, is it exempt from registration?		0 (	
	(b) If the answer is yes, under what exemption?	· ·	_ '	
	(b) If the answer is yes, ander what exemption.			
10.	. (a) Is the related person registered with a foreign financial regulatory authority?		0 (	<u> </u>
	(b) If the answer is yes, list the name and country, in English of each foreign financia		,	
		No Information Filed		
11.	. Do you and the related person share any supervised persons?		•	O
12.	. Do you and the <i>related person</i> share the same physical location?	•	•	O
				_
				Ξ
1.	Legal Name of Related Person:			
	BLACKROCK GLOBAL RENEWABLE POWER FUND II (UK GENPAR) LLP			
2.	Primary Business Name of Related Person:			
	BLACKROCK GLOBAL RENEWABLE POWER FUND II (UK GENPAR) LLP			
	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
3.	-			
	ОГ			
	Other			
4.	Related Person's			
	(a) CRD Number (if any):			
	(b) CIK Number(s) (if any):			
	(b) One mainbor (b) (ii dify).	No Information Filed		
5.	Related Person is: (check all that apply)			
	(a) Durker-dealer, municipal securities dealer, or government securities broker of	or dealer		
	(b) $\square$ other investment adviser (including financial planners)			
	(c) $\square$ registered municipal advisor			
	(d) registered security-based swap dealer			
	(e)  major security-based swap participant			
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered $\square$	or exempt from registration)		

	<ul> <li>(g)  ☐ futures commission merchant</li> <li>(h)  ☐ banking or thrift institution</li> <li>(i)  ☐ trust company</li> <li>(j)  ☐ accountant or accounting firm</li> <li>(k)  ☐ lawyer or law firm</li> <li>(l)  ☐ insurance company or agency</li> <li>(m)  ☐ pension consultant</li> <li>(n)  ☐ real estate broker or dealer</li> <li>(o)  ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p)  ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>		
6.	Do you control or are you controlled by the related person?	Yes O	
7.	Are you and the related person under common control?	•	0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:</li> </ul>	0	
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:		
9.	(a) If the related person is an investment adviser, is it exempt from registration?	Yes	
7.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0	0
	(e) It the allener to Jee, and that exemption		
10.	). (a) Is the related person registered with a foreign financial regulatory authority?	0	$\odot$
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	. Do you and the related person share any supervised persons?	•	0
12.	2. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : FACULTAS FUND 2 (GENPAR), LLC  Primary Business Name of <i>Related Person</i> :		
	FACULTAS FUND 2 (GENPAR), LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	Related Person is: (check all that apply)  (a)		

	(m) pension consultant		
	(n)  real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🔽 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
4	Do you control or are you controlled by the related narrow?		No
Ο.	Do you control or are you controlled by the related person?	0	⊙
7	Are you and the related person under common control?		_
•		•	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally		0
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are	_	
	maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: $\Box$		
		Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10	(a) In the valeted margan registered with a foreign financial regulatory authority?	_	
10.	). (a) Is the related person registered with a foreign financial regulatory authority?	0	⊙
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	. Do you and the related person share any supervised persons?	•	0
		~	~
12.	2. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> :		
••	TENNENBAUM SPECIAL SITUATIONS MM IX, LLC		
2.			
	TENNENBAUM SPECIAL SITUATIONS MM IX, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or and the state of the state o		
	Other		
4.	Related Person's		
•••	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	Related Person is: (check all that apply)		
	(a) broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) other investment adviser (including financial planners)		
	(c) registered municipal advisor		
	(d) registered security-based swap dealer  (e) major security-based swap participant		
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) futures commission merchant		
	(h) banking or thrift institution		
	(i) trust company		
	(j) accountant or accounting firm		
	(k) I lawyer or law firm		
	(I) Insurance company or agency (m) pension consultant		
	(ii) Perision consultant  (n) real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) <b>☑</b> sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
,			No
6.	Do you control or are you controlled by the related person?	0	⊙

7.	Are	you and the related person under common contro?	•	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	Ö	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number 2:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
	(b)	If the answer is yes, under what exemption?		
10		Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	0	•
11	Do y	you and the related person share any supervised persons?	•	0
12	Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	Lega	al Name of <i>Related Person</i> :		
	_	CKROCK PRIVATE EQUITY WY, LLC		
2.		nary Business Name of <i>Related Person</i> : CKROCK PRIVATE EQUITY WY, LLC		
3.	Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4.	Rela (a)	ated Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):  No Information Filed		
5.	(a) (b) (c) (d)	ated Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or dealer  other investment adviser (including financial planners)  registered municipal advisor  registered security-based swap dealer		
	(e) (f) (g)	major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant		
	(h) (i)	banking or thrift institution trust company		
	(j) (k)	<ul> <li>accountant or accounting firm</li> <li>lawyer or law firm</li> <li>insurance company or agency</li> </ul>		
	(n) (m)	pension consultant		
	(n) (o)	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6.	Do y	you control or are you controlled by the related person?	Yes	
7.	Are	you and the related person under common contro?	•	0
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0	0

independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are

	(c)	maintained at the <i>related perso.</i> If you have answered "yes" to		cation of the <i>related person's</i> office	responsible for <i>custody</i> of your <i>clients'</i> assets:	
		Number and Street 1: City:	State:	Number and Street 2: Country:	ZIP+4/Postal Code:	
		If this address is a private resid		country.	ZIF +4/FOStal Code.	
9.	(a)	If the <i>related person</i> is an invest	tment adviser, is it exempt from regi	istration?		Yes No
	(b)	If the answer is yes, under wha	at exemption?			
10.	(a)	Is the <i>related person</i> registered	l with a foreign financial regulatory aut	thority?		0 0
	(b)	If the answer is yes, list the na	me and country, in English of each fo	oreign financial regulatory authority w No Information File	with which the related person is registered.	
11.	Do y	ou and the <i>related person</i> share	any supervised persons?	NO IIIIOITTIALIOII FIIE	eu	• c
12	Do v	ou and the <i>related person</i> share	the same physical location?			<b>⊙</b> ○
		and the related person share	The same physical location.			
1.	_	I Name of <i>Related Person:</i> CKROCK RRR (GENPAR), LLC				
2	Prim	ary Business Name of <i>Related Pe</i>	erson:			
۷.		CKROCK RRR (GENPAR), LLC	5.501.			
3.	Rela	ted Person's SEC File Number (if a	any) (e.g., 801-, 8-, 866-, 802-)			
	or					
	Othe					
4.		ted Person's CRD Number (if any):				
	(b)	CIK Number(s) (if any):				
				No Information File	ed	
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (k) (l) (m) (o)	other investment adviser (in registered municipal advisor registered security-based major security-based swap commodity pool operator of futures commission merchall banking or thrift institution accountant or accounting fill lawyer or law firm insurance company or agent pension consultant real estate broker or dealer sponsor or syndicator of line.	ecurities dealer, or government securities dealer, or government securities dealer or government securities dealer or participant or commodity trading advisor (whether ant or commodity trading advisor for the commodity trading advisor (whether ant or commodity trading advisor for the commodity trading advisor f	er registered or exempt from registr		Yes No
6.	Do y	ou <i>control</i> or are you <i>controlled</i> b	by the related person?			0 0
7.	Are	you and the <i>related person</i> under	r common <i>control</i> ?			<b>©</b> C
8.	(a)	Does the <i>related person</i> act as a	a qualified custodian for your <i>clients</i> i	in connection with advisory services	s you provide to <i>clients</i> ?	○ ⊙
	(b)		206(4)-2(d)(5)) from the related pers	-	re, have you overcome the presumption that you are not operation ain a surprise examination for your <i>clients'</i> funds or securities that	
	(c)	If you have answered "yes" to Number and Street 1:	question 8.(a) above, provide the lo	cation of the <i>related person's</i> office Number and Street 2:	responsible for <i>custody</i> of your <i>clients</i> ' assets:	
		City:	State:	Country:	ZIP+4/Postal Code:	
		If this address is a private resid	uerice, check this dox: L			Yes No

₹. (a)	If the related person is an investment adviser, is it exempt from registration?	0	0
(b)	If the answer is yes, under what exemption?		
10 (a)	Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	_	•
(b)			•
	No Information Filed		
11. Do	you and the related person share any supervised persons?	⊙	0
12. Do	you and the <i>related person</i> share the same physical location?		0
		•	0
_	gal Name of <i>Related Person</i> :		
BLA	ACKROCK CREDIT ALPHA (GENPAR), L.L.C.		
2. Prir	mary Business Name of <i>Related Person</i> :		
BLA	ACKROCK CREDIT ALPHA (GENPAR), L.L.C.		
3. Rela	lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
-			
or Oth	ner		
	lated Person's		
(a)	CRD Number (if any):		
(b)			
	No Information Filed		
	lated Person is: (check all that apply)		
(a) (b)			
(c)	registered municipal advisor		
(d)			
(e)	<ul><li>major security-based swap participant</li><li>commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li></ul>		
(f) (g)			
(h)			
(i)	trust company		
(j) (k)	<ul> <li>accountant or accounting firm</li> <li>lawyer or law firm</li> </ul>		
(I)	insurance company or agency		
(m)			
(n) (o)	_		
(p)			
			s No
6. Do	you control or are you controlled by the related person?	0	⊙
7. Are	e you and the related person under common control?	•	0
8. (a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally		•
(b)	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are	0	0
(c)	maintained at the related person?  If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
(0)	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
	it this address is a private residence, check this box. I	Yes	s No
9. (a)	If the related person is an investment adviser, is it exempt from registration?	0	0
(b)	If the answer is yes, under what exemption?		
10. (a)	Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	_	•
(b)		0	٠
	No Information Filed		

11.	Do you and the related person share any supervised persons?	$\odot$	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : BL LEPUS GENPAR LLC		
2.	Primary Business Name of <i>Related Person</i> : BL LEPUS GENPAR LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
6.	Related Person is: (check all that apply)  (a)	Yes ○	•
0			
8.	<ul> <li>(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?</li> </ul>	0	
	(c) If you have answered "yes" to question 8. (a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
0	(a) If the related person is an investment advisor, is it asserted from registration?	Yes	
9.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0	0
10.	<ul><li>(a) Is the related person registered with a foreign financial regulatory authority?</li><li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered. No Information Filed</li></ul>	0	•
11.	Do you and the related person share any supervised persons?	$\odot$	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0

1.	Legal Name of <i>Related Person</i> :  BLACKROCK HOMESTEAD PRIVATE OPPORTUNITIES GP, LLC		
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK HOMESTEAD PRIVATE OPPORTUNITIES GP, LLC		
3	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
J.	-		
	or Other		
	Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
<u>.</u>	Related Person is: (check all that apply)		
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) other investment adviser (including financial planners)		
	(c) $\square$ registered municipal advisor  (d) $\square$ registered security-based swap dealer		
	(e) $\square$ major security-based swap participant		
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) futures commission merchant		
	<ul><li>(h) □ banking or thrift institution</li><li>(i) □ trust company</li></ul>		
	(j) accountant or accounting firm		
	(k) $\square$ lawyer or law firm		
	(I) Insurance company or agency		
	(m) ☐ pension consultant  (n) ☐ real estate broker or dealer		
	(i) a real estate broker of dealer  (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) <b>☑</b> sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes I	
<b>5</b> .	Do you control or are you controlled by the related person?	0	⊙
7.	Are you and the related person under common control?	•	0
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:		
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
	this against is a private residence, check this box.	Yes I	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10.	. (a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	. Do you and the related person share any supervised persons?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
			<u>=</u>
1.	Legal Name of Related Person:		
	PORTFOLIO ADMINISTRATION & MANAGEMENT LTD.		
2.	Primary Business Name of Related Person:		
	PORTFOLIO ADMINISTRATION & MANAGEMENT LTD.		

3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or		
	Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(In) CMC Normalia and a Notice and a		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	Related Person is: (check all that apply)  (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)   other investment adviser (including financial planners)  (c)   registered municipal advisor  (d)   registered security-based swap dealer  (e)   major security-based swap participant  (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g)   futures commission merchant  (h)   banking or thrift institution  (i)   trust company  (j)   accountant or accounting firm  (k)   lawyer or law firm  (i)   insurance company or agency  (m)   pension consultant  (n)   real estate broker or dealer  (p)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p)   sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(b) El sponsor, general partner, managing member (or equivalent) or pooled investment venicles	Yes	No
6.	Do you control or are you controlled by the related person?	0	$\odot$
7.	Are you and the related person under common control?	•	0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:</li> </ul>		0
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
	This dadies is a private residence, criscit this bex.	Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	_	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		•
	No Information Filed		
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : BLACKROCK FUND ADVISORS		
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK FUND ADVISORS		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 22609 or		
	Other		
4.	Related Person's		

	(a)	CRD Number (if any): 105247		
	(b)	CIK Number(s) (if any):		
	(6)	CIK Number		
		1006249		
5.		ated Person is: (check all that apply)		
	(b)	other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	□ trust company		
	(j)	accountant or accounting firm		
	(k)	lawyer or law firm		
	(I)	insurance company or agency		
	(m)			
	(n)	real estate broker or dealer		
	(0)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Vo	s N
6	Do v	you control or are you controlled by the related person?		
Ο.	D0 3	you control of are you controlled by the related person:	O	9
7	۸ro	you and the related percenting common central?	_	
1.	Are	you and the <i>related person</i> under common <i>control</i> ?	•	(
0	(-)			
8.		Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?		(
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	(
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\square$		
			Ye	s N
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	0
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	0
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
		Name of Country/English Name of Foreign Financial Regulatory Authority  India - Securities and Exchange Board of India		
11	Do v	you and the related person share any supervised persons?		
		you are the related percent errar of any edipertitions.	· ·	(
12.	Do y	you and the related person share the same physical location?	0	6
1.	Lega	al Name of <i>Related Person</i> :		
	_	ACKROCK GLOBAL RENEWABLE POWER FUND III (GENPAR), LLC		
2.		mary Business Name of <i>Related Person</i> : ACKROCK GLOBAL RENEWABLE POWER FUND III (GENPAR), LLC		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or			
	Othe	uer en		
4.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(1.)			
	(D)	CIK Number(s) (if any):		

No Information Filed

<u>5</u> .	Related Person is: (check all that apply)	
	(a) Durker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	<ul><li>(e) □ major security-based swap participant</li><li>(f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li></ul>	
	<ul><li>(h) □ banking or thrift institution</li><li>(i) □ trust company</li></ul>	
	(j) accountant or accounting firm	
	(k) ☐ lawyer or law firm	
	(i) $\square$ insurance company or agency	
	(m) □ pension consultant	
	(n)  real estate broker or dealer	
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes N
<b>ó</b> .	Do you control or are you controlled by the related person?	0
7.	Are you and the related person under common control?	•
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are	0
	maintained at the <i>related person</i> ?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box: 🗖	
		Yes N
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0
	(b) If the answer is yes, under what exemption?	
10	. (a) Is the related person registered with a foreign financial regulatory authority?	0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	
	No Information Filed	
11	. Do you and the related person share any supervised persons?	⊙ (
12	. Do you and the <i>related person</i> share the same physical location?	·
1.	Legal Name of Related Person:	
	NC GARNET FUND (GENPAR), LLC	
,	Deliverant Description Manual of Deliveral Description	
۷.	Primary Business Name of <i>Related Person</i> :  NC GARNET FUND (GENPAR), LLC	
	NC GARNET FUND (GENPAR), LLC	
3	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
٥.	-	
	or	
	Other	
1.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
_	Deleted Demonsie. (about all that apply)	
Ο.	Related Person is: (check all that apply)	
	(a) broker-dealer, municipal securities dealer, or government securities broker or dealer  (b) section investment adviser (including financial planners)	
	<ul><li>(b) □ other investment adviser (including financial planners)</li><li>(c) □ registered municipal advisor</li></ul>	
	(c)	

	(d) 📙 re	egistered security-based swap dealer	
	(e) 🗖 m	najor security-based swap participant	
	(f) 🗖 co	ommodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g) 🗖 fu	utures commission merchant	
	(h) 🗖 b	anking or thrift institution	
	(i) 🗖 tr	rust company	
	(j) 🗖 ad	ccountant or accounting firm	
		awyer or law firm	
		nsurance company or agency	
		ension consultant	
		eal estate broker or dealer	
	` ' _	ponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
		ponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
	(p) E 3	portsor, general partner, managing member (or equivalent) or pooled investment venicles	Yes No
6	Do you car	trol or are you controlled by the related person?	
0.	Do you con	tror or are you controlled by the related person:	0 @
_	•		
1.	Are you and	d the <i>related person</i> under common <i>control</i> ?	⊙ 0
8.	(a) Does	the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you	are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0 0
		endent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are	
	maint	ained at the related person?	
	(c) If you	have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Numb	per and Street 1: Number and Street 2:	
	City:	State: Country: ZIP+4/Postal Code:	
	If this	s address is a private residence, check this box: 🗖	
			Yes No
9.	(a) If the	related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the	answer is yes, under what exemption?	
10.	. (a) Is the	related person registered with a foreign financial regulatory authority?	0 0
	(b) If the	answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	
		No Information Filed	
11.	. Do you and	I the related person share any supervised persons?	⊙ ⊙
12.	. Do you and	I the related person share the same physical location?	⊙ ⊙
1.	-	e of Related Person:	
	IFO PRIVAT	TE OPPORTUNITIES GP, LLC	
0	D . D		
2.	•	siness Name of <i>Related Person</i> :	
	IFO PRIVAT	TE OPPORTUNITIES GP, LLC	
2	Dolated Dar	son's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
٥.	related Per	SOT'S SEC FIIE NUMBER (II ally) (e.g., 801-, 8-, 800-, 802-)	
	or		
	Other		
4.	Related Per.	son's	
		umber (if any):	
	(=)		
	(b) CIK Nu	umber(s) (if any):	
		No Information Filed	
5.	Related Per	son is: (check all that apply)	
	(a) 🗖 b	roker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) 🗖 o	ther investment adviser (including financial planners)	
		egistered municipal advisor	
		egistered security-based swap dealer	
		najor security-based swap participant	
		ommodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
		utures commission merchant	
		anking or thrift institution	
		rust company	

	<ul> <li>(j) accountant or accounting firm</li> <li>(k) lawyer or law firm</li> <li>(l) insurance company or agency</li> <li>(m) pension consultant</li> <li>(n) real estate broker or dealer</li> <li>(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> </ul>	
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes No
6.	. Do you control or are you controlled by the related person?	○ ●
7.	. Are you and the related person under common control?	⊙ ⊖
8.	. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not open independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities maintained at the related person?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	Yes No
9.	. (a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	0. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	o
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	
11.	No Information Filed  1. Do you and the related person share any supervised persons?	⊙ ⊖
12.	2. Do you and the <i>related person</i> share the same physical location?	• c
2.	Legal Name of <i>Related Person</i> : BLACKROCK ADVISORS (UK) LIMITED  Primary Business Name of <i>Related Person</i> : BLACKROCK ADVISORS (UK) LIMITED  **Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 802 - 76133  or Other	
4.	. Related Person's (a) CRD Number (if any):	
	162380	
	(b) CIK Number(s) (if any):  CIK Number	
	1034551	
5.	. Related Person is: (check all that apply)  (a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer  (b) ▼ other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) □ futures commission merchant  (h) □ banking or thrift institution  (i) □ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm  (l) □ insurance company or agency  (m) □ pension consultant  (p) □ real estate broker or dealer	

	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6.	Do y	you control or are you controlled by the related person?	Yes	
7.	Are	you and the related person under common control?	•	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
		If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	Ö	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
			Yes	
9.		If the <i>related person</i> is an investment adviser, is it exempt from registration?	•	0
	(b)	If the answer is yes, under what exemption? PARTICIPATING AFFILIATE		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	0
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
		Name of Country/English Name of Foreign Financial Regulatory Authority  China Desplois Despublic of China Countries Desputatory Commission		
		China, People's Republic of - China Securities Regulatory Commission  Other - SAUDI ARABIA - CAPITAL MARKET AUTHORITY		
		South Korea - Financial Supervisory Commission / Financial Supervisory Service		
		United Kingdom - Financial Conduct Authority		
11.	Do y	you and the related person share any supervised persons?	•	_
	- 3		•	
12.	Do y	you and the <i>related person</i> share the same physical location?	0	$\odot$
1.	_	al Name of <i>Related Person</i> : NENBAUM ENHANCED YIELD MM I, LLC		
2.		nary Business Name of <i>Related Person</i> : INENBAUM ENHANCED YIELD MM I, LLC		
3.	Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or			
	Othe	er er		
4.	Pola	ated Person's		
4.		CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		No Information Filed		
5.	Rela	ated Person is: (check all that apply)		
		broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		
	(c) (d)	registered municipal advisor registered security-based swap dealer		
		major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
		banking or thrift institution		
	(i) (j)	□ trust company □ accountant or accounting firm		
	(k)	☐ lawyer or law firm		
	(I)	insurance company or agency		
	` '			
	(n)	real estate broker or dealer		

sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Voc	s No	
ou control or are you controlled by the related person?		• NO	
you and the <i>related person</i> under common <i>control</i> ?	•	0	
Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	$\odot$	
If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0	
If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:			
Number and Street 1: Number and Street 2:			
City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:			
The dual case is a private residence, shock this sext	Yes	s No	
If the related person is an investment adviser, is it exempt from registration?	0	0	
If the answer is yes, under what exemption?			
Is the related person registered with a foreign financial regulatory authority?	0	•	
If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed			
ou and the <i>related person</i> share any <i>supervised persons</i> ?	•	0	
ou and the <i>related person</i> share the same physical location?	•	0	
			1
I Name of Related Person:			
BAL ENERGY & POWER INFRASTRUCTURE GP II, L.P.			
ary Business Name of <i>Related Person</i> :			
BAL ENERGY & POWER INFRASTRUCTURE GP II, L.P.			
ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
r			
ted Person's			
CRD Number (if any):			
CIK Number(s) (if any):			
No Information Filed			
ted Person is: (check all that apply)			
broker-dealer, municipal securities dealer, or government securities broker or dealer			
other investment adviser (including financial planners)			
registered municipal advisor registered security-based swap dealer			
major security-based swap participant			
commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
futures commission merchant			
banking or thrift institution			
trust company			
accountant or accounting firm			
<ul> <li>□ lawyer or law firm</li> <li>□ insurance company or agency</li> </ul>			
pension consultant			
real estate broker or dealer			
sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
	Yes	s No	
ou <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	0	⊙	
you and the <i>related person</i> under common <i>control</i> ?	_	_	
, 12 22	(•)		1

8.	(a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?	0	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:		
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
		If the answer is yes, under what exemption?		
10.		Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	0	0
11.	Do y	you and the related person share any supervised persons?	•	0
12.	Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	_	al Name of <i>Related Person</i> : CKROCK PRIVATE EQUITY AK, LLC		
2.		nary Business Name of <i>Related Person</i> : CKROCK PRIVATE EQUITY AK, LLC		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4.		ated Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):  No Information Filed		
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (n) (o)	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	Mar-	
6.	Do y	you control or are you controlled by the related person?	Yes O	
7.	Are :	you and the related person under common control?	•	0
8.	(a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:	0	

		Number and Street 2:	
	City: State: If this address is a private residence, check this box: $\square$	Country: ZIP+4/Postal Code:	Yes No
9.	. (a) If the <i>related person</i> is an investment adviser, is it exempt from re	egistration?	0 0
	(b) If the answer is yes, under what exemption?		
10	0. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory a</i>	authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each	h <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered. No Information Filed	
11.	1. Do you and the related person share any supervised persons?	No Illioimation Filed	· 0
10	2. Do you and the related person share the same physical leastion?		
12	2. Do you and the <i>related person</i> share the same physical location?		⊙ ○
1.	Legal Name of <i>Related Person</i> : SVOF/MM, LLC, SERIES G		
2.	Primary Business Name of <i>Related Person</i> : SVOF/MM, LLC, SERIES G		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	. Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):	No Information Filed	
		No information riled	
5.	(a) □ broker-dealer, municipal securities dealer, or government securities of the investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (where the security securi	ether registered or exempt from registration) , excluding pooled investment vehicles	Yes No
6.	Do you control or are you controlled by the related person?		0 0
7.	Are you and the related person under common control?		© 0
8.	(b) If you are registering or registered with the SEC and you have are independent (pursuant to rule 206(4)-2(d)(5)) from the related permaintained at the related person?	Ints in connection with advisory services you provide to <i>clients</i> ?  Inswered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally <i>erson</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are a location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:  Number and Street 2:	o
	City: State:	Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box: $\Box$		Yes No
9.		egistration?	0 0
	(b) If the answer is vest under what exemption?		

10	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	_	
		No Information Filed		
11	Do y	you and the related person share any supervised persons?	•	0
12	Do y	you and the <i>related person</i> share the same physical location?	⊙	0
1.	Lega	al Name of <i>Related Person</i> :		
	CAM	IP BAY FUND (GENPAR), LLC		
_				
2.		nary Business Name of <i>Related Person</i> : IP BAY FUND (GENPAR), LLC		
	O7 (IV)			
3.	Rela	nted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or Othe			
	Othe			
4.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):  No Information Filed		
		No final final		
5.		eted Person is: (check all that apply)		
		broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)			
		registered municipal advisor  registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	□ futures commission merchant		
	(h)	banking or thrift institution		
	(i)	trust company		
	(j)	accountant or accounting firm		
	(k)	lawyer or law firm		
	(I)	☐ insurance company or agency ☐ pension consultant		
	(m) (n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No
5.	Do y	you control or are you controlled by the related person?	0	$\odot$
<i>/</i> .	Are	you and the related person under common control?	⊙	0
3.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	_	_
J.	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally		0
	(6)	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	O	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:	Yes	: No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?		O
		If the answer is yes, under what exemption?	0	•
	(~)			
10	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	_	_
		No Information Filed		
11.	. Do ۱	you and the related person share any supervised persons?	•	0

12.	. Do you and the related person share the same physical location:	•	0
1.	Legal Name of <i>Related Person</i> : ORANGE PEP GP, LLC		
2.			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or		
	Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
	Related Person is: (check all that apply)  (a)	Yes ©	
7.	Are you and the related person under common control?	•	
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	_
	<ul> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients</i> assets:</li> </ul>	0	
	Number and Street 1:  City: State: Number and Street 2:  Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:	Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  (b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	0	•
11.	. Do you and the related person share any supervised persons?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
1	Legal Name of Related Person:		

BLACKROCK SONJ II GP, LLC

2.	Primary Business Name of <i>Related Person</i> : BLACKROCK SONJ II GP, LLC					
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)					
	- or					
	Other					
4.	Related Person's					
	(a) CRD Number (if any):					
	(b) CIK Number(s) (if any):					
	No Information Filed					
5.	Related Person is: (check all that apply)					
0.	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer					
	(b) other investment adviser (including financial planners)					
	(c) registered municipal advisor  (d) registered security-based swap dealer					
	(e)  major security-based swap participant					
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)					
	<ul><li>(g)  futures commission merchant</li><li>(h)  banking or thrift institution</li></ul>					
	(i)  trust company					
	(j) accountant or accounting firm					
	(k) awyer or law firm  (l) insurance company or agency					
	(m) pension consultant					
	(n) real estate broker or dealer					
	(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles					
	(p) <b>☑</b> sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No			
6.	Do you control or are you controlled by the related person?	0	•			
7.	Are you and the related person under common control?	•	0			
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•			
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0				
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:					
	Number and Street 1: Number and Street 2:					
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:					
		Yes	No			
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0			
	(b) If the answer is yes, under what exemption?					
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•			
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed					
11.	Do you and the related person share any supervised persons?	•	0			
12.	Do you and the <i>related person</i> share the same physical location?	•	0			
	Legal Name of <i>Related Person</i> :  MERCURY CARRY COMPANY LIMITED					
2.	Primary Business Name of <i>Related Person</i> :					
	MERCURY CARRY COMPANY LIMITED					
3.	SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)					

	Other	
4.	Related Person's  (a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
5.	Related Person is: (check all that apply)  (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)   other investment adviser (including financial planners)  (c)   registered municipal advisor  (d)   registered security-based swap dealer  (e)   major security-based swap participant  (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g)   futures commission merchant  (h)   banking or thrift institution  (i)   rust company  (j)   accountant or accounting firm  (k)   lawyer or law firm  (l)   insurance company or agency  (m)   pension consultant  (n)   real estate broker or dealer  (o)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p)   vertical vertical partner, managing member (or equivalent) of pooled investment vehicles	Vas Ni
6.	Do you control or are you controlled by the related person?	Yes No
7.	Are you and the related person under common control?	<b>⊙</b> 0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:         <ul> <li>Number and Street 1:</li> </ul> </li> </ul>	0 0
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
9.	<ul><li>(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	Yes No
10.	. (a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11.	. Do you and the related person share any supervised persons?	⊙ 0
12.	Do you and the <i>related person</i> share the same physical location?	0 @
1.	Legal Name of <i>Related Person</i> : BLACKROCK LIFE LIMITED	
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK LIFE LIMITED	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's  (a) CRD Number (if any):	

or

	(b)	CIK Number(s) (if any):						
CIK Number								
		1549649						
5.	Rela	ated Person is: (check all that apply)						
0.		broker-dealer, municipal securities dealer, or government securities broker or dealer						
	. ,	other investment adviser (including financial planners)						
	(c)	registered municipal advisor						
	(d)	registered security-based swap dealer						
	(e)	major security-based swap participant						
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)						
	(g)	futures commission merchant						
	(h)	banking or thrift institution						
	(i)	☐ trust company						
	(i)	accountant or accounting firm						
	(14)							
	(k)	lawyer or law firm						
	(1)	insurance company or agency						
	(m)							
	(n)	real estate broker or dealer						
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles						
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles						
			Yes	s No				
6.	Do v	you control or are you controlled by the related person?	_	•				
	20 )			٠				
_	_							
/.	Are	you and the related person under common control?	⊙	0				
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•				
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally		0				
	(2)	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are		0				
		maintained at the related person?						
	(0)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:						
	(c)							
		Number and Street 1: Number and Street 2:						
		City: State: Country: ZIP+4/Postal Code:						
		If this address is a private residence, check this box: $\square$						
			Yes	; Nc				
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	•	C				
	(b)	If the answer is yes, under what exemption?						
	` '	FOREIGN INSURANCE COMPANY						
10	. (a)	Is the related person registered with a foreign financial regulatory authority?	_	_				
10			•	0				
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.						
		Name of Country/English Name of Foreign Financial Regulatory Authority						
		United Kingdom - Financial Conduct Authority						
		United Kingdom - Prudential Regulation Authority						
11	Do v	you and the related person share any supervised persons?		_				
1 1	. DO 5	you and the related person share any supervised persons!	•	0				
12	. Do y	you and the <i>related person</i> share the same physical location?	0	$\odot$				
1.	Lega	al Name of <i>Related Person</i> :						
	_	CO-INVESTMENT FUND V (GENPAR), LLC						
	2,							
2	Drim	agry Duginage Name of Delated Derson.						
2.		nary Business Name of <i>Related Person</i> :						
	BAA	BAA CO-INVESTMENT FUND V (GENPAR), LLC						
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)						
	-							
	or							
	Othe	er er						
4.	Rela	ated Person's						
	(a)	CRD Number (if any):						
	•							
	(h)	b) CIK Number(s) (if any):						

No Information Filed

	Rela	ated Person is: (check all that apply)			
(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer					
	. ,	other investment adviser (including financial planners)			
	(c)	registered municipal advisor registered security-based swap dealer			
	(d) (e)	registered security-based swap dealer  major security-based swap participant			
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
	(g)	futures commission merchant			
	(h)	banking or thrift institution			
	(i)	□ trust company			
	(j)	accountant or accounting firm			
	(k)	□ lawyer or law firm			
	(l)	insurance company or agency			
	(m)				
	(n)	real estate broker or dealer			
	(0)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
	Dow	you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	Yes		
	БО у	you control of are you controlled by the related person?	0	•	
	۸ro	you and the related person under common control?	_	_	
•	Are ;	you and the related person under common control?	⊙	C	
	(0)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	_	_	
	(a)		0		
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are	0	C	
maintained at the related person?					
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:			
	(-)	Number and Street 1: Number and Street 2:			
		City: Country: ZIP+4/Postal Code:			
		If this address is a private residence, check this box: 🗖			
			Yes		
	(a)	If the related person is an investment adviser, is it exempt from registration?	0	C	
	(b)	If the answer is yes, under what exemption?			
_					
Ο.		Is the related person registered with a foreign financial regulatory authority?	0	•	
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.			
1	D	No Information Filed			
Ι.	ро у	you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙	C	
2	Day	way and the related marcon chara the come physical location?	_		
۷.	ро у	you and the <i>related person</i> share the same physical location?	⊙	C	
				_	
	Lega	al Name of <i>Related Person</i> :			
	_	IG TERM PRIVATE CAPITAL GP S.A R.L.			
		nary Business Name of <i>Related Person</i> :			
	LON	IG TERM PRIVATE CAPITAL GP S.A R.L.			
	5 /				
•	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or				
	Othe	er			
	Rela	ated Person's			
	(a)	CRD Number (if any):			
	(b)	CIK Number(s) (if any):			
		No Information Filed			
	Rela	ated Person is: (check all that apply)			
-		broker-dealer, municipal securities dealer, or government securities broker or dealer			
	(b)				

(c)  $\Box$  registered municipal advisor

	(d) 🗖 registered security-based swap dealer		
	(e) 🗖 major security-based swap participant		
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) $\square$ futures commission merchant		
	(h) $\square$ banking or thrift institution		
	(i) Tust company		
	(j) $\square$ accountant or accounting firm		
	(k) I lawyer or law firm		
	(I) $\square$ insurance company or agency		
	(m) pension consultant		
	(n) $\square$ real estate broker or dealer		
	(o) 🗖 sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	No
6.	Do you control or are you controlled by the related person?	0	⊙
7.	Are you and the related person under common control?	⊙	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0	0
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are		
	maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: $\square$		
		Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10.	. (a) Is the related person registered with a foreign financial regulatory authority?	0	⊙
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
	No Information Filed		
11.	. Do you and the related person share any supervised persons?	⊙	0
12.	. Do you and the <i>related person</i> share the same physical location?	⊙	0
1	Legal Name of Related Person:		
· ·	BLACKROCK DIVPEP IV LLC		
2.	Primary Business Name of Related Person:		
	BLACKROCK DIVPEP IV LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or OU		
	Other		
4	Dalatad Parsan's		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	Related Person is: (check all that apply)		
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)  ather investment adviser (including financial planners)		
	(c) $\square$ registered municipal advisor		
	(d) $\square$ registered security-based swap dealer		
	(e) $\square$ major security-based swap participant		
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)  utures commission merchant		
	(h) D banking or thrift institution		
	(i) $\square$ trust company		

	<ul> <li>(j)  □ accountant or accounting firm</li> <li>(k)  □ lawyer or law firm</li> <li>(l)  □ insurance company or agency</li> <li>(m)  □ pension consultant</li> <li>(n)  □ real estate broker or dealer</li> <li>(o)  □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p)  ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>		
6.	Do you control or are you controlled by the related person?	Yes	
7.	Are you and the related person under common control?	•	0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> </ul>	0	
	(c) If you have answered "yes" to question 8. (a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:	Vac	No
9.	<ul><li>(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	Yes O	
10.	(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  (b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	0	•
	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?  . Do you and the <i>related person</i> share the same physical location?	•	
1.	Legal Name of <i>Related Person</i> : BLACKROCK REALTY ADVISORS INC		
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK REALTY ADVISORS INC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 54217 or Other		
4.	Related Person's  (a) CRD Number (if any): 109457  (b) CIK Number(s) (if any): CIK Number 1579407		
5.	Related Person is: (check all that apply)    (a)		

	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	. No
6. Do y	ou control or are you controlled by the related person?		•
7. Are y	you and the <i>related person</i> under common <i>control</i> ?	•	0
8. (a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	_	_
(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:		0
(C)	Number and Street 1:  Number and Street 2:		
	City: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: $\square$		
9. (a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
		O	•
(b)	If the answer is yes, under what exemption?		
10. (a)	Is the related person registered with a foreign financial regulatory authority?	0	$\odot$
(b)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed		
11. Do y	ou and the related person share any supervised persons?	•	0
12. Do y	ou and the <i>related person</i> share the same physical location?	0	⊙
			$\equiv$
1. Lega	Il Name of Related Person:		
BLAC	CKROCK GSA PRIVATE OPPORTUNITIES GP, LLC		
	ary Business Name of <i>Related Person</i> : CKROCK GSA PRIVATE OPPORTUNITIES GP, LLC		
3. Relat -	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
or Othe			
Othe			
	ted Person's		
(a)	CRD Number (if any):		
(b)	CIK Number(s) (if any):		
	No Information Filed		
	ted Person is: (check all that apply)		
(a) (b)	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners)		
(c)	registered municipal advisor		
	registered security-based swap dealer		
(e)	major security-based swap participant		
(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
(g)	futures commission merchant		
(h)	banking or thrift institution		
(I) (j)	trust company accountant or accounting firm		
(k)	lawyer or law firm		
(l)	insurance company or agency		
(m)	pension consultant		
(n)	real estate broker or dealer		
(0)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	. No
6. Do y	ou control or are you controlled by the related person?		• IVO
,			~
7. Are y	you and the <i>related person</i> under common <i>control</i> ?	•	0

8.	(b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?	0	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:		
9.		If the <i>related person</i> is an investment adviser, is it exempt from registration?  If the answer is yes, under what exemption?	Yes O	
10.	(a)	Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	0	0
11.	Do y	you and the related person share any supervised persons?	•	0
12.	Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	_	al Name of <i>Related Person</i> : RIVER PRIVATE EQUITY III, LLC		
2.		nary Business Name of <i>Related Person</i> :  RIVER PRIVATE EQUITY III, LLC		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4.		ated Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):  No Information Filed		
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (n) (o)	tited Person is: (check all that apply)  □ broker-dealer, municipal securities dealer, or government securities broker or dealer  □ other investment adviser (including financial planners)  □ registered municipal advisor  □ registered security-based swap dealer  □ major security-based swap participant  □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  □ futures commission merchant  □ banking or thrift institution  □ trust company  □ accountant or accounting firm  □ lawyer or law firm  □ insurance company or agency  □ pension consultant  □ real estate broker or dealer  □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6.	Do y	you control or are you controlled by the related person?	Yes	
7.	Are y	you and the related person under common control?	•	0
8.		Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:	0	

		Number and Street 1:	Number and Street 2:			
		City: State:  If this address is a private residence, check this box:	Country:	ZIP+4/Postal Code:		
	. (a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			Yes	
	(b)	If the answer is yes, under what exemption?			O	0
10	0. (a)	Is the related person registered with a foreign financial regulatory authority?			_	•
		If the answer is yes, list the name and country, in English of each <i>foreign financia</i>		the <i>related person</i> is registered.	U	٠
1	1. Do \	you and the related person share any supervised persons?	No Information Filed			0
	_				· ·	
1:	2. Do y	you and the related person share the same physical location?			•	0
F						
1.	_	al Name of <i>Related Person</i> : CKROCK INVESTMENT MANAGEMENT (KOREA) LIMITED				
2		nary Business Name of <i>Related Person</i> :  CKROCK INVESTMENT MANAGEMENT (KOREA) LIMITED				
3	. Rela	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)				
	- or					
	Othe	er -				
4		ted Person's  CRD Number (if any):				
	(b)	CIK Number(s) (if any):  CIK Number				
		1559919				
5		broker-dealer, municipal securities dealer, or government securities broker other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pools sponsor, general partner, managing member (or equivalent) of pooled investigations.	f or exempt from registration)		Yes	s No
6	. Do y	you control or are you controlled by the related person?				s No ⊙
7	. Are	you and the <i>related person</i> under common <i>control</i> ?			•	0
8	. (a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection If you are registering or registered with the SEC and you have answered "yes," independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus maintained at the <i>related person</i> ?	to question 8.(a) above, have yo	ou overcome the presumption that you are not operationally		0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the Number and Street 1:	e related person's office responsible  Number and Street 2:	e for <i>custody</i> of your <i>clients'</i> assets:		
		City: State:  If this address is a private residence, check this box:	Country:	ZIP+4/Postal Code:		
					Yes	
9	. (a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			•	0

	(b)	If the answer is yes, under what exemption? FOREIGN PRIVATE ADVISER		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	0
		If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		South Korea - Financial Supervisory Commission / Financial Supervisory Service		
11.	Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙	0
12.	Do y	you and the <i>related person</i> share the same physical location?	0	•
1.	_	al Name of <i>Related Person</i> : CKROCK ASSET MANAGEMENT DEUTSCHLAND AG		
2.		nary Business Name of <i>Related Person</i> : CKROCK ASSET MANAGEMENT DEUTSCHLAND AG		
3.	Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4.	Rela	ated Person's		
4.	(a)	CRD Number (if any):		
	(b)	CIV Number(s) (if any)		
	(b)	CIK Number(s) (if any):  CIK Number		
		1415064		
	(b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (o) (p)	▼       broker-dealer, municipal securities dealer, or government securities broker or dealer         ✓       other investment adviser (including financial planners)         registered municipal advisor       registered security-based swap dealer         major security-based swap participant       commodity pool operator or commodity trading advisor (whether registered or exempt from registration)         futures commission merchant       banking or thrift institution         trust company       accountant or accounting firm         lawyer or law firm       insurance company or agency         pension consultant       real estate broker or dealer         sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles         ¬ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No
		you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	0	•
7.		you and the related person under common control?	•	0
8.		Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:  City:  Country:  TID: 4/Destal Code:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	•	0
	(b)	If the answer is yes, under what exemption? FOREIGN PRIVATE ADVISER		

10.	(a)	Is the related person registered with a foreign financial regulatory authority?			•	C
	(b)	If the answer is yes, list the name and country, in English of each foreign financial in	regulatory authority with which th	ne related person is registered.		
		Name of Country/English Name of Foreign Financial Regulatory Authority				
		Germany - German Federal Financial Supervisory Agency				
11.	Do y	you and the related person share any supervised persons?			•	C
12.	Do y	you and the related person share the same physical location?			0	œ
1.	_	al Name of <i>Related Person</i> : CKROCK US COMMERCIAL REAL ESTATE WHOLE LOAN FUND (GENPAR), LTD.				
2.		nary Business Name of <i>Related Person</i> : CKROCK US COMMERCIAL REAL ESTATE WHOLE LOAN FUND (GENPAR), LTD.				
3.	Rela -	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)				
	or Othe	er				
4	Dolo	stad Daraania				
4.		ted Person's  CRD Number (if any):				
	(b)	CIK Number(s) (if any):				
			No Information Filed			
	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (o) (p)	<ul> <li>□ other investment adviser (including financial planners)</li> <li>□ registered municipal advisor</li> <li>□ registered security-based swap dealer</li> <li>□ major security-based swap participant</li> <li>□ commodity pool operator or commodity trading advisor (whether registered or futures commission merchant</li> <li>□ banking or thrift institution</li> <li>□ trust company</li> <li>□ accountant or accounting firm</li> <li>□ lawyer or law firm</li> <li>□ insurance company or agency</li> <li>□ pension consultant</li> <li>□ real estate broker or dealer</li> <li>□ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled</li> <li>▼ sponsor, general partner, managing member (or equivalent) of pooled investor</li> </ul>	r exempt from registration)		Yes	
6.	Do 7	you control or are you controlled by the related person?			0	•
7.	Are	you and the related person under common control?			•	C
8.	(a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection we If you are registering or registered with the SEC and you have answered "yes," to independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are maintained at the <i>related person</i> ?	o question 8.(a) above, have you	overcome the presumption that you are not operationally	0	
	(c)		Number and Street 2:			
		City: State: C  If this address is a private residence, check this box:	Country:	ZIP+4/Postal Code:		<b>.</b>
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			Yes	
	(b)	If the answer is yes, under what exemption?				
10.	(a)	Is the related person registered with a foreign financial regulatory authority?			0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial in	regulatory authority with which th No Information Filed	ne related person is registered.	~	•
11.	Do y	you and the related person share any supervised persons?			•	0

12.	Do you and the <i>related person</i> share the same physical location?	•	0			
1.	Legal Name of <i>Related Person</i> : BLACKROCK EXECUTION SERVICES					
2. Primary Business Name of <i>Related Person</i> : BLACKROCK EXECUTION SERVICES						
3.	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 8 - 48719 or					
	Other					
4.	Related Person's  (a) CRD Number (if any):     39438  (b) CIK Number(s) (if any):     CIK Number					
	1002197					
	Related Person is: (check all that apply)  (a)	Yes				
7.	Are you and the related person under common control?	•				
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:</li> </ul>	0				
	If this address is a private residence, check this box:	Yes	No			
9.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0	0			
10.	<ul> <li>(a) Is the related person registered with a foreign financial regulatory authority?</li> <li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.         No Information Filed     </li> </ul>	0	•			
11.	Do you and the related person share any supervised persons?	•	0			
12.	Do you and the <i>related person</i> share the same physical location?	0	•			

1.	Legal Name of <i>Related Person</i> : ASIA-PACIFIC PRIVATE CREDIT OPPORTUNITIES FUND I (GENPAR), L.P.	
2.	Primary Business Name of <i>Related Person</i> : ASIA-PACIFIC PRIVATE CREDIT OPPORTUNITIES FUND I (GENPAR), L.P.	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	-	
	or Other	
4	Delated Derson's	
4.	Related Person's  (a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
5.	Related Person is: (check all that apply)	
	(a) broker-dealer, municipal securities dealer, or government securities broker or dealer	
	<ul><li>(b) □ other investment adviser (including financial planners)</li><li>(c) □ registered municipal advisor</li></ul>	
	(d)  registered security-based swap dealer	
	(e) major security-based swap participant	
	<ul><li>(f)  commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li><li>(g)  futures commission merchant</li></ul>	
	(h) banking or thrift institution	
	(i) Trust company	
	<ul> <li>(j) accountant or accounting firm</li> <li>(k) lawyer or law firm</li> </ul>	
	(k) ☐ lawyer or law firm  (l) ☐ insurance company or agency	
	(m) pension consultant	
	(n) real estate broker or dealer  (a) spansor or syndicator of limited partnerships (or equivalent), excluding peoled investment vehicles	
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>	
		Yes No
6.	Do you control or are you controlled by the related person?	0 0
7.	Are you and the related person under common control?	o 0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	
		Yes No
9.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0 0
	(b) If the diswel is yes, dider what exemption.	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	○ ⊙
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11.	Do you and the related person share any supervised persons?	0 0
12.	Do you and the <i>related person</i> share the same physical location?	o 0
1.	Legal Name of <i>Related Person</i> : PRIVATE EQUITY PARTNERS GPLP VII, L.P.	
2.	Primary Business Name of <i>Related Person</i> : PRIVATE EQUITY PARTNERS GPLP VII, L.P.	

3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	Related Person is: (check all that apply)		
	<ul> <li>(a)</li></ul>		
	<ul><li>(b) □ other investment adviser (including financial planners)</li><li>(c) □ registered municipal advisor</li></ul>		
	(d) registered security-based swap dealer		
	(e)  major security-based swap participant		
	(f) $\Box$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) futures commission merchant		
	(h) banking or thrift institution		
	<ul><li>(i) □ trust company</li><li>(j) □ accountant or accounting firm</li></ul>		
	(k) ☐ lawyer or law firm		
	(I) Insurance company or agency		
	(m) pension consultant		
	(n) real estate broker or dealer		
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>		
	(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No
<b>5</b> .	Do you control or are you controlled by the related person?	0	
7.	Are you and the related person under common control?	•	0
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are	0	$\circ$
	maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
	If this address is a private residence, check this box.	Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	
	(b) If the answer is yes, under what exemption?	_	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	$\odot$
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
1 1	No Information Filed		_
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	•	_
		· ·	0
			_
1.	Legal Name of <i>Related Person</i> : ISHARES (DE) I INVESTMENTAKTIENGESELLSCHAFT MIT TEILGESELLSCHAFTSVERMAGEN		
	TOTALLE (BZ) THE LEVI MENT AND TELEBESELES IN A TELEBESEL		
2.	Primary Business Name of Related Person:		
	ISHARES (DE) I INVESTMENTAKTIENGESELLSCHAFT MIT TEILGESELLSCHAFTSVERMAGEN		
2	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
٠.	-		
	or		
	Other		
1	Related Person's		

	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		CIK Number		
		1512562		
5.	Rela	ated Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	<ul><li>banking or thrift institution</li><li>trust company</li></ul>		
	(i) (j)	accountant or accounting firm		
	(k)	□ lawyer or law firm		
	(I)	insurance company or agency		
	(m)			
	(n)	real estate broker or dealer		
	(0)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	s No
6.	Do :	you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	0	•
7.	Are	you and the related person under common control?	•	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?		_
		If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally		•
	(b)	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
		If this address is a private residence, check this box:	Vos	s No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?		O
/.	. ,		•	0
	(b)	If the answer is yes, under what exemption? PARTICIPATING AFFILIATE		
10	). (a)	Is the related person registered with a foreign financial regulatory authority?	•	0
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	~	~
	. ,	Name of Country/English Name of Foreign Financial Regulatory Authority		
		Germany - German Federal Financial Supervisory Agency		
11	. Do	you and the <i>related person</i> share any <i>supervised persons</i> ?	0	0
			~	~
12	2. Do :	you and the <i>related person</i> share the same physical location?	0	•
			~	
1.	_	al Name of <i>Related Person</i> :		
	BLA	ACKROCK HEARTLAND PRIVATE OPPORTUNITIES GP, LLC		
2	Drin	mary Business Name of <i>Related Person</i> :		
2.		CKROCK HEARTLAND PRIVATE OPPORTUNITIES GP, LLC		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or			
	Oth	ner		
	C ,	atad Davage's		
4.		ated Person's  CRD Number (if any):		
	(a)	υναιτίρει (ii dity).		
	(b)	CIK Number(s) (if any):		

	5.7			
		ated Person is: (check all that apply)  Description of the property of the pro		
	` ,	other investment adviser (including financial planners)		
		registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  futures commission merchant		
	(g) (h)	banking or thrift institution		
	(i)	□ trust company		
	(j)	accountant or accounting firm		
	(k)	lawyer or law firm		
	(l)	insurance company or agency		
	(m) (n)	pension consultant  real estate broker or dealer		
		sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No
	Do y	you control or are you controlled by the related person?	0	0
	Are y	you and the related person under common control?	⊙	C
	(2)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	_	
		If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0	
		independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	С
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\square$		
	(a)	If the related person is an investment adviser, is it exempt from registration?	Yes	
•		If the answer is yes, under what exemption?	0	C
	(D)	if the answer is yes, under what exemption:		
Ο.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	0
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
		No Information Filed		
1.	Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙	C
2	Do v	you and the <i>related person</i> share the same physical location?		
۷.	ро у	you and the Telated person share the same physical location:	•	C
•	_	al Name of <i>Related Person:</i> BBAL ENERGY & POWER INFRASTRUCTURE ADVISORS, L.L.C.		
	GLOL	ABAL ENERGY & FOWER INTRASTRUCTURE ADVISORS, E.E.C.		
	Prim	nary Business Name of Related Person:		
	GLOE	BAL ENERGY & POWER INFRASTRUCTURE ADVISORS, L.L.C.		
	5.4			
•	Relat	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or			
	Othe	er		
	D. 1	atad Daraga's		
		ated Person's  CRD Number (if any):		
	(u)			
	(b)	CIK Number(s) (if any):		
		No Information Filed		
	Relat	ated Person is: (check all that apply)		

(a)  $\square$  broker-dealer, municipal securities dealer, or government securities broker or dealer

(b) **☑** other investment adviser (including financial planners)

	(c) 🗖 registered municipal advisor	
	(d) registered security-based swap dealer	
	(e) 🗖 major security-based swap participant	
	(f) 🗹 commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g) futures commission merchant	
	(h) banking or thrift institution	
	(i) Trust company	
	(j) accountant or accounting firm	
	(k) lawyer or law firm	
	(I) insurance company or agency	
	(m) pension consultant  (n) real estate broker or dealer	
	(ii) a real estate bloker of dealer  (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes No
6.	o. Do you control or are you controlled by the related person?	0 0
		~ ~
7.	. Are you and the <i>related person</i> under common <i>control</i> ?	⊙ ○
8.	B. (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0 0
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box: $\Box$	Vac Na
o	2. (a) If the related person is an investment adviser, is it exempt from registration?	Yes No
7.		0 0
	(b) If the answer is yes, under what exemption?	
10	0. (a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	
	No Information Filed	
11	1. Do you and the related person share any supervised persons?	0 0
12	2. Do you and the <i>related person</i> share the same physical location?	⊙ ○
1.	. Legal Name of <i>Related Person</i> :  FV GP, LLC	
	TV GF, LLC	
2.	2. Primary Business Name of <i>Related Person</i> :	
	FV GP, LLC	
3.	s. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
	No miormation i neu	
5.	Related Person is: (check all that apply)	
	(a) broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	(e) major security-based swap participant  (b) major security-based swap participant  (c) major security-based swap participant	
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) $\square$ futures commission merchant	
	(g) futures commission merchant  (h) banking or thrift institution	
1		

	(i) $\square$ trust company	
	(j) accountant or accounting firm	
	(k) awyer or law firm	
	(I) □ insurance company or agency (m) □ pension consultant	
	(n) $\square$ real estate broker or dealer	
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
,		Yes No
6.	. Do you control or are you controlled by the related person?	○ ●
7.	. Are you and the related person under common control?	⊙ ○
8.	. (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operating independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities	ationally o o
	maintained at the <i>related person</i> ?  (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:	
	Number and Street 1:  Number 2:	
	City: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box: $\square$	Yes No
9.	. (a) If the related person is an investment adviser, is it exempt from registration?	O O
,,	(b) If the answer is yes, under what exemption?	0 0
	(b) If the answer is yes, under what exemption:	
10.	0. (a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	
	No Information Filed	
11.	1. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙ ○
12	2. Do you and the <i>related person</i> share the same physical location?	
12.	2. Do you and the related person share the same physical location:	⊙ ೧
1.	. Legal Name of <i>Related Person:</i> TCP DIRECT LENDING FUND VIII-A MM, LLC	
	TOT DIRECT LENDING FORD VIII-A WWW, LEG	
2.	. Primary Business Name of Related Person:	
	TCP DIRECT LENDING FUND VIII-A MM, LLC	
2	Polated Parcapia SEC File Number (if any) (e.g., 901, 9, 944, 902)	
3.	. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or	
	Other	
4	Deleted Developing	
4.	. Related Person's  (a) CRD Number (if any):	
	(a) OND Namber (ii arry).	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	. Related Person is: (check all that apply)	
	(a) D broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b)  other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) $\square$ registered security-based swap dealer  (e) $\square$ major security-based swap participant	
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g)  futures commission merchant	
	(h) banking or thrift institution	
	(i) Trust company	
	(j) □ accountant or accounting firm  (k) □ lawyer or law firm	
	(i) $\square$ insurance company or agency	
	(m) $\square$ pension consultant	
	(n) $\square$ real estate broker or dealer	

(o) U sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes N	Nia
Do you control or are you controlled by the related person?	O (	
Are you and the <i>related person</i> under common <i>control</i> ?	<b>⊙</b> (	
(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 (	•
(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not open independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities maintained at the related person?		0
(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:		
City: State: Country: ZIP+4/Postal Code:		
If this address is a private residence, check this box:		
(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes N	
(b) If the answer is yes, under what exemption?		
(a) Is the related person registered with a fereign financial regulatory authority?	_	
(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ? (b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.	0 (	•
No Information Filed		
Do you and the <i>related person</i> share any <i>supervised persons</i> ?	<b>©</b> (	0
Do you and the <i>related person</i> share the same physical location?	<b>⊙</b> (	0
Legal Name of <i>Related Person</i> : NMERB SIERRA BLANCA GP, LLC,		
Primary Business Name of <i>Related Person</i> : NMERB SIERRA BLANCA GP, LLC,		
Polated Parson's SEC File Number (if any) (e.g. 901 9 944 902)		
Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) -		
or Other		
Related Person's (a) CRD Number (if any):		
(a) CND Number (ii arry).		
(b) CIK Number(s) (if any):  No Information Filed		
No miormation rilea		
Related Person is: (check all that apply)		
(a) D broker-dealer, municipal securities dealer, or government securities broker or dealer		
(b)  other investment adviser (including financial planners)		
(c) registered municipal advisor		
(d) 🗖 registered security-based swap dealer (e) 🗖 major security-based swap participant		
(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
(g)  utures commission merchant		
(h) $\square$ banking or thrift institution		
(i)  Tust company		
(j) accountant or accounting firm		
(k) 🔲 lawyer or law firm (l) 🗖 insurance company or agency		
(n) $\square$ pension consultant		
(n) real estate broker or dealer		
(o) 🗖 sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	Yes N	
Do you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	0 (	⊙
Are you and the <i>related person</i> under common <i>control</i> ?	<b>6</b> (	0
	10.7 T	-

8.	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?			0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:		
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
		If the answer is yes, under what exemption?		
10.		Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	0	0
11.	Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	-	al Name of <i>Related Person</i> : N PRIVATE OPPORTUNITIES GP, LLC		
2.		nary Business Name of <i>Related Person</i> : N PRIVATE OPPORTUNITIES GP, LLC		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4.		ated Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):  No Information Filed		
		No milormation riled		
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (n) (o)	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
6.	Do y	you control or are you controlled by the related person?	Yes O	
7.	Are :	you and the related person under common control?	•	0
8.	(a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:	0	

	Number and Street 1:	Number and Street 2:	
	City: State: If this address is a private residence, check this box: $\square$	Country: ZIP+4/Postal Code:	V 81
9.	9. (a) If the <i>related person</i> is an investment adviser, is it exempt fro		Yes No
	(b) If the answer is yes, under what exemption?		
10	10. (a) Is the <i>related person</i> registered with a <i>foreign financial regulat</i>	tory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of	each foreign financial regulatory authority with which the related person is registered.	~ ~
11	11. Do you and the related person share any supervised persons?	No Information Filed	• o
12	12. Do you and the related person share the same physical location?		<b>о</b> о
1.	I. Legal Name of <i>Related Person</i> : BLACKROCK INVESTMENT MANAGEMENT, LLC		
2.	2. Primary Business Name of <i>Related Person</i> : BLACKROCK INVESTMENT MANAGEMENT, LLC		
3.	<ol> <li>Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802- 801 - 56972</li> </ol>	-)	
	or Other		
4.	1. Related Person's  (a) CRD Number (if any):		
	108928 (b) CIK Number(s) (if any):		
	CIK Number		
	108928		
5.	6. Related Person is: (check all that apply)  (a) □ broker-dealer, municipal securities dealer, or governmen  (b) ☑ other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) ☑ commodity pool operator or commodity trading advisor (  (g) □ futures commission merchant  (h) □ banking or thrift institution  (i) □ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm  (l) □ insurance company or agency  (m) □ pension consultant  (n) □ real estate broker or dealer  (o) ☑ sponsor or syndicator of limited partnerships (or equivaled)  (p) ☑ sponsor, general partner, managing member (or equivaled)	(whether registered or exempt from registration)  ent), excluding pooled investment vehicles	
			Yes No
6.			0 0
7.	7. Are you and the related person under common contro?		• c
8.		clients in connection with advisory services you provide to clients?	0 0
		ve answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally ed person and thus are not required to obtain a surprise examination for your clients' funds or securities that are	00
		the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 2:	
	Number and Street 1: City: State:	Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box: $\Box$		Yes No
9.	9. (a) If the related person is an investment adviser, is it exempt fro	om registration?	0 0

	(D)	if the answer is yes, under what exemption?			
10	. (a)	Is the related person registered with a foreign financial regulatory authority?		0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory au	thority with which the related person is registered.	~	~
	_	No Inform	ation Filed		
11	. Во у	you and the related person share any supervised persons?		⊙	0
12	. Do y	you and the related person share the same physical location?		0	•
1.	_	gal Name of <i>Related Person</i> :			
	BLK	C 2019 EVERGREEN GP S.A.R.L.			
2.		mary Business Name of <i>Related Person</i> :			
	BLK	C 2019 EVERGREEN GP S.A.R.L.			
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	-				
	or Othe	ner			
4.		ated Person's  CRD Number (if any):			
	(b)	CIK Number(s) (if any):  No Inform	ation Filed		
E	Dolo	ated Person is: (check all that apply)			
J.		broker-dealer, municipal securities dealer, or government securities broker or dealer			
	(b)	other investment adviser (including financial planners)			
	` '	<ul><li>☐ registered municipal advisor</li><li>☐ registered security-based swap dealer</li></ul>			
	(e)	major security-based swap dealer  major security-based swap participant			
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from	n registration)		
	(g) (h)	<ul><li>futures commission merchant</li><li>banking or thrift institution</li></ul>			
	(i)	trust company			
	(j)	accountant or accounting firm			
	(k) (l)	<ul><li>□ lawyer or law firm</li><li>□ insurance company or agency</li></ul>			
	( )				
	` '	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
	47			Yes	No
6.	Do y	you control or are you controlled by the related person?		0	$\odot$
7.	Are	e you and the <i>related person</i> under common <i>control</i> ?		•	0
				· ·	
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory		0	$\odot$
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8. independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not require maintained at the <i>related person</i> ?		0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>	's office responsible for <i>custody</i> of your <i>clients</i> ' assets:		
		Number and Street 1: Number and			
		City: State: Country: If this address is a private residence, check this box: $\square$	ZIP+4/Postal Code:		
				Yes	
9.		If the related person is an investment adviser, is it exempt from registration?		0	0
	(b)	If the answer is yes, under what exemption?			
10	. (a)	Is the related person registered with a foreign financial regulatory authority?		0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory au  No Inform			
11	. Do v	you and the <i>related person</i> share any <i>supervised persons</i> ?	ation rileu	•	

12.	Do you and the <i>related person</i> share the same physical location?	<b>⊙</b> C
1.	Legal Name of <i>Related Person</i> : BLACKROCK PRIVATE EQUITY PRIMARIES 2021 (GENPAR), LLC	
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK PRIVATE EQUITY PRIMARIES 2021 (GENPAR), LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's  (a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
E	Polated Parcen is: (shock all that apply)	
).	Related Person is: (check all that apply)  (a) broker-dealer, municipal securities dealer, or government securities broker or dealer	
	<ul> <li>(b) □ other investment adviser (including financial planners)</li> <li>(c) □ registered municipal advisor</li> </ul>	
	(d) registered security-based swap dealer	
	<ul><li>(e)  major security-based swap participant</li><li>(f)  commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li></ul>	
	(g) futures commission merchant	
	<ul><li>(h) □ banking or thrift institution</li><li>(i) □ trust company</li></ul>	
	(j) accountant or accounting firm	
	(k) awyer or law firm  (l) insurance company or agency	
	(m) pension consultant	
	(n) real estate broker or dealer	
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>	
		Yes No
<b>.</b>	Do you control or are you controlled by the related person?	⊙ ○
<b>'</b> .	Are you and the related person under common control?	⊙ ○
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:	
	Number and Street 1:Number and Street 2:City:State:Country:ZIP+4/Postal Code:	
	If this address is a private residence, check this box: 🗖	Yes No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	
11.	No Information Filed  Do you and the <i>related person</i> share any <i>supervised persons</i> ?	<b>⊙</b> ○
	Do you and the <i>related person</i> share the same physical location?	• o
12		• 0

	BLACKROCK ASIA-PACIFIC PRIVATE CREDIT OPP. FUND II (GENPAR) LLC		
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK ASIA-PACIFIC PRIVATE CREDIT OPP. FUND II (GENPAR) LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	Related Person is: (check all that apply)  (a)		
6.	Do you control or are you controlled by the related person?	Yes No	
7.	Are you and the related person under common contro?	• c	
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0	
0.	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:		
	Number and Street 1:Number and Street 2:City:State:Country:ZIP+4/Postal Code:		
	If this address is a private residence, check this box: $\square$	Yes No	
9.	<ul><li>(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0 0	
10	D. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0 0	
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	0 6	
11	. Do you and the related person share any supervised persons?	⊙ ⊙	
12	2. Do you and the <i>related person</i> share the same physical location?	<b>©</b> C	
	Legal Name of <i>Related Person</i> : BLACKROCK PRIVATE INCOME SOLUTIONS (GENPAR), LLC		
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK PRIVATE INCOME SOLUTIONS (GENPAR), LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		

	or Other						
4.	Related Person's						
	(a) CRD Number (if any):						
	(b) CIK Number(s) (if any):						
	No Information Filed						
_	Deleted Develop in Coherely all these angles						
5.	Related Person is: (check all that apply)  (a)  D broker-dealer, municipal securities dealer, or government securities broker or dealer						
	(b) □ other investment adviser (including financial planners)						
	(c) $\square$ registered municipal advisor						
	(d) registered security-based swap dealer						
	(e) major security-based swap participant						
	<ul> <li>(f)  commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li> <li>(g)  futures commission merchant</li> </ul>						
	(h) banking or thrift institution						
	(i)						
	(j) accountant or accounting firm						
	(k) lawyer or law firm						
	(I) ☐ insurance company or agency (m) ☐ pension consultant						
	(n) real estate broker or dealer						
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles						
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles						
6	Do you control or are you controlled by the related person?	Yes No					
0.	bo you control of are you controlled by the related person:	⊙ 0					
7.	Are you and the related person under common control?	⊙ 0					
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0					
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally						
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	0 0					
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:						
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:						
	If this address is a private residence, check this box:						
		Yes No					
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0					
	(b) If the answer is yes, under what exemption?						
10.	. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0 0					
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.						
	No Information Filed						
11.	. Do you and the <i>related person</i> share any <i>supervised persons?</i>	⊙ 0					
12.	. Do you and the <i>related person</i> share the same physical location?	<b>⊙</b> 0					
1.	Legal Name of Related Person:						
	RED RIVER PRIVATE EQUITY II, LLC						
2.	Primary Business Name of Related Person:						
	RED RIVER PRIVATE EQUITY II, LLC						
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)						
	-						
	or Other						
4.	Related Person's						
	(a) CRD Number (if any):						

	(b)	CIK Number(s) (if any):		No Information Filed		
				No Illioilliation filed		
5	(a) (b) (c) (d) (e) (f) (g) (h) (i) (k) (l) (m) (n)	other investment adviser ( registered municipal adviser registered security-based major security-based swap commodity pool operator of futures commission mercha banking or thrift institution trust company accountant or accounting fi lawyer or law firm insurance company or ager pension consultant real estate broker or dealer	securities dealer, or government secur (including financial planners) sor I swap dealer op participant or commodity trading advisor (whether and the security) firm ency	er registered or exempt from registration)		
	(p)	sponsor, general partner, i	managing member (or equivalent) of	pooled investment vehicles		Yes N
6	Do y	ou control or are you controlled t	by the related person?			O (
7	Are y	you and the <i>related person</i> under	er common <i>control</i> ?			<b>©</b> (
8	(a)	Does the related person act as a	a qualified custodian for your clients i	n connection with advisory services you pro	vide to clients?	
		If you are registering or register	tered with the SEC and you have answ 206(4)-2(d)(5)) from the <i>related perso</i>	wered "yes," to question 8.(a) above, have y	you overcome the presumption that you are not operationally prise examination for your <i>clients'</i> funds or securities that are	0 (
	(c)	,	question 8.(a) above, provide the loc	cation of the <i>related person's</i> office responsib	ole for <i>custody</i> of your <i>clients'</i> assets:	
		Number and Street 1: City:	State:	Number and Street 2: Country:	ZIP+4/Postal Code:	
		If this address is a private resid	idence, check this box:			Yes N
9	(a)	If the <i>related person</i> is an invest	stment adviser, is it exempt from regis	stration?		O (
	(b)	If the answer is yes, under wha	nat exemption?			
1	D. (a)	Is the <i>related person</i> registered	d with a <i>foreign financial regulatory aut</i>	thority?		
1		,		oreign financial regulatory authority with which No Information Filed	n the <i>related person</i> is registered.	0 (
1	1. Do y	you and the <i>related person</i> share	e any supervised persons?			⊙ (
1:	2. Do y	you and the <i>related person</i> share	the same physical location?			⊙ (
1.	_	al Name of <i>Related Person</i> : CKROCK MSV PRIVATE OPPORTUI	JNITIES GP, LLC			
2		nary Business Name of <i>Related Pe</i> CKROCK MSV PRIVATE OPPORTUI				
3	Relai -	ted Person's SEC File Number (if a	any) (e.g., 801-, 8-, 866-, 802-)			
	or Othe	er				
4		ted Person's CRD Number (if any):				
	(b)	CIK Number(s) (if any):				
				No Information Filed		
5	Rela	ted Person is: (check all that app	oly)			

	(a)	broker-dealer, municipal securities dealer, or government securities broker	r or dealer			
	(b)	other investment adviser (including financial planners)				
	(c)	registered municipal advisor				
	(d)	registered security-based swap dealer				
	(e)	major security-based swap participant				
	(f)	commodity pool operator or commodity trading advisor (whether registere	ed or exempt from registration)			
	(g)	futures commission merchant				
	(h)	banking or thrift institution				
	(i)	☐ trust company				
	(j)	accountant or accounting firm				
	(k)	☐ lawyer or law firm				
	(l)	insurance company or agency				
	(m)	pension consultant				
	(n)	real estate broker or dealer				
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding poo	oled investment vehicles			
	(p)	sponsor, general partner, managing member (or equivalent) of pooled inverse.				
	(1-)				Yes	. No
6	Do v	you control or are you controlled by the related person?			0	
0.	Во у	the related person.			O	Į.
	۸					
/.	Are	you and the related person under common control?			•	C
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection	on with advisory services you pr	ovide to <i>clients</i> ?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes, independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus maintained at the <i>related person</i> ?			0	С
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of th	ne related person's office respons	sible for <i>custody</i> of your <i>clients'</i> assets:		
	(-)	Number and Street 1:	Number and Street 2:			
		City: State:	Country:	ZIP+4/Postal Code:		
		If this address is a private residence, check this box:	,			
					Yes	No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			0	0
	(b)	If the answer is yes, under what exemption?			~	•
	(6)	in the driswer is yes, under what exemption:				
10	. (a)	Is the related person registered with a foreign financial regulatory authority?			_	_
10					0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign finance	cial regulatory authority with whi No Information Filed	on the <i>related person</i> is registered.		
11	D	and the maletad common share any surrounded a second	No Illioillation Filed			
11.	. Бо у	you and the related person share any supervised persons?			•	C
12	. Do y	you and the related person share the same physical location?			⊙	C
						_
1	Logi	Name of Polated Person				
1.	_	al Name of <i>Related Person</i> : 5 PRIVATE OPPORTUNITIES GP, LLC				
	1000	S PRIVATE OPPORTUNITIES GP, LLC				
2	Drim	vary Dusiness Name of Polated Person.				
2.		nary Business Name of <i>Related Person</i> : 5 PRIVATE OPPORTUNITIES GP, LLC				
	1000	S PRIVATE OFFORTUNITIES GF, EEC				
2	Pola	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)				
3.	keia -	ted Person's SEC File Number (ii arry) (e.g., 601-, 6-, 600-, 602-)				
	or					
	Othe	or and the second secon				
	Otric					
4	Rela	ted Person's				
ļ <b>'</b> '		CRD Number (if any):				
	(u)	ond Namber (ii driy).				
	(b)	CIK Number(s) (if any):				
	(~)		No Information Filed			
5.	Rela	ted Person is: (check all that apply)				
		broker-dealer, municipal securities dealer, or government securities broker	r or dealer			
	(b)	other investment adviser (including financial planners)	<del></del>			
		registered municipal advisor				
	(c)					
	(d)	registered security-based swap dealer				
	(e)	<ul><li>major security-based swap participant</li><li>commodity pool operator or commodity trading advisor (whether registere</li></ul>	ad or exempt from registration			
	(f)	- commodity poor operator or commodity trading advisor (whether registere	a or exempt nonn registration)			

<ul> <li>(g) ☐ futures commission merchant</li> <li>(h) ☐ banking or thrift institution</li> <li>(i) ☐ trust company</li> <li>(j) ☐ accountant or accounting firm</li> <li>(k) ☐ lawyer or law firm</li> <li>(l) ☐ insurance company or agency</li> <li>(m) ☐ pension consultant</li> <li>(n) ☐ real estate broker or dealer</li> <li>(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>		
Do you control or are you controlled by the related person?	Yes O	
Are you and the related person under common control?	•	0
<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:</li> </ul>	0	
Number and Street 1:  Number and Street 2:  Country:  TID: 4/Postel Code:		
If this address is a private residence, check this box:		
	Yes	
(a) If the related person is an investment adviser, is it exempt from registration?  (b) If the answer is yes, under what exemption?	0	0
(a) Is the related person registered with a foreign financial regulatory authority?	_	_
(b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.	0	•
No Information Filed		
Do you and the related person share any supervised persons?	•	0
Do you and the <i>related person</i> share the same physical location?	•	0
		_
Legal Name of <i>Related Person</i> : BLK2018 CORE PRIVATE EQUITY GP, LLC		
Primary Business Name of <i>Related Person</i> : BLK2018 CORE PRIVATE EQUITY GP, LLC		
Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
or Other		
Related Person's		
(a) CRD Number (if any):		
(b) CIK Number(s) (if any):  No Information Filed		
Related Person is: (check all that apply)  (a)		
	and a content or accounted to account general processor of content of the form of the content or accounted to account general	a change or their institution

	(m) pension consultant		
	(n) $\square$ real estate broker or dealer		
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	s No
6.	Do you control or are you controlled by the related person?		•
			•
7.	Are you and the related person under common control?	⊙	$\circ$
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	$\odot$
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0	0
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> funds or securities that are	~	
	maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1:  Number 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:		
	If this address is a private residence, check this box.	Var	- NI-
			s No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10	D. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	~	•
	No Information Filed		
111	1. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙	0
12	2. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of Related Person:		
	BLACKROCK PROPERTY FRANCE SARL		
2	Primary Business Name of Related Person:		
2.	BLACKROCK PROPERTY FRANCE SARL		
	BLACKROCK PROPERTY FRANCE SARL		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-		
	or		
	Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		I
	No Information Filed		
5.	Related Person is: (check all that apply)		
3.			
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) other investment adviser (including financial planners)		
	(c) $\square$ registered municipal advisor		
	(d) $\square$ registered security-based swap dealer		
	(e) 🗖 major security-based swap participant		
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)  utures commission merchant		
	(h) D banking or thrift institution		
	(i) Trust company		
	(j) accountant or accounting firm		
	(I) Insurance company or agency		
	(m) pension consultant		
	(n) real estate broker or dealer		
	(o) 🗖 sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) $\square$ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	s No
6.	Do you control or are you controlled by the related person?	0	•
11			-

7.	Are	you and the <i>related person</i> under common <i>control</i> ?	•	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?			
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes <b>⊙</b>	
	(b)	If the answer is yes, under what exemption? FOREIGN PRIVATE ADVISER		
10.		Is the related person registered with a foreign financial regulatory authority?	0	•
11		If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	_	
	J	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	Do y	you and the <i>related person</i> share the same physical location?	0	•
1.	_	al Name of <i>Related Person</i> : PE OPPORTUNITIES GP S.A R.L.		
2.		nary Business Name of <i>Related Person</i> : PE OPPORTUNITIES GP S.A R.L.		
3.	Rela -	eted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4.		cred Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		No Information Filed		
5.		broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant		
	(f) (g) (h)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  futures commission merchant banking or thrift institution		
	(i) (j)	<ul> <li>□ trust company</li> <li>□ accountant or accounting firm</li> </ul>		
	(k) (l) (m)	□ lawyer or law firm □ insurance company or agency □ pension consultant		
	(n) (o)	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
6	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles  you control or are you controlled by the related person?	Yes	
			0	
	are ;	you and the <i>related person</i> under common <i>control</i> ?	•	0
8.	(a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0	

		maintained at the related per		rand thus are not required to obtain a sur	prise examination for your <i>chemis</i> runus or securities that are	
	(c)	•	to question 8.(a) above, provide the loca	ation of the related person's office responsi	ble for <i>custody</i> of your <i>clients</i> ' assets:	
		Number and Street 1: City:	State:	Number and Street 2: Country:	ZIP+4/Postal Code:	
		If this address is a private re		Godini y.	Zii 1471 Ostul Gode.	
	(0)	If the related person is an inv	veetment adviser is it event from regist	ration?		Yes No
9.		If the answer is yes, under v	restment adviser, is it exempt from regist	ration?		0 0
	(b)	if the answer is yes, under v	what exemption?			
10	). (a)	Is the related person register	ed with a foreign financial regulatory author	ority?		0 0
	(b)	If the answer is yes, list the	name and country, in English of each fore	eign financial regulatory authority with which	h the <i>related person</i> is registered.	
11	L. Don	you and the <i>related person</i> sha	are any supervised persons?	No Information Filed		<b>⊙</b> 0
	. 20 )	you and the related percent one	to any cape. Hood porcente.			0 0
12	2. Do <u>y</u>	you and the <i>related person</i> sha	are the same physical location?			<ul><li>O</li></ul>
1.	_	al Name of <i>Related Person</i> :				
	BLA	CKROCK GEMINI II PRIVATE O	PPORTUNITIES GP, LLC,			
2.	Prim	nary Business Name of <i>Related</i>	l Person:			
	BLA	CKROCK GEMINI II PRIVATE O	PPORTUNITIES GP, LLC,			
3.	Rela	ated Person's SEC File Number (	(if any) (e.g., 801-, 8-, 866-, 802-)			
	-					
	or Othe	er				
	Oth	01				
4.		ated Person's				
	(a)	CRD Number (if any):				
	(b)	CIK Number(s) (if any):				
				No Information Filed		
5.		ated Person is: (check all that a				
	(a) (b)		I securities dealer, or government securiter (including financial planners)	ies broker or dealer		
	(c)	registered municipal adv	•			
	(d)	registered security-base				
	(e) (f)	major security-based sv	vap participant or or commodity trading advisor (whether	registered or event from registration)		
	(I) (g)	futures commission mer		registered of exempt from registration)		
	(h)	☐ banking or thrift institution	ion			
	(i)	trust company	C			
	(j) (k)	<ul><li>accountant or accounting</li><li>lawyer or law firm</li></ul>	3 uu			
	(I)	insurance company or a	gency			
	(m)	pension consultant				
	(n) (o)	real estate broker or de	aler flimited partnerships (or equivalent), exc	duding pooled investment vehicles		
	(p)		r, managing member (or equivalent) of p			
						Yes No
6.	Do 7	you <i>control</i> or are you <i>controlle</i>	d by the related person?			0 @
<sub>7.</sub>	Are	you and the related person un	der common <i>control</i> ?			<b>⊙</b> 0
		•				
8.		·		connection with advisory services you pro		0 0
	(b)		e 206(4)-2(d)(5)) from the related persor	•	you overcome the presumption that you are not operationally prise examination for your <i>clients'</i> funds or securities that are	0 0
	(c)	•		ation of the <i>related person's</i> office responsil	ble for <i>custody</i> of your <i>clients'</i> assets:	
		Number and Street 1:		Number and Street 2:		
		City:  If this address is a private re	State: esidence, check this box:   ———————————————————————————————————	Country:	ZIP+4/Postal Code:	

		Yes No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10	D. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11	. Do you and the related person share any supervised persons?	⊙ ○
12	2. Do you and the <i>related person</i> share the same physical location?	⊙ ○
1.	Legal Name of <i>Related Person</i> : BLACKROCK HOF (GP), LLC,	
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK HOF (GP), LLC,	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
5.	Related Person is: (check all that apply)  (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)   other investment adviser (including financial planners)  (c)   registered municipal advisor  registered security-based swap dealer  (d)   registered security-based swap participant  (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g)   futures commission merchant  (h)   banking or thrift institution  (l)   trust company  (g)   accountant or accounting firm  (k)   lawyer or law firm  (l)   insurance company or agency  (m)   pension consultant  real estate broker or dealer  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes No
6.	Do you control or are you controlled by the related person?	○ ●
7.	Are you and the related person under common control?	<b>⊙</b> ○
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not oper independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities maintained at the <i>related person</i> ?	ationally o o
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:	
		Yes No
9.		0 0
	(b) If the answer is yes, under what exemption?	
10	). (a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	

⊙ ⊙

12. Do you and the related person share the same physical location?

1.	Legal Name of <i>Related Person</i> : TOTAL ALTERNATIVES FUND (GENPAR) LLC						
2.	Primary Business Name of <i>Related Person</i> : TOTAL ALTERNATIVES FUND (GENPAR) LLC						
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)						
	or Other						
4.	Related Person's  (a) CRD Number (if any):						
	(b) CIK Number(s) (if any):						
	No Information Filed						
5.	Related Person is: (check all that apply)  (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)   other investment adviser (including financial planners)  (c)   registered municipal advisor  (d)   registered security-based swap dealer  (e)   major security-based swap participant  (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g)   futures commission merchant  (h)   banking or thrift institution  (i)   trust company  (j)   accountant or accounting firm  (k)   lawyer or law firm  (l)   insurance company or agency  (m)   pension consultant  (n)   real estate broker or dealer  (o)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	Yes No					
6.	Do you control or are you controlled by the related person?	0 6					
7.	Are you and the related person under common control?	⊙ 0					
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:         Number and Street 1:     </li> </ul>	0 0					
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:						
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes No					
	(b) If the answer is yes, under what exemption?						
10.	<ul><li>(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i>?</li><li>(b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.</li><li>No Information Filed</li></ul>	0 0					
11.	Do you and the related person share any supervised persons?	⊙ 0					
12.	Do you and the <i>related person</i> share the same physical location?	© 0					
	Legal Name of <i>Related Person</i> : APO GLOBAL HEALTHCARE GP S.A R.L.  Primary Business Name of <i>Related Person</i> :						

APO GLOBAL HEALTHCARE GP S.A R.L.

3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)						
	or						
	Other						
4.	Related Person's  (a) CRD Number (if any):						
	(a) SND Names (iii any).						
	(b) CIK Number(s) (if any):						
	No Information Filed						
5.	Related Person is: (check all that apply)						
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer						
	<ul><li>(b) □ other investment adviser (including financial planners)</li><li>(c) □ registered municipal advisor</li></ul>						
	(d) registered security-based swap dealer						
	(e) amajor security-based swap participant						
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)						
	<ul><li>(g) ☐ futures commission merchant</li><li>(h) ☐ banking or thrift institution</li></ul>						
	(i)  trust company						
	(j) accountant or accounting firm						
	(k) lawyer or law firm						
	(I) ☐ insurance company or agency (m) ☐ pension consultant						
	(n)  real estate broker or dealer						
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles						
	(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes No					
6.	Do you control or are you controlled by the related person?	0 0					
		~ ~					
7.	Are you and the related person under common control?	⊙ ⊙					
0	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?						
0.	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	00					
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are	0 0					
	maintained at the related person?						
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:						
	City: State: Country: ZIP+4/Postal Code:						
	If this address is a private residence, check this box: 🗖						
9	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes No					
7.	(b) If the answer is yes, under what exemption?	0 0					
	(a) In the distret is jes, and that exemption.						
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0					
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed						
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	6.0					
	De yeu and the related person share any supervised persons.	⊙ ○					
12.	Do you and the related person share the same physical location?	⊙ ○					
1.	Legal Name of Related Person:						
	BLACKROCK OPERATIONS (LUXEMBOURG) S.A R.L.						
2.	Primary Business Name of <i>Related Person</i> :						
	BLACKROCK OPERATIONS (LUXEMBOURG) S.A R.L.						
2	Related Person's SEC File Number (if app) (e.g., 901, 9, 944, 902)						
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)						
	or						
	Other						

4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	. Related Person is: (check all that apply)  (a)  broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) ✓ other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	(e)  major security-based swap participant	
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g) I futures commission merchant	
	(h) anking or thrift institution	
	(i) trust company	
	(j) accountant or accounting firm	
	(k) lawyer or law firm	
	(I) Insurance company or agency	
	(m) pension consultant	
	(n) real estate broker or dealer  (a) spensor or syndicator of limited partnerships (or equivalent), evaluding peopled investment vehicles	
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
	(b) a sponsor, general partner, managing member (or equivalent) or pooled investment venicles	Yes N
6.	Do you control or are you controlled by the related person?	0 6
<sub>7.</sub>	. Are you and the related person under common control?	© (
8.	. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 6
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0 0
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are	
	maintained at the related person?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
	If this address is a private residence, check this box:	Yes N
9.	. (a) If the related person is an investment adviser, is it exempt from registration?	• (c)
	(b) If the answer is yes, under what exemption?	• (
	FOREIGN PRIVATE ADVISER	
10	0. (a) Is the related person registered with a foreign financial regulatory authority?	0.6
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	
	No Information Filed	
11	1. Do you and the related person share any supervised persons?	⊙ (
12	2. Do you and the <i>related person</i> share the same physical location?	0.6
1	. Legal Name of Related Person:	
'	BAA REAL ASSETS (GENPAR), LLC	
2.	. Primary Business Name of Related Person:	
	BAA REAL ASSETS (GENPAR), LLC	
3.	. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	. Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	

5.	(a) [ (b) [	other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
6.	Do yo	ou <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	Yes No
7	Aro vo	ou and the <i>related person</i> under common <i>control</i> ?	
7.	Ale yo	ou and the related person under common controls	© 0
8.	(b) I	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	0 0
		If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 2:	
	(	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	V N
9.	(a) I	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes No
	(b) I	If the answer is yes, under what exemption?	
10	(a) I	Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	
10.		If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	0 @
		No Information Filed	
11.	Do yo	ou and the <i>related person</i> share any <i>supervised persons</i> ?	© 0
12.	Do yo	ou and the <i>related person</i> share the same physical location?	© (
1.	_	Name of Related Person: REAL ASSETS II (GENPAR), LLC	
2.		ry Business Name of <i>Related Person</i> : REAL ASSETS II (GENPAR), LLC	
3.	Relate -	ed Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other		
4.		ed Person's CRD Number (if any):	
	(b) C	CIK Number(s) (if any):	
		No Information Filed	
5.	Relate (a) [ (b) [ (c) [	ed Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or dealer  other investment adviser (including financial planners)  registered municipal advisor	

	(d) 🗖 registered security-based swap dealer		
	(e) $\square$ major security-based swap participant		
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) $\square$ futures commission merchant		
	(h) 🗖 banking or thrift institution		
	(i) Trust company		
	(j) accountant or accounting firm		
	(k) awyer or law firm		
	(I) $\square$ insurance company or agency		
	(m) pension consultant		
	(n) $\square$ real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes No
6.	6. Do you control or are you controlled by the related person?		0 0
7.	7. Are you and the related person under common control?		⊙ 0
0			
8.			0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a sumaintained at the <i>related person</i> ?		0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsi	ible for <i>custody</i> of your <i>clients</i> ' assets:	
	Number and Street 1: Number and Street 2:		
	City: State: Country:	ZIP+4/Postal Code:	
	If this address is a private residence, check this box: $\square$		
			Yes No
9.	9. (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		0 0
	(b) If the answer is yes, under what exemption?		
10	10. (a) Is the related person registered with a foreign financial regulatory authority?		
10.	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which	sh the <i>related person</i> is registered	0 0
	No Information Filed	with the related person is registered.	
11.	11. Do you and the related person share any supervised persons?		⊙ 0
12.	12. Do you and the <i>related person</i> share the same physical location?		⊙ ⊙
1.	1. Legal Name of <i>Related Person</i> :		
	BLACKROCK INVERWOOD PRIVATE OPPORTUNITIES GP, LLC		
2.	2. Primary Business Name of <i>Related Person</i> : BLACKROCK INVERWOOD PRIVATE OPPORTUNITIES GP, LLC		
	BLACKROCK INVERWOOD FRIVATE OFFORTONTILES OF, LEC		
3.	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-		
	or		
	Other		
4.	4. Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	5. Related Person is: (check all that apply)		
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)  other investment adviser (including financial planners)		
	(c) registered municipal advisor		
	(d) registered security-based swap dealer		
	(e) major security-based swap participant		
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)  futures commission merchant		
	(h) Danking or thrift institution		
	(i) 🔲 trust company		

	(j)	accountant or accounting firm			
	(k)	lawyer or law firm			
	(l)	insurance company or agency			
	(m) (n)	pension consultant real estate broker or dealer			
	` ,	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
	. ,	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
			Yes	s Nc	)
6.	Do y	you control or are you controlled by the related person?	0	•	J
7.	Are :	you and the related person under common contro?	⊙	0	,
0	(0)	Does the related person set as a gualified systedien for your elients in semication with advisory semicas you provide to elients?	_	_	
8.		Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally		•	
	(b)	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:			
		Number and Street 1: Number and Street 2:			
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:			
		If this address is a private residence, check this box:	Yes	: Nc	)
9.	(a)	If the related person is an investment adviser, is it exempt from registration?		0	
	(b)	If the answer is yes, under what exemption?	~	~	
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•	J
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.			
11	D	No Information Filed			
11.	ро у	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0	
12	. Do v	you and the <i>related person</i> share the same physical location?		_	
	20 )	yea and the related person share the same physical location.	•	0	
1.	_	al Name of <i>Related Person</i> : _TI-ALTERNATIVE OPPORTUNITIES FUND (GENPAR), LLC			
	IVIOL	TI-ALTERNATIVE OFF ORTUNITIES FOND (GENERAL), LEG			
2.	Prim	nary Business Name of <i>Related Person</i> :			
	MUL	LTI-ALTERNATIVE OPPORTUNITIES FUND (GENPAR), LLC			
_					
3.	Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or				
	Othe	er			
4.		ated Person's  CDD Number (if any)			
	(a)	CRD Number (if any):			
	(b)	CIK Number(s) (if any):			
		No Information Filed			
5	Pola	ated Person is: (check all that apply)			
Ο.		broker-dealer, municipal securities dealer, or government securities broker or dealer			
	` ,	other investment adviser (including financial planners)			
	(c)	registered municipal advisor			
	(d)	registered security-based swap dealer			
		major security-based swap participant			
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
	10,	futures commission merchant banking or thrift institution			
	(i)	trust company			
	(j)	accountant or accounting firm			
	(k)	lawyer or law firm			
	(I)	insurance company or agency			
	` ,	pension consultant			
	(n)	real estate broker or dealer			
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			

	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6.	Do you control or are you controlled by the related person?	Yes O	No ©
7.	Are you and the related person under common control?	•	0
8.	<ul> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:  City:  State:  Country:  ZIP+4/Postal Code:</li> </ul>		<ul><li>⊙</li><li>○</li></ul>
	If this address is a private residence, check this box: $\square$	Yes	No
9.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0	0
10.	<ul> <li>(a) Is the related person registered with a foreign financial regulatory authority?</li> <li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.</li> <li>No Information Filed</li> </ul>	0	•
11.	. Do you and the related person share any supervised persons?	•	0
12.	2. Do you and the <i>related person</i> share the same physical location?	•	0
	Legal Name of <i>Related Person</i> : BLACKROCK DIVERSIFIED PRIVATE OPPORTUNITIES GP, LLC  Primary Business Name of <i>Related Person</i> : BLACKROCK DIVERSIFIED PRIVATE OPPORTUNITIES GP, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  or Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	Related Person is: (check all that apply)  (a)	Vac	No
6.	Do you control or are you controlled by the related person?	Yes O	No ⊙
7.	Are you and the <i>related person</i> under common <i>control</i> ?		0

8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	⊙			
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?						
(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:							
		City: State: Country: ZIP+4/Postal Code:					
		If this address is a private residence, check this box:	Yes	No			
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0				
	(b)	If the answer is yes, under what exemption?					
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•			
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.						
11.	Do y	No Information Filed but and the <i>related person</i> share any <i>supervised persons</i> ?	•	0			
	_			~			
12.	Do y	ou and the <i>related person</i> share the same physical location?	•	0			
1.	Lega	Name of Related Person:					
	TEN	IENBAUM SENIOR LOAN GP II, LLC					
2.		ary Business Name of <i>Related Person</i> : IENBAUM SENIOR LOAN GP II, LLC					
3.	Rela -	ed Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)					
	or Othe	r					
4.		ed Person's CRD Number (if any):					
	(b)	CIK Number(s) (if any):  No Information Filed					
		No Illiothiation Flied		1			
5.		ed Person is: (check all that apply)					
	(a) (b)	<ul><li>broker-dealer, municipal securities dealer, or government securities broker or dealer</li><li>other investment adviser (including financial planners)</li></ul>					
	(c)	registered municipal advisor					
	(d) (e)	<ul> <li>registered security-based swap dealer</li> <li>major security-based swap participant</li> </ul>					
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)					
	(g)	<ul><li>futures commission merchant</li><li>banking or thrift institution</li></ul>					
	(h) (i)	trust company					
	(j)	accountant or accounting firm					
	(k) (l)	<ul> <li>□ lawyer or law firm</li> <li>□ insurance company or agency</li> </ul>					
	(m)	pension consultant					
	(n)	real estate broker or dealer					
	(o) (p)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  sponsor, general partner, managing member (or equivalent) of pooled investment vehicles					
			Yes	No			
6.	Do y	ou control or are you controlled by the related person?	0	•			
7.	Are	ou and the related person under common control?	•	0			
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•			
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0			
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:					
		Number and Street 1: Number and Street 2:					

		City: State:	Country:	ZIP+4/Postal Code:	
		If this address is a private residence, check this box: $\square$			Yes No
9.		If the <i>related person</i> is an investment adviser, is it exempt from registration?			0 0
	(b)	If the answer is yes, under what exemption?			
10		Is the related person registered with a foreign financial regulatory authority?			0 0
	(b)	If the answer is yes, list the name and country, in English of each foreign finance	cial regulatory authority with which  No Information Filed	the related person is registered.	
11	. Do y	ou and the related person share any supervised persons?			⊙ ○
12	. Do y	ou and the <i>related person</i> share the same physical location?			⊙ ೧
1.	_	Name of <i>Related Person</i> : KROCK SECONDARIES & LIQUIDITY SOLUTIONS (GENPAR), LLC			
2.		ary Business Name of <i>Related Person</i> :			
	BLAC	KROCK SECONDARIES & LIQUIDITY SOLUTIONS (GENPAR), LLC			
3.	Relat	ed Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or				
	Othe	-			
4.		ed Person's			
	(a)	CRD Number (if any):			
	(b)	CIK Number(s) (if any):	No Information Filed		
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (n) (o)	broker-dealer, municipal securities dealer, or government securities broker other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registere futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pools sponsor, general partner, managing member (or equivalent) of pooled inverse.	ed or exempt from registration)		Yes No
6.	Do y	ou control or are you controlled by the related person?			O O
7.	Are y	ou and the related person under common control?			⊙ ○
8.	(a)	Does the related person act as a qualified custodian for your clients in connection	on with advisory services you provi	ide to <i>clients</i> ?	0 0
		If you are registering or registered with the SEC and you have answered "yes, independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus maintained at the <i>related person</i> ?			0 0
		If you have answered "yes" to question 8.(a) above, provide the location of th Number and Street 1:	ne related person's office responsible  Number and Street 2:	e for <i>custody</i> of your <i>clients'</i> assets:	
		City: State: If this address is a private residence, check this box: $\Box$	Country:	ZIP+4/Postal Code:	
		ii tiiis audiess is a private residence, check tiiis bux: L			Yes No
9.		If the <i>related person</i> is an investment adviser, is it exempt from registration?			0 0
	(b)	If the answer is yes, under what exemption?			

10.	. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0	⊙	
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed			
11.	. Do you and the related person share any supervised persons?	•	0	
10	Do you and the related percenchare the same physical location?		_	
12.	. Do you and the <i>related person</i> share the same physical location?	•	0	
1.	Legal Name of <i>Related Person</i> : COASTLINE FUND (GENPAR), LLC			
	COASTLINE FUND (GENPAR), LLC			
2.	Primary Business Name of <i>Related Person</i> : COASTLINE FUND (GENPAR), LLC			
2	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
J.	-			
	or Other			
1	Related Person's			
4.	(a) CRD Number (if any):			
	(b) CIK Number(s) (if any):			
	No Information Filed			
5.	Related Person is: (check all that apply)  (a)  D broker-dealer, municipal securities dealer, or government securities broker or dealer			
	(b)  other investment adviser (including financial planners)			
	(c) □ registered municipal advisor (d) □ registered security-based swap dealer			
	(e) major security-based swap participant			
	<ul><li>(f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li><li>(g) □ futures commission merchant</li></ul>			
	(h) banking or thrift institution			
	<ul> <li>(i) □ trust company</li> <li>(j) □ accountant or accounting firm</li> </ul>			
	(j) □ accountant or accounting firm  (k) □ lawyer or law firm			
	(I) I insurance company or agency			
	<ul><li>(m) □ pension consultant</li><li>(n) □ real estate broker or dealer</li></ul>			
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
	(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No	,
6.	Do you control or are you controlled by the related person?	0	•	
7.	Are you and the related person under common control?	•	0	
8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0		
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are	O	0	
	maintained at the <i>related person</i> ?  (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:			
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:			
	If this address is a private residence, check this box:			
9.	(a) If the related person is an investment adviser, is it exempt from registration?	Yes		
	(b) If the answer is yes, under what exemption?	~	~	
10.	. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0	•	
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	U	۳	
11.	No Information Filed  . Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	_	
		٠		
12.	. Do you and the <i>related person</i> share the same physical location?	•	0	

	Legal Name of <i>Related Person</i> : NEIL ENHANCED OPPORTUNITIES FUND (GENPAR), LLC								
	Primary Business Name of <i>Related Person</i> :  NEIL ENHANCED OPPORTUNITIES FUND (GENPAR), LLC								
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)								
	or Other								
	Related Person's  (a) CRD Number (if any):								
	(b) CIK Number(s) (if any):  No Information Filed								
	Related Person is: (check all that apply)  (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer (b)   other investment adviser (including financial planners)  (d)   registered municipal advisor (d)   registered security-based swap dealer (e)   major security-based swap participant (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g)   tutures commission merchant (h)   banking or thrift institution (i)   trust company (i)   accountant or accounting firm (k)   lawyer or law firm (i)   insurance company or agency (j)   pension consultant (n)   pension consultant (n)   real estate broker or dealer (s)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (s)   sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes No							
6.	Do you control or are you controlled by the related person?	Yes No							
7.	Are you and the related person under common control?	<b>©</b> 0							
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0							
	<ul> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:</li> </ul>	0 0							
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	., .,							
9.	(a) If the related person is an investment adviser, is it exempt from registration?	Yes No							
	(b) If the answer is yes, under what exemption?								
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 @							
	(b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed								
11.	Do you and the related person share any supervised persons?	© 0							
12.	Do you and the <i>related person</i> share the same physical location?	<b>⊙</b> 0							

1. Legal Name of *Related Person*:
GLOBAL ENERGY & POWER INFRASTRUCTURE II ADVISORS, L.L.C.

2.	Primary Business Name of <i>Related Person</i> : GLOBAL ENERGY & POWER INFRASTRUCTURE II ADVISORS, L.L.C.	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or and the state of the state o	
	Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	Related Person is: (check all that apply)	
	<ul> <li>(a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer</li> <li>(b) ☑ other investment adviser (including financial planners)</li> </ul>	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	<ul><li>(e) ☐ major security-based swap participant</li><li>(f) ☑ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li></ul>	
	(g) ☐ futures commission merchant	
	(h) banking or thrift institution	
	<ul><li>(i) □ trust company</li><li>(j) □ accountant or accounting firm</li></ul>	
	(k) lawyer or law firm	
	(I) Insurance company or agency	
	<ul><li>(m) □ pension consultant</li><li>(n) □ real estate broker or dealer</li></ul>	
	(o)  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) $\square$ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	N
6.	Do you control or are you controlled by the related person?	Yes No
7	Are you and the related person under common control?	• o
,	The few and the related person and services.	0 0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are	0 0
	maintained at the <i>related person</i> ?  (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
	If this address is a private residence, check this box.	Yes No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	~ ~
11	No Information Filed	
11.	Do you and the related person share any supervised persons?	⊙ ○
12.	Do you and the related person share the same physical location?	⊙ ೧
1.	Legal Name of <i>Related Person</i> : HIGH STREET GP, LLC	
2.	Primary Business Name of <i>Related Person</i> : HIGH STREET GP, LLC	
	THOIT STREET OF, LEO	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	

	Other						
4	4. Related Person's  (a) CRD Number (if any):						
	(b)	CIK Number(s) (if any):  No Information Filed					
į		ated Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm					
	(k) (l)	lawyer or law firm insurance company or agency					
	(m) (n) (o) (p)	<ul> <li>□ pension consultant</li> <li>□ real estate broker or dealer</li> <li>□ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>					
	b. Do	you control or are you controlled by the related person?	Yes O				
-	. Are	you and the related person under common control?	•	0			
8	3. (a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0				
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 2:					
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:					
	). (a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes				
	(b)	If the answer is yes, under what exemption?					
		Is the related person registered with a foreign financial regulatory authority?	0	•			
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed					
•	1. Do :	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0			
	2. Do	you and the <i>related person</i> share the same physical location?	•	0			
	BLA	al Name of <i>Related Person</i> : CKROCK DIVPEP V, LLC nary Business Name of <i>Related Person</i> :					
		CKROCK DIVPEP V, LLC					
	3. Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)					
	or Oth	er					
	l. Rela (a)	ated Person's  CRD Number (if any):					
	(b)	(b) CIK Number(s) (if any):					

	Related Person is: (check all that appl		a broker er deeler		
		ecurities dealer, or government securities including financial planners)	s broker or dealer		
	(c) registered municipal advisor	•			
	(d) registered security-based				
(	(e) ☐ major security-based swap	participant			
(	(f) $\square$ commodity pool operator o	or commodity trading advisor (whether re	egistered or exempt from registr	ration)	
(	(g)  futures commission mercha	ant			
(	(h) banking or thrift institution				
	(i) trust company				
	(j) accountant or accounting fi	.rm			
	<ul><li>(k) □ lawyer or law firm</li><li>(l) □ insurance company or ager</li></ul>	nev			
	<ul><li>(I) □ insurance company or ager</li><li>(m) □ pension consultant</li></ul>	icy			
	(n) real estate broker or deale	er			
		nited partnerships (or equivalent), exclud	ding pooled investment vehicles		
		managing member (or equivalent) of poo	• .		
					Yes N
	Do you control or are you controlled by	by the related person?			0.6
1	Are you and the related person under	r common control?			⊙ ⊙
(	•	a qualified custodian for your <i>clients</i> in co	•		0.6
(		206(4)-2(d)(5)) from the related person a	•	re, have you overcome the presumption that you are not operationally ain a surprise examination for your <i>clients'</i> funds or securities that are	0 0
(	·		on of the <i>related person's</i> office i	responsible for <i>custody</i> of your <i>clients'</i> assets:	
•	Number and Street 1:		Number and Street 2:		
	City:	State:	Country:	ZIP+4/Postal Code:	
	If this address is a private resid	dence, check this box:			
,	(a) If the related narrow is an investigation	transmit advisor is it averant from registra	+10.20		Yes N
		tment adviser, is it exempt from registrat	tion?		0 0
(	(b) If the answer is yes, under wha	at exemption?			
) (	(a) Is the <i>related person</i> registered	with a foreign financial regulatory authori	ity?		0 6
	,			vith which the related person is registered.	0 6
,	(b) If the answer is yes, list the har	The and country, in English of each foreig	No Information File		
1. [	Do you and the <i>related person</i> share	any supervised persons?			· 0
	· ·				
2. [	Do you and the <i>related person</i> share	the same physical location?			<b>⊙</b> (
	Legal Name of <i>Related Person</i> :				
	BLACKROCK GEMINI PRIVATE OPPOR	RTUNITIES GP. LLC			
-					
F	Primary Business Name of Related Pe	erson:			
E	BLACKROCK GEMINI PRIVATE OPPOR	TUNITIES GP, LLC			
ŀ	Related Person's SEC File Number (if a	any) (e.g., 801-, 8-, 866-, 802-)			
(	or				
	Other				
ŀ	Related Person's				
(	(a) CRD Number (if any):				
,	(b) CIK Number(c) (if any)				
(	(b) CIK Number(s) (if any):		No Information File	ed	
	Related Person is: (check all that appl				
(	(a) broker-dealer, municipal se	ecurities dealer, or government securities	s broker or dealer		

(b) other investment adviser (including financial planners)

	(c) L registered municipal advisor					
	(d) $\square$ registered security-based swap dealer					
	(e) $\square$ major security-based swap participant					
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)					
	(g)  utures commission merchant					
	(h) banking or thrift institution					
	(i)					
	(j) accountant or accounting firm					
	(k)  lawyer or law firm					
	(I) Insurance company or agency					
	(m) pension consultant					
	(n) real estate broker or dealer					
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding po					
	(p) sponsor, general partner, managing member (or equivalent) of pooled inv	estment vehicles				
			Yes	s No		
6.	. Do you control or are you controlled by the related person?		0	⊙		
7.	. Are you and the related person under common control?		•	0		
8.	. (a) Does the related person act as a qualified custodian for your clients in connection	on with advisory ser	services you provide to <i>clients</i> ?	•		
	(b) If you are registering or registered with the SEC and you have answered "yes,	s," to question 8.(a)	a) above, have you overcome the presumption that you are not operationally	0		
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus maintained at the <i>related person</i> ?	s are not required to				
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the	ne <i>related person's</i> of	s office responsible for <i>custody</i> of your <i>clients'</i> assets:			
	Number and Street 1:	Number and Stre	Street 2:			
	City: State:	Country:	ZIP+4/Postal Code:			
	If this address is a private residence, check this box: $\square$					
			Yes	s No		
9.	. (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		o	0		
	(b) If the answer is yes, under what exemption?					
10	0. (a) Is the related person registered with a foreign financial regulatory authority?		0	•		
	(b) If the answer is yes, list the name and country, in English of each foreign finance	ncial regulatory author	thority with which the related person is registered.			
		No Information	ition Filed			
11	1. Do you and the related person share any supervised persons?		•	0		
12	2. Do you and the <i>related person</i> share the same physical location?		•	0		
1.	3					
	NDSIB PRIVATE OPPORTUNITIES GP, LLC					
2.	Primary Business Name of <i>Related Person</i> :					
	NDSIB PRIVATE OPPORTUNITIES GP, LLC					
3.	. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)					
	or Other					
	other					
4.	. Related Person's					
	(a) CRD Number (if any):					
	(b) CIK Number(s) (if any):					
		No Information	ition Filed			
5.	. Related Person is: (check all that apply)					
	(a) $\square$ broker-dealer, municipal securities dealer, or government securities broket	er or dealer				
	(b) $\square$ other investment adviser (including financial planners)					
	(c) $\square$ registered municipal advisor					
	(d) $\square$ registered security-based swap dealer					
	(e) $\square$ major security-based swap participant					
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registere	ed or exempt from re	n registration)			
	(g) ☐ futures commission merchant					
	(h) D banking or thrift institution					

	(i) $\square$ trust company		
	(j) accountant or accounting firm		
	(k) lawyer or law firm		
	(I) ☐ insurance company or agency (m) ☐ pension consultant		
	(n) real estate broker or dealer		
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	
6.	Do you control or are you controlled by the related person?	0	⊙
7.	Are you and the related person under common control?	•	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:		
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:     This is a private residence   Country   Coun		
		Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10	. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	_	_
10.	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	О	⊙
	No Information Filed		
11.	. Do you and the related person share any supervised persons?	•	$\circ$
12	. Do you and the <i>related person</i> share the same physical location?	_	
12.	bo you and the related person share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : BLACKROCK HAJAR PRIVATE OPPORTUNITIES GP, LLC		
2.	Primary Business Name of <i>Related Person</i> :  BLACKROCK HAJAR PRIVATE OPPORTUNITIES GP, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or		
	Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	Related Person is: (check all that apply)		
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) other investment adviser (including financial planners)		
	(c) registered municipal advisor		
	<ul><li>(d) ☐ registered security-based swap dealer</li><li>(e) ☐ major security-based swap participant</li></ul>		
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) [ futures commission merchant		
	(h)  banking or thrift institution		
	(i) trust company		
	<ul> <li>(j) □ accountant or accounting firm</li> <li>(k) □ lawyer or law firm</li> </ul>		
	(i) $\square$ insurance company or agency		
	(m) pension consultant		
	(n) 🗖 real estate broker or dealer		

(o) L sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Vor	c N	
6. Do you control or are you controlled by the related person?		s No	
7. Are you and the <i>related person</i> under common <i>control</i> ?	•		5
	_	_	
8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•	9
(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	0	0	>
(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:			
Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:			
If this address is a private residence, check this box:			
	Yes	s No	0
9. (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	0	)
(b) If the answer is yes, under what exemption?			
10. (a) Is the related person registered with a foreign financial regulatory authority?	0	•	9
(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed			
11. Do you and the related person share any supervised persons?	•	0	5
12. Do you and the <i>related person</i> share the same physical location?	_		
12. Do you and the related person share the same physical location:	•	0	)
			Ξ
1. Legal Name of Related Person:			
PRIVATE EQUITY PARTNERS VII GP (US) L.P.			
2. Primary Business Name of <i>Related Person</i> :			
PRIVATE EQUITY PARTNERS VII GP (US) L.P.			
3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
or			
Other			
4. Related Person's			
(a) CRD Number (if any):			
(b) CIK Number(s) (if any):			
No Information Filed			
5. Related Person is: (check all that apply)			
(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer			
(b) □ other investment adviser (including financial planners)  (c) □ registered municipal advisor			
(c) □ registered municipal advisor  (d) □ registered security-based swap dealer			
(e) $\square$ major security-based swap participant			
(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
(g) $\square$ futures commission merchant			
(h) Denking or thrift institution			
(i) trust company			
(j) accountant or accounting firm			
(k) □ lawyer or law firm  (l) □ insurance company or agency			
(m) pension consultant			
(n) $\square$ real estate broker or dealer			
(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
6. Do you control or are you controlled by the related person?		s No	
6. Do you control or are you controlled by the related person?	0	•	9
7. Are you and the <i>related person</i> under common <i>control</i> ?	•	C	5

8.	(a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?	0	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:		
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
		If the answer is yes, under what exemption?		
10.		Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	0	0
11.	Do y	you and the related person share any supervised persons?	•	0
12.	Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	-	al Name of <i>Related Person</i> : 2020 PRIVATE OPPORTUNITIES GP, LLC		
2.		nary Business Name of <i>Related Person</i> : 2020 PRIVATE OPPORTUNITIES GP, LLC		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4.		ated Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):  No Information Filed		
		No midmation riled		
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (n) (o)	broker-dealer, municipal securities dealer, or government securities broker or dealer  other investment adviser (including financial planners)  registered municipal advisor  registered security-based swap dealer  major security-based swap participant  commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  futures commission merchant  banking or thrift institution  trust company  accountant or accounting firm  lawyer or law firm  insurance company or agency  pension consultant  real estate broker or dealer  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
6.	Do y	you control or are you controlled by the related person?	Yes O	
7.	Are :	you and the related person under common control?	•	0
8.	(a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:	0	

	Number and Street 1:	Number and Street 2:	
	City: State: If this address is a private residence, check this box: $\Box$	Country: ZIP+4/Postal Code:	
9.	. (a) If the <i>related person</i> is an investment adviser, is it exempt from	registration?	Yes No
	(b) If the answer is yes, under what exemption?		
10	0. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory</i>	v authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each	ch <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	
11	1. Do you and the related person share any supervised persons?		⊙ ○
12	2. Do you and the <i>related person</i> share the same physical location?		• o
1.	. Legal Name of <i>Related Person</i> : BIS BRAZOS INFRASTRUCTURE GP, LLC		
2.	. Primary Business Name of <i>Related Person</i> : BIS BRAZOS INFRASTRUCTURE GP, LLC		
3.	. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	. Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):	No Information Filed	
5.	(a) □ broker-dealer, municipal securities dealer, or government set other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (who give futures commission merchant  (h) □ banking or thrift institution  (i) □ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm  (l) □ insurance company or agency  (m) □ pension consultant  (n) □ real estate broker or dealer  (o) □ sponsor or syndicator of limited partnerships (or equivalent)  (p) ▼ sponsor, general partner, managing member (or equivalent)	nether registered or exempt from registration)  ), excluding pooled investment vehicles	Yes No
6.	. Do you control or are you controlled by the related person?		○ ●
7.	. Are you and the <i>related person</i> under common <i>control</i> ?		© O
8.	. (a) Does the related person act as a qualified custodian for your clien	nts in connection with advisory services you provide to clients?	○ ⊙
		answered "yes," to question 8.(a) above, have you overcome the presumption that you are not ope person and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities	
	(c) If you have answered "yes" to question 8.(a) above, provide the Number and Street 1:	e location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 2:	
	City: State:  If this address is a private residence, check this box:	Country: ZIP+4/Postal Code:	
0	·		Yes No
9.	<ul><li>(a) If the <i>related person</i> is an investment adviser, is it exempt from</li><li>(b) If the answer is yes, under what exemption?</li></ul>	registration?	0 0

10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	œ
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
11.	Do '	No Information Filed you and the <i>related person</i> share any <i>supervised persons</i> ?		O
	_		•	•
12.	Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	_	al Name of <i>Related Person</i> : CUSTOM PARTNERSHIPS (GENPAR), LLC		
	DAA	COSTOW FARTNERSHIFS (GENEAR), ELC		
2.		nary Business Name of <i>Related Person</i> : CUSTOM PARTNERSHIPS (GENPAR), LLC		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or			
	Oth	er		
4.		ated Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		No Information Filed		
5.	Rela	ated Person is: (check all that apply)		
	(a)			
	(b)	other investment adviser (including financial planners)  registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  futures commission merchant		
	(g) (h)	banking or thrift institution		
	(i)	□ trust company		
	(j)	accountant or accounting firm		
	(k) (l)	☐ lawyer or law firm ☐ insurance company or agency		
	(n) (m)			
	(n)	real estate broker or dealer		
	` '	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	s No
6.	Do y	you control or are you controlled by the related person?		C
7.	Are	you and the related person under common control?	•	C
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	e
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		C
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
0	(-)		Yes	
У.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?  If the answer is yes, under what exemption?	0	С
	(υ)	it the answer is yes, ander what exemption:		
10.	(a)		0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	Do '	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	

		• 0
Ι.	Legal Name of <i>Related Person</i> : ISHARES DELAWARE TRUST SPONSOR LLC	
2.	Primary Business Name of <i>Related Person</i> : ISHARES DELAWARE TRUST SPONSOR LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
5.	Related Person is: (check all that apply)  (a) Double broker-dealer, municipal securities dealer, or government securities broker or dealer	
	<ul> <li>(b)</li></ul>	
	<ul> <li>(d) □ registered security-based swap dealer</li> <li>(e) □ major security-based swap participant</li> <li>(f) ☑ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li> </ul>	
	<ul> <li>(g) futures commission merchant</li> <li>(h) banking or thrift institution</li> </ul>	
	<ul> <li>(i) □ trust company</li> <li>(j) □ accountant or accounting firm</li> <li>(k) □ lawyer or law firm</li> </ul>	
	(I) Insurance company or agency	
	(m) pension consultant  (n) real estate broker or dealer	
	<ul> <li>(o)  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p)  sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>	
,		Yes No
Ο.	Do you control or are you controlled by the related person?	0 0
7.	Are you and the <i>related person</i> under common <i>control</i> ?	⊙ ○
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes No
	(b) If the answer is yes, under what exemption?	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11.	Do you and the related person share any supervised persons?	⊙ ○
12.	Do you and the <i>related person</i> share the same physical location?	0 0

2.	Primary Business Name of <i>Related Person</i> : BAA PRIVATE CAPITAL 2002 (GENPAR), LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CHCNL web and a) (if any )		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	Related Person is: (check all that apply)  (a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer  (b) □ other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant		
	<ul> <li>(f)</li></ul>		
	(h) banking or thrift institution		
	(i)		
	(k)   lawyer or law firm		
	(I) Insurance company or agency		
	(m) pension consultant		
	(n) real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		N1 -
6.	Do you control or are you controlled by the related person?	Yes	
7.	Are you and the <i>related person</i> under common <i>control</i> ?	•	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	Ö	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
	If this address is a private residence, theta this box.	Yes	Nο
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	$\odot$
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0
	Legal Name of <i>Related Person</i> : BLACKROCK ASSET MANAGEMENT IRELAND LIMITED  Primary Business Name of <i>Related Person</i> : BLACKROCK ASSET MANAGEMENT IRELAND LIMITED		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		

	ther the state of	
4.	elated Person's ) CRD Number (if any):	
	) CIK Number(s) (if any):  No Information Filed	
5.	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer agion security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm linsurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Vac N
6.	o you control or are you controlled by the related person?	Yes No
7.	e you and the <i>related person</i> under common <i>control</i> ?	<b>©</b> C
8.	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operation independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:	t are
9.	) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes No ⊙ C
	) If the answer is yes, under what exemption? FOREIGN PRIVATE ADVISER	
10.	Is the related person registered with a foreign financial regulatory authority?  If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Ireland - Central Bank of Ireland  United Kingdom - Financial Conduct Authority	<b>⊙</b> C
11.	you and the related person share any supervised persons?	⊙ (
12.	you and the <i>related person</i> share the same physical location?	0 @
	gal Name of <i>Related Person</i> : ACKROCK ASSET MANAGEMENT CANADA LIMITED / GESTION D'ACTIFS BLK imary Business Name of <i>Related Person</i> : ACKROCK ASSET MANAGEMENT CANADA LIMITED	
3.	elated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 02 - 76230	

or

4.	Rela	ted Person's					
	(a)	CRD Number (if any):					
	4. >	162262					
	(b)	CIK Number(s) (if any):  CIK Number					
		1050459					
		1030439					
5.	Rela	ted Person is: (check all that apply)					
	(a)	broker-dealer, municipal securities dealer, or government securities broker of	r dealer				
	(b)	other investment adviser (including financial planners)					
	(c)	registered municipal advisor					
	(d)	registered security-based swap dealer					
	(e)	major security-based swap participant					
	(f)	commodity pool operator or commodity trading advisor (whether registered of	or exempt from registration	on)			
	(g)	futures commission merchant					
	(h)	banking or thrift institution					
	(I) (i)	trust company accountant or accounting firm					
	(k)	lawyer or law firm					
	(I)	insurance company or agency					
	(m)	pension consultant					
	(n)	real estate broker or dealer					
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding poole	ed investment vehicles				
	(p)	sponsor, general partner, managing member (or equivalent) of pooled invest	ment vehicles				
,	Day	and a second or any value controlled by the related narrows			Yes N		
О.	ро у	ou control or are you controlled by the related person?			0 6		
7.	Are	you and the <i>related person</i> under common <i>control</i> ?			⊙ (		
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection	with advisory services yo	ou provide to <i>clients</i> ?	0 6		
	(b)	If you are registering or registered with the SEC and you have answered "yes," t	•		0 0		
		independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus ar maintained at the <i>related person</i> ?	re not required to obtain	a surprise examination for your <i>clients'</i> funds or securities that are			
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:					
			Number and Street 2:				
		City: State: If this address is a private residence, check this box: $\square$	Country:	ZIP+4/Postal Code:			
		If this address is a private residence, check this box.			Yes N		
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			· (		
	(b)	If the answer is yes, under what exemption?					
		PRIVATE FUND ADVISER					
10.	(a)	Is the related person registered with a foreign financial regulatory authority?			· 0		
	(b)	If the answer is yes, list the name and country, in English of each <i>foreign financial</i>	regulatory authority with	which the related person is registered.			
		Name of Country/English Name of Foreign Financial Regulatory Authority  Canada - Alberta Securities Commission					
		Canada - British Columbia Securities Commission					
		Canada - Manitoba Securities Commission					
		Canada - New Brunswick Securities Commission					
		Canada - Newfoundland and Labrador, Financial Services Regulation Division					
		Canada - Northwest Territories, Office of the Registrar of Securities					
		Canada - Nova Scotia Securities Commission					
		Canada - Nunavut, Registrar of Securities					
		Canada - Ontario Securities Commission					
		Canada - Prince Edward Island, Securities Office					
		Canada - Quebec, Financial Markets Authority					
		Canada - Saskatchewan Financial Services Commission					
		Canada - Yukon Territories, Registrar of Securities					
11.	Do y	rou and the related person share any supervised persons?			• (		
	,						
12.	Do y	ou and the related person share the same physical location?			0 6		

	Legal Name of <i>Related Person</i> : BLACKROCK MEXICO INFRAESTRUCTURA II, S. DE R.L. DE C.V.		
)	Primary Business Name of <i>Related Person</i> : BLACKROCK MEXICO INFRAESTRUCTURA II, S. DE R.L. DE C.V.		
<b>3</b> .	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
١.	Related Person's		
	<ul><li>(a) CRD Number (if any):</li><li>(b) CIK Number(s) (if any):</li></ul>		
	(b) CIK Number(s) (if any):  No Information Filed		
i.	Related Person is: (check all that apply)    a	Yes	: No
).	Do you control or are you controlled by the related person?	Yes O	. No
	Are you and the related person under common control?	•	0
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:		
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: $\square$		
).	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	O
	(b) If the answer is yes, under what exemption?		
Ο.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed		
1.	Do you and the related person share any supervised persons?	•	0
2.	Do you and the <i>related person</i> share the same physical location?	0	•
	Legal Name of <i>Related Person</i> : TCP DIRECT LENDING MM VIII-S, LLC		

2. Primary Business Name of *Related Person*: TCP DIRECT LENDING MM VIII-S, LLC

3.	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or	
	Other	
4.	4. Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	5. <i>Related Person</i> is: (check all that apply)  (a)       broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) $\square$ other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) $\square$ registered security-based swap dealer  (e) $\square$ major security-based swap participant	
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	<ul><li>(g) ☐ futures commission merchant</li><li>(h) ☐ banking or thrift institution</li></ul>	
	<ul><li>(h) □ banking or thrift institution</li><li>(i) □ trust company</li></ul>	
	(j) accountant or accounting firm	
	(k) $\square$ lawyer or law firm  (l) $\square$ insurance company or agency	
	(m) pension consultant	
	(n) □ real estate broker or dealer  (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
,	( De concentral an analysis and trailed by the analysis of a second	Yes No
Э.	6. Do you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	0 0
7.	7. Are you and the related person under common control?	⊙ ○
3.	B. (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	○ ●
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are	
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or maintained at the related person?	securities that are
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:	
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
_		Yes No
<del>)</del> .	9. (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?  (b) If the answer is yes, under what exemption?	0 0
	(b) If the answer is yes, under what exemption:	
10.	10. (a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11.	11. Do you and the related person share any supervised persons?	<b>©</b> 0
10		
12.	12. Do you and the <i>related person</i> share the same physical location?	⊙ ○
1.	1. Legal Name of <i>Related Person</i> :	
	CO-INVESTMENT INCOME FUND (GENPAR), LLC	
2.	2. Primary Business Name of <i>Related Person</i> :	
	CO-INVESTMENT INCOME FUND (GENPAR), LLC	
3.	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	- or	
	Other	
4	4 Related Person's	

	(a)	CRD Number (if any):			
	(b)	CIK Number(s) (if any):	No Information Filed		
5.	(a) (b) (c) (d)	ted Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or other investment adviser (including financial planners)  registered municipal advisor  registered security-based swap dealer  major security-based swap participant  commodity pool operator or commodity trading advisor (whether registered or futures commission merchant  banking or thrift institution			
	(i) (j) (k) (l) (m) (n) (o) (p)	<ul> <li>□ trust company</li> <li>□ accountant or accounting firm</li> <li>□ lawyer or law firm</li> <li>□ insurance company or agency</li> <li>□ pension consultant</li> <li>□ real estate broker or dealer</li> <li>□ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled</li> <li>☑ sponsor, general partner, managing member (or equivalent) of pooled investr</li> </ul>			
6.	Do y	you control or are you controlled by the related person?			Yes N
7.	Are	you and the related person under common control?			· (
8.		Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection will you are registering or registered with the SEC and you have answered "yes," to independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are maintained at the <i>related person</i> ?	o question 8.(a) above, have	you overcome the presumption that you are not operationally	0 6
	(c)		elated person's office responsi Number and Street 2: Country:	ible for <i>custody</i> of your <i>clients'</i> assets:  ZIP+4/Postal Code:	
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			Yes N
	(b)	If the answer is yes, under what exemption?			
10.		Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign financial</i> is	<i>regulatory authority</i> with whic No Information Filed	ch the <i>related person</i> is registered.	0 6
11.	Do y	ou and the related person share any supervised persons?			⊙ (
12.	Do y	you and the related person share the same physical location?			© (
1.	_	al Name of <i>Related Person</i> : CKROCK CAPITAL INVESTMENT ADVISORS, LLC			
2.		nary Business Name of <i>Related Person</i> :  CKROCK CAPITAL INVESTMENT ADVISORS, LLC			
3.		ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 112118 er			
4.	Rela (a)	ted Person's  CRD Number (if any):			
	(b)	290336 CIK Number(s) (if any):			
		CIK Number 290336			
		270330			

!	5. Related Person is: (check all that apply)  (a)	
	6. Do you control or are you controlled by the related person?	Yes No ⊙ O
	7. Are you and the <i>related person</i> under common <i>control</i> ?	⊙ ○
;	<ul> <li>8. (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not ope independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:  D</li> </ul>	
	9. (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes No
	(b) If the answer is yes, under what exemption?	
	<ul><li>10. (a) Is the related person registered with a foreign financial regulatory authority?</li><li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.</li><li>No Information Filed</li></ul>	0 @
	11. Do you and the related person share any supervised persons?	⊙ ○
	12. Do you and the <i>related person</i> share the same physical location?	⊙ ⊖
	<ol> <li>Legal Name of <i>Related Person</i>:         EMPIREPM B 2017-10 (GENPAR), LLC</li> <li>Primary Business Name of <i>Related Person</i>:         EMPIREPM B 2017-10 (GENPAR), LLC</li> </ol>	
,	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  or Other	
	4. Related Person's  (a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
!	<ul> <li>5. Related Person is: (check all that apply)</li> <li>(a)  broker-dealer, municipal securities dealer, or government securities broker or dealer</li> <li>(b)  other investment adviser (including financial planners)</li> <li>(c)  registered municipal advisor</li> <li>(d)  registered security-based swap dealer</li> </ul>	

	(e)	
6.	<ul><li>(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li><li>6. Do you control or are you controlled by the related person?</li></ul>	Yes No
7.	7. Are you and the <i>related person</i> under common <i>control</i> ?	⊙ ○
8.	<ul> <li>8. (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> funds or maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:</li> </ul>	
	Number and Street 1:  City:  State:  Number and Street 2:  Country:  ZIP+4/Postal Code:	
	If this address is a private residence, check this box: $\square$	Yes No
9.	9. (a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	<ul><li>10. (a) Is the related person registered with a foreign financial regulatory authority?</li><li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.</li><li>No Information Filed</li></ul>	○ ●
11.	11. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙ ○
12.	12. Do you and the related person share the same physical location?	<b>⊙</b> C
1.	1. Legal Name of <i>Related Person</i> : SVOF/MM, LLC	
2.	2. Primary Business Name of <i>Related Person</i> : SVOF/MM, LLC	
3.	801 - 63473	
	or Other	
4.	<ul><li>4. Related Person's</li><li>(a) CRD Number (if any):</li><li>132205</li></ul>	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	<ul> <li>5. Related Person is: (check all that apply)</li> <li>(a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer</li> <li>(b) ☑ other investment adviser (including financial planners)</li> <li>(c) □ registered municipal advisor</li> <li>(d) □ registered security-based swap dealer</li> <li>(e) □ major security-based swap participant</li> <li>(f) ☑ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li> <li>(g) □ futures commission merchant</li> <li>(h) □ banking or thrift institution</li> <li>(i) □ trust company</li> <li>(j) □ accountant or accounting firm</li> </ul>	

	(k) ☐ lawyer or law firm			
	(I) Insurance company or agency			
	(m) pension consultant			
	(n) real estate broker or dealer			
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
		Yes	s No	)
6.	Do you control or are you controlled by the related person?	•	О	1
7.	Are you and the related person under common control?	•	C	,
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•	,
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0	0	
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are			
	maintained at the related person?			
	(c) If you have answered "yes" to question 8. (a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:			
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:			
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:			
		Ye	s No	5
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	•	, l
	(b) If the answer is yes, under what exemption?	~	~	
	(b) If the driswer is yes, under what exemption.			
10.	. (a) Is the related person registered with a foreign financial regulatory authority?		O	
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	•		
	Name of Country/English Name of Foreign Financial Regulatory Authority			ı
	Ireland - Central Bank of Ireland			1
11	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?		_	.
' ' '	. Do you and the related person share any supervised persons:	•	О	
12	. Do you and the <i>related person</i> share the same physical location?	_	_	
12.	. Do you and the related person share the same physical location:	0	⊙	
				_
1.	Legal Name of Related Person:			
	BLACKROCK DIRECT LENDING IX GP, LLC			
2.	Primary Business Name of <i>Related Person</i> :  BLACKROCK DIRECT LENDING IX GP, LLC			
	BLACKROCK DIRECT LENDING IX GP, LLC			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
J.	-			
	or			
	Other			
4.	Related Person's			
	(a) CRD Number (if any):			
				ı
	(b) CIK Number(s) (if any):  No Information Filed			
	No imprination riled			
5.	Related Person is: (check all that apply)			
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer			
	(b)  other investment adviser (including financial planners)			
	(c) $\square$ registered municipal advisor			
	(d) $\square$ registered security-based swap dealer			
	(e) $\square$ major security-based swap participant			
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
	(g) futures commission merchant			
	(h)  banking or thrift institution			
	(i) Trust company			
	(j) accountant or accounting firm			
	(k) lawyer or law firm			
	(i) Insurance company or agency			
	(m) ☐ pension consultant  (n) ☐ real estate broker or dealer			
	(n) real estate broker or dealer  (o) $\Gamma$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			

	(b) El sponsor, general partner, managing member (or equivalent) or pooled investment venicles		
6.	Do you control or are you controlled by the related person?		o No o
7.	Are you and the related person under common control?	•	0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:</li></ul>	О	0
	(a) If the related person is an investment advisor is it evenent from registration?		No -
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
10.	<ul><li>(b) If the answer is yes, under what exemption?</li><li>(a) Is the related person registered with a foreign financial regulatory authority?</li></ul>	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	~	~
	No Information Filed		
11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?		0
1.	Legal Name of <i>Related Person</i> : BAA GAIA IMC (GENPAR), LLC  Primary Business Name of <i>Related Person</i> : BAA GAIA IMC (GENPAR), LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	Related Person is: (check all that apply)  (a)		
			No No
6.	Do you control or are you controlled by the related person?	0	•
7.	Are you and the related person under common control?		

8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number and Street 2:		
		Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:	Yes	. No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?		0
	(b)	If the answer is yes, under what exemption?		
10	. (a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	~	~
11	. Do y	you and the related person share any supervised persons?	•	0
12	. Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	Lega	al Name of <i>Related Person</i> :		
	_	A CO-INVESTMENT FUND III (GENPAR), LLC		
2.		nary Business Name of <i>Related Person</i> : A CO-INVESTMENT FUND III (GENPAR), LLC		
3.	Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Oth	er		
4.	Rela (a)	ated Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):  No Information Filed		
		No illioittation i fied		
5.	Rela	ated Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners) registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e) (f)	major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i) (j)	trust company accountant or accounting firm		
	(k)	lawyer or law firm		
	(l) (m)	insurance company or agency pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No
6.	Do y	you control or are you controlled by the related person?	O	•
7.	Are	you and the related person under common control?	•	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number 2:		

		City: State: If this address is a private residence, check this box: $\Box$	Country:	ZIP+4/Postal Code:	
		If this address is a private residence, check this box:			Yes No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			0 0
	(b)	If the answer is yes, under what exemption?			
10		Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign final</i>	<i>ancial regulatory authority</i> with whic No Information Filed	ch the <i>related person</i> is registered.	○ ⊙
11	. Do <u>ა</u>	ou and the related person share any supervised persons?	No mormation riled		• o
12	. Do y	ou and the related person share the same physical location?			⊙ ○
1.	_	al Name of <i>Related Person</i> : LIVAN WAY PRIVATE OPPORTUNITIES GP, LLC			
2.		ary Business Name of <i>Related Person</i> : LIVAN WAY PRIVATE OPPORTUNITIES GP, LLC			
3.	Rela -	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Othe	<b>⊋</b> Γ			
4.		ted Person's  CRD Number (if any):			
	(b)	CIK Number(s) (if any):	No Information Filed		
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (k) (l) (m) (n) (o)	broker-dealer, municipal securities dealer, or government securities broken other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registe futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding presence of sponsor, general partner, managing member (or equivalent) of pooled in	ered or exempt from registration) pooled investment vehicles		Yes No
		ou control or are you controlled by the related person?			0 0
7.	Are	you and the <i>related person</i> under common <i>control</i> ?			⊙ ೧
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connect	y ,		0 0
	(b)	If you are registering or registered with the SEC and you have answered "ye independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and the maintained at the <i>related person</i> ?			0 0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of Number and Street 1:  City: State:	the <i>related person's</i> office responsi Number and Street 2: Country:	ible for <i>custody</i> of your <i>clients'</i> assets:  ZIP+4/Postal Code:	
		If this address is a private residence, check this box:	•		
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?			Yes No
	(b)	If the answer is yes, under what exemption?			0 0
1.1					

10.	. (a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> :  ORANGE 2015 DISLOCREDIT FUND (GENPAR), LLC		
2.	Primary Business Name of <i>Related Person</i> :  ORANGE 2015 DISLOCREDIT FUND (GENPAR), LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or		
	Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
6.	Related Person is: (check all that apply)  (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)   other investment adviser (including financial planners)  (c)   registered security-based swap dealer  (e)   major security-based swap participant  (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g)   futures commission merchant  (h)   banking or thrift institution  (i)   trust company  (i)   accountant or accounting firm  (k)   lawyer or law firm  (i)   insurance company or agency  (m)   pension consultant  (n)   real estate broker or dealer  (o)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  Do you control or are you controlled by the related person?  Are you and the related person under common control?	Yes O	•
0	(a) Does the related percent as a qualified system for your eligate in connection with advisory convices you provide to eligate?	_	
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:         <ul> <li>Number and Street 1:</li> </ul> </li> </ul>	0	
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes O	
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  (b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.	0	•
11.	No Information Filed . Do you and the <i>related person</i> share any <i>supervised persons?</i>	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	6	0

1.	Legal Name of Related Person:	
	BLACKROCK PRIVATE EQUITY NM II, LLC	
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK PRIVATE EQUITY NM II, LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's  (a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
5.	Related Person is: (check all that apply)  (a)  broker-dealer, municipal securities dealer, or government securities broker or dealer	
	<ul> <li>(b) □ other investment adviser (including financial planners)</li> <li>(c) □ registered municipal advisor</li> </ul>	
	(d) registered security-based swap dealer	
	<ul><li>(e) ☐ major security-based swap participant</li><li>(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li></ul>	
	(g)  futures commission merchant	
	(h) banking or thrift institution	
	<ul><li>(i) □ trust company</li><li>(j) □ accountant or accounting firm</li></ul>	
	(k) lawyer or law firm	
	(l) ☐ insurance company or agency (m) ☐ pension consultant	
	(n) $\square$ real estate broker or dealer	
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>	
	(p) opened.   general partner, managing member (e) equivalent, or posited model not	Yes No
6.	Do you control or are you controlled by the related person?	0 0
7.	Are you and the related person under common control?	⊙ ೧
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:	
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	.,
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes No
	(b) If the answer is yes, under what exemption?	~ ~
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	© 0
12.	Do you and the <i>related person</i> share the same physical location?	• o

Legal Name of *Related Person*:
 BLACKROCK SECURITIZED INVESTORS (GENPAR), LLC

2.	Primary Business Name of <i>Related Person</i> :  BLACKROCK SECURITIZED INVESTORS (GENPAR), LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	
	No Information Filed	
5.	Related Person is: (check all that apply)  (a) Display broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b)  other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	<ul><li>(d)  registered security-based swap dealer</li><li>(e)  major security-based swap participant</li></ul>	
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	<ul><li>(g)  ull futures commission merchant</li><li>(h)  ull banking or thrift institution</li></ul>	
	(i)  trust company	
	<ul> <li>(j) □ accountant or accounting firm</li> <li>(k) □ lawyer or law firm</li> </ul>	
	(i) Insurance company or agency	
	(m) pension consultant  (n) real estate broker or dealer	
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) <b>☑</b> sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes No
6.	Do you control or are you controlled by the related person?	© 0
7.	Are you and the related person under common control?	⊙ ○
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0 0
	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:	
	Number and Street 1:Number and Street 2:City:State:Country:ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	Yes No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	~ ~
11.	No Information Filed  Do you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙ ○
		0 0
12.	Do you and the <i>related person</i> share the same physical location?	⊙ ೧
1.	Legal Name of Related Person:	
	BLACKROCK INVESTMENT MANAGEMENT (DUBLIN) LIMITED	
2.	Primary Business Name of Related Person:	
	BLACKROCK INVESTMENT MANAGEMENT (DUBLIN) LIMITED	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or	

Oth			
4. Rela	ated Person's		
(a)	CRD Number (if any):		
(b)	CIK Number(s) (if any):		
	No Information Filed		
5. Rela (a) (b) (c) (d)	other investment adviser (including financial planners)  registered municipal advisor		
(e) (f) (g) (h)	major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant		
(i) (j)	trust company accountant or accounting firm		
(k) (l) (m)			
(n) (o)			
(p)			
4 Do	you control or are you controlled by the related person?	Yes	
J. DO	you control of are you controlled by the related person!	O	•
7. Are	e you and the <i>related person</i> under common <i>control?</i>	•	0
3. (a) (b) (c)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:		0
	Number and Street 1:  City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
) (a)	If the related person is an investment advisor, is it exampt from registration?	Yes	
9. (a) (b)	If the <i>related person</i> is an investment adviser, is it exempt from registration?  If the answer is yes, under what exemption?  FOREIGN PRIVATE ADVISER	•	0
10 (-)			
10. (a) (b)		•	0
	Name of Country/English Name of Foreign Financial Regulatory Authority		
	Ireland - Central Bank of Ireland		
11. Do	you and the related person share any supervised persons?	•	0
12. Do	you and the <i>related person</i> share the same physical location?	0	•
_	gal Name of <i>Related Person</i> : AVIATION HOLDINGS (GENPAR), LLC		
	mary Business Name of <i>Related Person</i> : AVIATION HOLDINGS (GENPAR), LLC		
3. Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
or Oth	ner		
	ated Person's  CRD Number (if any):		

	(d) (	No Information Filed		
5.	(a)   (b)   (c)   (d)   (e)   (f)   (g)   (h)   (i)   (i)   (k)   (l)   (m)   (n)   (o)   (o)   (o)   (d)   (d)	ed Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or dealer  other investment adviser (including financial planners)  registered municipal advisor  registered security-based swap dealer  major security-based swap participant  commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  futures commission merchant  banking or thrift institution  trust company  accountant or accounting firm  lawyer or law firm  insurance company or agency  pension consultant  real estate broker or dealer  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6.	Do yo	ou <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	Yes	
7.	Are y	you and the related person under common control?	•	(
8.	(b) (c)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?  If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:	0	(
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	Yes O	
	(b)	If the answer is yes, under what exemption?		
10.		Is the related person registered with a foreign financial regulatory authority?  If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	0	(
11.	Do yo	No Information Filed ou and the <i>related person</i> share any <i>supervised persons</i> ?	•	(
12.	Do yo	ou and the <i>related person</i> share the same physical location?	•	(
1. 2.	Prima BLACI	I Name of <i>Related Person</i> :  KROCK MD PRIVATE OPPORTUNITIES GP, LLC  ary Business Name of <i>Related Person</i> :  KROCK MD PRIVATE OPPORTUNITIES GP, LLC  ared <i>Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other	r		
4.		red Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):  No Information Filed		
5.	Relate	red Person is: (check all that apply)		

	(a) <b>I</b>	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e) <b>[</b>	major security-based swap participant		
	(f) <b>[</b>	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) <b>[</b>	futures commission merchant		
	(h) <b>[</b>	banking or thrift institution		
	(i) <b>[</b>	trust company		
	(j) <b>[</b>	accountant or accounting firm		
	(k) <b>[</b>	lawyer or law firm		
	(l) <b>[</b>	insurance company or agency		
	(m) <b>[</b>	pension consultant		
	(n) <b>[</b>	real estate broker or dealer		
	(o) <b>I</b>	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No
6.	Do yo	u control or are you controlled by the related person?	0	•
	,		~	•
7	Are vo	ou and the related person under common control?	•	_
' '	7 11 O J	a una trie rolatea perserrander comment contreir.	•	0
8.	(2)	Ooes the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	_	_
0.			0	
	i	f you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are naintained at the related person?	0	0
		f you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:		
		Number and Street 1:  Number and Street 1:		
		City: State: Country: ZIP+4/Postal Code:		
		f this address is a private residence, check this box:		
			Yes	No
9.	(a) I	f the <i>related person</i> is an investment adviser, is it exempt from registration?	0	0
	(b) I	f the answer is yes, under what exemption?	~	~
	(6)	the answer is yes, under what exemption:		
10	(a) I	s the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	_	_
10.			0	•
	(b) I	f the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed		
11	Do vo	u and the <i>related person</i> share any <i>supervised persons</i> ?	_	_
11.	. Бо уо	u and the related person share any supervised persons?	•	С
	_			
12.	. Во уо	u and the <i>related person</i> share the same physical location?	⊙	0
1	l anal	Name of Related Person:		
1.	_	18 PRIVATE OPPORTUNITIES GP, LLC		
	DLIVE	TOTAL OF SKIONINES SI, EES		
2.	Prima	ry Business Name of <i>Related Person</i> :		
		18 PRIVATE OPPORTUNITIES GP, LLC		
3.	Relate	d Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or			
	Other			
4.	Relate	d Person's		
	(a) (	CRD Number (if any):		
	(b) (	CIK Number(s) (if any):		
		No Information Filed		
5.	Relate	d Person is: (check all that apply)		
	(a) <b>I</b>	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		
1.1	(c) <b>I</b>	registered municipal advisor		
	(c) [ (d) [			
		registered municipal advisor		

	(g) ☐ futures commission merchant  (h) ☐ banking or thrift institution  (i) ☐ trust company  (j) ☐ accountant or accounting firm  (k) ☐ lawyer or law firm  (l) ☐ insurance company or agency  (m) ☐ pension consultant  real estate broker or dealer  (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  (p) ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles				
6.	Do you control or are you controlled by the related person?	Yes O	No <b>⊙</b>		
7.	Are you and the related person under common control?				
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:</li> </ul>		0		
	Number and Street 1: Number and Street 2:				
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:				
		Yes	No		
9.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0	0		
10.	). (a) Is the related person registered with a foreign financial regulatory authority?	0	•		
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed				
11.	. Do you and the related person share any supervised persons?	•	0		
12.	2. Do you and the <i>related person</i> share the same physical location?	•	0		
1.	Legal Name of <i>Related Person</i> : BLACKROCK POF III (GP), LLC  Primary Business Name of <i>Related Person</i> :  PLACKROCK POF III (CP), LLC				
	BLACKROCK POF III (GP), LLC				
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - or				
	Other				
4.	Related Person's  (a) CRD Number (if any):				
	(b) CIK Number(s) (if any):				
	No Information Filed				
5.	Related Person is: (check all that apply)  (a)				

	(m) pension consultant		
	(n) $\square$ real estate broker or dealer		
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	s No
6.	Do you control or are you controlled by the related person?		•
			G
7.	Are you and the related person under common control?	⊙	$\circ$
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally	0	0
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are	~	
	maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1:  Number 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:		
	If this address is a private residence, check this box.	Var	s No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	$\circ$
	(b) If the answer is yes, under what exemption?		
10	D. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	~	•
	No Information Filed		
111	1. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙	$\circ$
12	2. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of Related Person:		
	BLUE PENINSULA FUND (GENPAR), LLC		
	Drimary Pusiness Name of Polated Parson		
2.	Primary Business Name of <i>Related Person</i> :  BLUE PENINSULA FUND (GENPAR), LLC		
	BLUE PENTINSULA FUND (GENPAR), LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-		
	or		
	Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
			1
			1
	Polated Parson is: (shock all that apply)		
5.			
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) other investment adviser (including financial planners)		
	(c) $\square$ registered municipal advisor		
	(d) $\square$ registered security-based swap dealer		
	(e) $\square$ major security-based swap participant		
	(f) $\Box$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)  utures commission merchant		
	(h) □ banking or thrift institution		
	(i) Trust company		
	(j) accountant or accounting firm		
	(k) lawyer or law firm		
	(I) Insurance company or agency		
	(m) pension consultant		
	(n) $\square$ real estate broker or dealer		
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	s No
6.	Do you control or are you controlled by the related person?		•
11 0.	January Control of the Control of th		

7.	Are	you and the related person under common control?	⊙	$\circ$
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	•
	(b)	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		Number and Street 1: Number and Street 2:  City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\Box$		
	(-)		Yes	
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	0
	(b)	If the answer is yes, under what exemption?		
10	). (a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11	. Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙	$\circ$
12	2. Do y	you and the <i>related person</i> share the same physical location?	•	0
L				
1.	_	al Name of <i>Related Person</i> : CKROCK FUND MANAGERS LIMITED		
	DLA	SKROCK FOND MANAGERS LIWITED		
2.		nary Business Name of <i>Related Person</i> : CKROCK FUND MANAGERS LIMITED		
3.	Rola	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
3.	- -	ned Fersorr's SECTHE Number (II arry) (e.g., 601-, 6-, 602-)		
	or Oth			
	Othe	er e		
4.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		CIK Number		
		1388402		
5.	Rela	ated Person is: (check all that apply)		
	()	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) (c)	other investment adviser (including financial planners)  registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) (h)	futures commission merchant  banking or thrift institution		
	(i)	□ trust company		
	(j)	accountant or accounting firm		
	(k)	lawyer or law firm		
	(l) (m)	<ul> <li>□ insurance company or agency</li> <li>□ pension consultant</li> </ul>		
		real estate broker or dealer		
	(0)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
4	Do v	you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	Yes	
6.	DO S	tod control of are you controlled by the related person:	0	•
7.	Are	you and the related person under common control?	•	0
			-	
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	$\odot$

	<ul> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:         Number and Street 1:         Number and Street 2:     </li> </ul>	00
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes No
	(b) If the answer is yes, under what exemption? FOREIGN PRIVATE ADVISER	
10.	D. (a) Is the related person registered with a foreign financial regulatory authority?  (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority	<b>⊙</b> ○
11.	United Kingdom - Financial Conduct Authority  1. Do you and the related person share any supervised persons?	• c
	2. Do you and the <i>related person</i> share the same physical location?	0 0
1.	Legal Name of <i>Related Person</i> : BLACKROCK PRIVATE EQUITY NM, LLC	
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK PRIVATE EQUITY NM, LLC	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	Related Person's  (a) CRD Number (if any):	
	(b) CIK Number(s) (if any):  No Information Filed	
	No mioritation riled	
5.	Related Person is: (check all that apply)  (a)	
6.	Do you control or are you controlled by the related person?	Yes No ○ ⊙
7.	Are you and the related person under common contro?	<b>⊙</b> ○
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:</li> </ul>	0 <b>0</b>

	Number and Street 1:	Number and Street 2:		
	City: State:  If this address is a private residence, check this box: $\square$	Country:	ZIP+4/Postal Code:	
	The Late of Experience of the South			Yes No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?			0 0
	(b) If the answer is yes, under what exemption?			
10	. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?			0 0
	(b) If the answer is yes, list the name and country, in English of each foreign finan	ncial regulatory authority with whic	ch the <i>related person</i> is registered.	0 0
		No Information Filed		
11	. Do you and the related person share any supervised persons?			⊙ ○
12	. Do you and the <i>related person</i> share the same physical location?			0 0
1.	Legal Name of <i>Related Person</i> : BLACKROCK ELPT GP, LLC			
2.	Primary Business Name of <i>Related Person</i> :			
	BLACKROCK ELPT GP, LLC			
	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
3.	-			
	or Others			
	Other			
4.	Related Person's			
	(a) CRD Number (if any):			
	(b) CIK Number(s) (if any):			
		No Information Filed		
5.	Related Person is: (check all that apply)			
	(a) D broker-dealer, municipal securities dealer, or government securities broke	er or dealer		
	<ul><li>(b) □ other investment adviser (including financial planners)</li><li>(c) □ registered municipal advisor</li></ul>			
	(d) ☐ registered security-based swap dealer			
	(e) $\square$ major security-based swap participant			
	<ul> <li>(f) □ commodity pool operator or commodity trading advisor (whether registered)</li> <li>(q) □ futures commission merchant</li> </ul>	ed or exempt from registration)		
	<ul><li>(g) □ futures commission merchant</li><li>(h) □ banking or thrift institution</li></ul>			
	(i) $\square$ trust company			
	(j) accountant or accounting firm			
	<ul><li>(k) □ lawyer or law firm</li><li>(l) □ insurance company or agency</li></ul>			
	(m) pension consultant			
	(n) $\square$ real estate broker or dealer			
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pc</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled inv</li> </ul>			
	(p) <b>№</b> sponsor, general partner, managing member (or equivalent) of pooled inv	vestifient venicies		Yes No
6.	Do you control or are you controlled by the related person?			0 0
7.	Are you and the related person under common control?			⊙ ○
8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connecti	ion with advisory services you pro	ovide to <i>clients</i> ?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes			0 0
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus maintained at the <i>related person</i> ?			
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the Number and Street 1:	the related person's office responsi Number and Street 2:	ible for <i>custoay</i> of your <i>clients</i> assets:	
	City: State:	Country:	ZIP+4/Postal Code:	
	If this address is a private residence, check this box:			Yes No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?			OO
	(b) If the answer is yes, under what exemption?			~ ~

10	. (a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
11	Do v	No Information Filed you and the <i>related person</i> share any <i>supervised persons</i> ?	_	_
	БО у	you and the related person share any supervised persons.	•	0
12	. Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	_	al Name of <i>Related Person</i> : CKROCK GLOBAL RENEWABLE POWER FUND II (GENPAR), L.P.		
2.		nary Business Name of <i>Related Person</i> : CKROCK GLOBAL RENEWABLE POWER FUND II (GENPAR), L.P.		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or			
	Othe	er e		
4.	Rela	ited Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
	(3)	No Information Filed		
<u>5</u> .	Rela	eted Person is: (check all that apply)		
		broker-dealer, municipal securities dealer, or government securities broker or dealer		
		other investment adviser (including financial planners)  registered municipal advisor		
		registered multiplia davisor  registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  futures commission merchant		
	(g) (h)	banking or thrift institution		
	(i)	□ trust company		
	(j)	accountant or accounting firm		
	(k) (l)	□ lawyer or law firm □ insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o) (p)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(μ)	sponsor, general partner, managing member (or equivalent) or pooled investment venicles	Yes	No
5.	Do y	you control or are you controlled by the related person?	0	•
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	•	0
3.		Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
			Yes	
<b>)</b> .		If the related person is an investment adviser, is it exempt from registration?  If the answer is yes under what exemption?	0	0
	(b)	If the answer is yes, under what exemption?		
10	. (a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11	. Do \	No Information Filed you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
	- 1		4.47	

12.	Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : HEATHROW FOREST OPPORTUNITIES GP, LLC		
2.	Primary Business Name of <i>Related Person</i> : HEATHROW FOREST OPPORTUNITIES GP, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
5.	Related Person is: (check all that apply)  (a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	<ul> <li>(b) □ other investment adviser (including financial planners)</li> <li>(c) □ registered municipal advisor</li> <li>(d) □ registered acquirity based even dealer</li> </ul>		
	(d) registered security-based swap dealer  (e) major security-based swap participant		
	<ul> <li>(f)</li></ul>		
	<ul> <li>(h) □ banking or thrift institution</li> <li>(i) □ trust company</li> </ul>		
	(j) accountant or accounting firm		
	(k) ☐ lawyer or law firm  (l) ☐ insurance company or agency		
	(m) pension consultant		
	<ul> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> </ul>		
	(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6.	Do you control or are you controlled by the related person?	Yes O	No ⊙
7.	Are you and the related person under common control?	•	0
8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	_	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		O
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:		
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:	Vas	. No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		O
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed		
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of Related Person:		
	BLACKROCK INVESTMENTS, LLC		

2.	Primary Business Name of <i>Related Person</i> : BLACKROCK INVESTMENTS, LLC							
3.		sted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 18436						
	or							
	Othe	Other						
4.	Pola	ited Person's						
4.		CRD Number (if any):						
		38642						
	(b)	CIK Number(s) (if any):						
		CIK Number						
		1528987						
_	D /							
5.		ted Person is: (check all that apply)  If the problem of the problem is: (check all that apply)  If the problem is: (check all that apply)						
	` ,	other investment adviser (including financial planners)						
	` ,	registered municipal advisor						
	(-)	registered manieparadvisor  registered security-based swap dealer						
	` '	major security-based swap participant						
	` ,	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)						
	(g)	futures commission merchant						
		□ banking or thrift institution						
	(i)	□ trust company						
	(j)	accountant or accounting firm						
	(k)	☐ lawyer or law firm						
	(I)	insurance company or agency						
	` ,	pension consultant						
	` ,	real estate broker or dealer						
	` ,	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles						
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	. No				
6.	Do y	you control or are you controlled by the related person?		•				
7.	Are y	you and the related person under common control?	•	0				
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	_	_				
0.		If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally		•				
		independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	O	0				
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number 2:						
		City: State: Country: ZIP+4/Postal Code:						
		If this address is a private residence, check this box:						
0	(-)	16 the related manage is an investment while a last account form an elektration?		No				
9.		If the related person is an investment adviser, is it exempt from registration?	0	0				
	(b)	If the answer is yes, under what exemption?						
10	(2)	Is the related person registered with a foreign financial regulatory authority?	_	_				
10.			О	⊙				
		If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed						
11.	ро у	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0				
12.	Do y	you and the <i>related person</i> share the same physical location?	0	•				
1.	_	al Name of <i>Related Person</i> :						
	RLAC	CKROCK MEXICO INFRAESTRUCTURA I, S. DE R.L. DE C.V.						
2.	Prim	nary Business Name of <i>Related Person</i> :						
		CKROCK MEXICO INFRAESTRUCTURA I, S. DE R.L. DE C.V.						
2	Polo	atad Parsan's SEC File Number (if any) (e.g. 901 9 966 902)						

	-			
	or Other			
1	Related Person's			
т.	(a) CRD Number (if any):			
	(b) CIK Number(s) (if any):			
		No Information F	iled	
_				
5.	Related Person is: (check all that apply)  (a) Doroker-dealer, municipal securities dealer, or government securities br	roker or dealer		
	(b) ther investment adviser (including financial planners)	Toker of dealer		
	(c) $\square$ registered municipal advisor			
	(d) registered security-based swap dealer			
	<ul> <li>(e) ☐ major security-based swap participant</li> <li>(f) ☐ commodity pool operator or commodity trading advisor (whether regis</li> </ul>	stered or exempt from region	stration)	
	(g) futures commission merchant	stored or exempt from regis	Strationy	
	(h) Danking or thrift institution			
	(i) trust company			
	<ul><li>(j)  accountant or accounting firm</li><li>(k)  lawyer or law firm</li></ul>			
	(I) Insurance company or agency			
	(m) pension consultant			
	<ul> <li>(n)  real estate broker or dealer</li> <li>(o)  sponsor or syndicator of limited partnerships (or equivalent), excluding</li> </ul>	na pooled investment vehicle	los	
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled	= :	63	
				Yes No
6.	Do you control or are you controlled by the related person?			0 0
7.	Are you and the related person under common control?			⊙ C
8.	(a) Does the related person act as a qualified custodian for your clients in conne	nection with advisory servic	es you provide to <i>clients</i> ?	0 0
	(b) If you are registering or registered with the SEC and you have answered "independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and maintained at the <i>related person</i> ?			0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of			
	Number and Street 1: City: State:	Number and Street Country:	2: ZIP+4/Postal Code:	
	If this address is a private residence, check this box: $\Box$	Country.	ZIF+4/FUSIAI Code.	
				Yes No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration	n?		0 0
	(b) If the answer is yes, under what exemption?			
10.	0. (a) Is the related person registered with a foreign financial regulatory authority?			0 0
	(b) If the answer is yes, list the name and country, in English of each foreign fi	<i>financial regulatory authority</i> No Information F	,	
11.	. Do you and the related person share any supervised persons?			<ul><li>O</li></ul>
12.	2. Do you and the <i>related person</i> share the same physical location?			0 0
1.	Legal Name of <i>Related Person</i> :			
	BLACKROCK (LUXEMBOURG) S.A.			
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK (LUXEMBOURG) S.A.			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	- or			
	Other			
4.	Related Person's			
	(a) CRD Number (if any):			

	(b) CIK Number(s) (if any):			
		No Information Filed		
5.	Related Person is: (check all that apply)			
	(a) Droker-dealer, municipal securities dealer, or government securities broker	r or dealer		
	(b) other investment adviser (including financial planners)			
	(c) registered municipal advisor			
	(d) registered security-based swap dealer			
	(e) major security-based swap participant	d or everyt from registration)		
	<ul> <li>(f) □ commodity pool operator or commodity trading advisor (whether registere</li> <li>(g) □ futures commission merchant</li> </ul>	d of exempt from registration)		
	<ul><li>(g) L futures commission merchant</li><li>(h) D banking or thrift institution</li></ul>			
	(i) $\square$ trust company			
	(j) accountant or accounting firm			
	(k) awyer or law firm			
	(I) Insurance company or agency			
	(m) pension consultant			
	(n) $\square$ real estate broker or dealer			
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding poo	oled investment vehicles		
	(p) sponsor, general partner, managing member (or equivalent) of pooled inve	estment vehicles		
				Yes N
٥.	Do you control or are you controlled by the related person?			0 (
7	Are you and the <i>related person</i> under common <i>control</i> ?			
<i>i</i> .	Are you and the related person under common controls			⊙ (
3.	(a) Does the related person act as a qualified custodian for your clients in connection	on with advisory services you provide to	clients?	
<i>-</i> .	(b) If you are registering or registered with the SEC and you have answered "yes,			0 0
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus maintained at the <i>related person</i> ?			0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the	e related person's office responsible for a	custody of your <i>clients'</i> assets:	
	Number and Street 1:	Number and Street 2:		
	City: State:	Country: ZIF	P+4/Postal Code:	
	If this address is a private residence, check this box: $\square$			\/ B
<b>o</b>	(a) If the related person is an investment adviser, is it exempt from registration?			Yes N
<i>,</i> .	(b) If the answer is yes, under what exemption?			⊙ (
	FOREIGN PRIVATE ADVISER			
10	(a) In the related person registered with a ferring financial regulatory with arity 2			_
10.	). (a) Is the related person registered with a foreign financial regulatory authority?		lated marcon in magistared	⊙ (
	(b) If the answer is yes, list the name and country, in English of each <i>foreign finance</i> Name of Country/English Name of Foreign Financial Regulatory Authority		lateu persorris registereu.	
	Luxembourg, Grand Duchy of - Commission to Surveillance of the Finance Sect			
11.	. Do you and the related person share any supervised persons?			· (
12.	2. Do you and the related person share the same physical location?			0 (
1.	Legal Name of Related Person:			
	PROJECT FINALE CO-INVESTMENT FUND (GENPAR), L.L.C.			
2	Primary Business Name of <i>Related Person</i> :			
۷.	PROJECT FINALE CO-INVESTMENT FUND (GENPAR), L.L.C.			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Other			
4.	Related Person's			
	(a) CRD Number (if any):			
	(b) CHANGORD and (c) (if a c)			
	(b) CIK Number(s) (if any):	No Information Filed		

5.	Related Person is: (check all that apply)		
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) other investment adviser (including financial planners)		
	(c) registered municipal advisor		
	(d) registered security-based swap dealer		
	(e) Imajor security-based swap participant		
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) futures commission merchant		
	(h) banking or thrift institution		
	(i) trust company		
	(j) accountant or accounting firm		
	(k) lawyer or law firm		
	(I) Insurance company or agency		
	(m) pension consultant		
	<ul> <li>(n)</li></ul>		
	<ul><li>(o) L sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li><li>(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li></ul>		
	(b) E sponsor, general partner, managing member (or equivalent) or pooled investment venicles	Yes	: Nc
6	Do you control or are you controlled by the related person?		
0.	Bo you control of the you controlled by the related person.	0	⊙
7	Are you and the related person under common control?	_	_
, ·	Are you and the related person under common controls	•	О
0	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	_	_
8.			•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are	0	0
	maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: $\square$		
		Yes	
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	О
	(b) If the answer is yes, under what exemption?		
10	(a) In the contest of management with a females of the contest of		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	⊙
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11		_	_
11.	Do you and the related person share any supervised persons?	⊙	0
12	Do you and the <i>related person</i> share the same physical location?		_
12.	bo you and the related person share the same physical location:	•	0
1.	Legal Name of Related Person:		
	SPECIAL CREDIT OPPORTUNITIES (GENPAR), LLC		
2.	Primary Business Name of Related Person:		
	SPECIAL CREDIT OPPORTUNITIES (GENPAR), LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or		
	Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
_			
5.	Related Person is: (check all that apply)		
	(a) broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) other investment adviser (including financial planners)		
	(c) registered municipal advisor  (d) registered security-based swap dealer		
	(a) - registered security based swap dealer		

	<ul> <li>(e)</li></ul>	d or exempt from registration)		
	(h) ☐ banking or thrift institution			
	(i) trust company			
	<ul><li>(j) □ accountant or accounting firm</li><li>(k) □ lawyer or law firm</li></ul>			
	(i) insurance company or agency			
	(m) pension consultant			
	(n) real estate broker or dealer			
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pool</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investigation</li> </ul>			
	(p) <b>☑</b> sponsor, general partner, managing member (or equivalent) of pooled invest	estillent venicles		Yes No
6.	Do you control or are you controlled by the related person?			0 0
7.	Are you and the related person under common control?			⊙ ○
8.	(a) Does the related person act as a qualified custodian for your clients in connection	n with advisory services you pro	ovide to <i>clients</i> ?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus a maintained at the <i>related person</i> ?			0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the	e related person's office responsi	ble for <i>custody</i> of your <i>clients'</i> assets:	
	Number and Street 1:	Number and Street 2:	710 470 110 1	
	City: State: If this address is a private residence, check this box: $\square$	Country:	ZIP+4/Postal Code:	
				Yes No
9.				0 0
	(b) If the answer is yes, under what exemption?			
10	(a) Is the related person registered with a foreign financial regulatory authority?			0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial		h the <i>related person</i> is registered.	
		No Information Filed		
11.	Do you and the related person share any supervised persons?			⊙ ○
12	Do you and the <i>related person</i> share the same physical location?			⊙ ○
1.	Legal Name of Related Person:			
	SPECIAL CREDIT OPPORTUNITIES (PARALLEL) (GENPAR) IV, LLC			
2	Primary Business Name of <i>Related Person</i> :			
	SPECIAL CREDIT OPPORTUNITIES (PARALLEL) (GENPAR) IV, LLC			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or			
	Other			
4.	Related Person's			
	(a) CRD Number (if any):			
	(b) CIK Number(s) (if any):			
	(b) CTK Number (s) (ii arry).	No Information Filed		
5.	Related Person is: (check all that apply)			
	(a) Droker-dealer, municipal securities dealer, or government securities broker	or dealer		
	(b)  other investment adviser (including financial planners)			
	(c) registered municipal advisor			
	<ul><li>(d) □ registered security-based swap dealer</li><li>(e) □ major security-based swap participant</li></ul>			
	<ul> <li>(f) □ commodity pool operator or commodity trading advisor (whether registered</li> </ul>	d or exempt from registration)		
	(g)  utures commission merchant			
	(h) banking or thrift institution			
	<ul><li>(i) □ trust company</li><li>(j) □ accountant or accounting firm</li></ul>			
1	<b>~</b>			

	(k) Lawyer or law firm		
	(I) $\square$ insurance company or agency		
	(m) pension consultant		
	(n) $\square$ real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	No
6.	Do you control or are you controlled by the related person?	0	⊙
7.	Are you and the related person under common control?	⊙	0
•			
8.			⊙
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
	If this address is a private residence, check this box.	Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?		0
	(b) If the answer is yes, under what exemption?	~	~
	(e) It the answer is yes, and what exemption.		
10.	o. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	v	
11.	. Do you and the related person share any supervised persons?	•	0
12.	2. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of Related Person:		
	TENNENBAUM SPECIAL SITUATIONS IX-S GP, LLC		
2.	Primary Business Name of <i>Related Person</i> : TENNENBAUM SPECIAL SITUATIONS IX-S GP, LLC		
	TENNENBAUM SPECIAL SITUATIONS IX-5 GP, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or		
	Other		
4.			
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.			
	(a) broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)  other investment adviser (including financial planners)		
	(c) $\square$ registered municipal advisor  (d) $\square$ registered security-based swap dealer		
	(e) $\square$ major security-based swap participant		
	(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)  utures commission merchant		
	(h) $\square$ banking or thrift institution		
	(i)		
	(j) accountant or accounting firm		
	(k) I lawyer or law firm		
	(I) Insurance company or agency		
	(m) □ pension consultant (n) □ real estate broker or dealer		
	<ul> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> </ul>		
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		

6.	Do you control or are you controlled by the related person?		S 140	
7.	Are you and the related person under common control?	•	С	)
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	_	_	
0.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients?</i> (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		0	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number 2:			
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:			
		Yes	s No	2
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	С	)
	(b) If the answer is yes, under what exemption?			
10	O. (a) Is the related person registered with a foreign financial regulatory authority?	0	•	,
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.			
11	No Information Filed  1. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	С	,
12	2. Do you and the <i>related person</i> share the same physical location?	•	С	j
				_
1.	Legal Name of Related Person:			
	TENNENBAUM HEARTLAND GP, LLC			
2.	Primary Business Name of <i>Related Person</i> : TENNENBAUM HEARTLAND GP, LLC			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Other			
4.	Related Person's			
4.	(a) CRD Number (if any):			
	(b) CIK Number(s) (if any):			
	No Information Filed			
5.				
	<ul><li>(a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer</li><li>(b) □ other investment adviser (including financial planners)</li></ul>			
	(c) registered municipal advisor			
	(d) registered security-based swap dealer			
	(e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)			
	(g) ☐ futures commission merchant			
	(h) banking or thrift institution			
	(i) □ trust company (j) □ accountant or accounting firm			
	(k)  lawyer or law firm			
	(I) Insurance company or agency			
	(m) pension consultant			
	<ul> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> </ul>			
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
			s No	
6.	Do you control or are you controlled by the related person?	0	•	)
7.	Are you and the related person under common control?	•	С	)
8	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	_	•	
_⊢ Ծ.	- (=) = === Suctou porcor act as a quantition suctouries for shorts in commontal with advisory solvitos you provide to shorts:	( )	10	a I

		If you are registering or registered with the SEC and you have answered "yes," independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus a maintained at the <i>related person</i> ?			0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the	, , , , , , , , , , , , , , , , , , ,	e for <i>custody</i> of your <i>clients'</i> assets:		
		Number and Street 1: City: State:	Number and Street 2: Country:	ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\Box$				
					Yes	
٠.		If the <i>related person</i> is an investment adviser, is it exempt from registration?			0	0
	(b)	If the answer is yes, under what exemption?				
О	. (a)	Is the related person registered with a foreign financial regulatory authority?			0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial	al regulatory authority with which	the <i>related person</i> is registered.	_	
	_		No Information Filed			
1	. Во у	ou and the related person share any supervised persons?			•	0
2	. Do y	ou and the related person share the same physical location?			•	0
	,					
	Leaz	Il Name of <i>Related Person</i> :				
•	_	2019 PRIVATE OPPORTUNITIES GP, LLC				
2.		ary Business Name of <i>Related Person</i> : 2019 PRIVATE OPPORTUNITIES GP, LLC				
	DLKZ	OTT PRIVATE OFF ORTONITIES OF, ELEC				
3.	Rela	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)				
	-					
	or Othe	er				
↓.		ted Person's				
	(a)	CRD Number (if any):				
	(b)	CIK Number(s) (if any):				
			No Information Filed			
).	Rela	ted Person is: (check all that apply)				
	()	broker-dealer, municipal securities dealer, or government securities broker of	or dealer			
		other investment adviser (including financial planners) registered municipal advisor				
	(c) (d)	registered multicipal advisor registered security-based swap dealer				
	(e)	major security-based swap participant				
	(f)	commodity pool operator or commodity trading advisor (whether registered	or exempt from registration)			
	(g) (h)	futures commission merchant banking or thrift institution				
	(i)	trust company				
	(j)	accountant or accounting firm				
	(k)	lawyer or law firm				
	(l) (m)	insurance company or agency pension consultant				
	(n)	real estate broker or dealer				
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pool				
	(p)	sponsor, general partner, managing member (or equivalent) of pooled inves	stment vehicles		V	. N
<b>)</b> .	Do v	ou control or are you controlled by the related person?			Yes	
	20 )					٠
<b>'</b> .	Are y	you and the related person under common control?			•	0
3.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection	n with advisory services you provi	ide to <i>clients</i> ?	0	0
	(b)	If you are registering or registered with the SEC and you have answered "yes,"			Ö	
		independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus a maintained at the <i>related person</i> ?	are not required to obtain a surp	rise examination for your <i>clients'</i> funds or securities that are		
		If you have answered "yes" to question 8.(a) above, provide the location of the	related person's office responsible	e for <i>custody</i> of your <i>clients'</i> assets:		
	(-)	Number and Street 1:	Number and Street 2:			
		City: State:	Country:	ZIP+4/Postal Code:		

		If this address is a private residence, check this box:	V	N
9.	(a) (b)	If the <i>related person</i> is an investment adviser, is it exempt from registration?  If the answer is yes, under what exemption?	Yes	
10	D. (a) (b)	Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	0	•
1	1. Do y	you and the related person share any supervised persons?	•	0
1:	2. Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	_	al Name of <i>Related Person</i> : CKROCK ASF PRIVATE OPPORTUNITIES GP, LLC		
2.		nary Business Name of <i>Related Person</i> : CKROCK ASF PRIVATE OPPORTUNITIES GP, LLC		
3.	Rela	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4.		ted Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		No Information Filed		
5.0	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (n) (o) (p)	ted Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or dealer  other investment adviser (including financial planners)  registered municipal advisor  registered security-based swap dealer  major security-based swap participant  commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  futures commission merchant  banking or thrift institution  trust company  accountant or accounting firm  lawyer or law firm  insurance company or agency pension consultant  real estate broker or dealer  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No
6.	Do y	you control or are you controlled by the related person?	0	•
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	•	0
8.	(a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?	0	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:		
		If this address is a private residence, check this box:	Yes	No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	O	
	(b)	If the answer is yes, under what exemption?		
10	D. (a)	Is the related person registered with a foreign financial regulatory authority?	0	•

	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of Related Person:  BR CORE PLUS GP, LLC		
2.	Primary Business Name of <i>Related Person</i> : BR CORE PLUS GP, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
6.	Related Person is: (check all that apply)  (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)   other investment adviser (including financial planners)  (c)   registered municipal advisor  (d)   registered security-based swap dealer  (e)   major security-based swap participant  (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g)   futures commission merchant  (h)   banking or thrift institution  (i)   trust company  (j)   accountant or accounting firm  (k)   lawyer or law firm  (l)   insurance company or agency  (m)   pension consultant  (n)   real estate broker or dealer  (o)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  Do you control or are you controlled by the related person?		•
7.	Are you and the related person under common control?	•	0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:</li> </ul>		0
	Number and Street 1:  City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
0	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
7.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	O	0
10.	. (a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	. Do you and the related person share any supervised persons?	•	0
12	Do you and the <i>related person</i> share the same physical location?	_	_

1.	Legal Name of <i>Related Person</i> : TENNENBAUM WATERMAN GP, LLC		
2.	Primary Business Name of <i>Related Person</i> : TENNENBAUM WATERMAN GP, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
5. 6.	Related Person is: (check all that apply)  (a)   broker-dealer, municipal securities dealer, or government securities broker or dealer (b)   other investment adviser (including financial planners)  (c)   registered municipal advisor (d)   registered security-based swap dealer (e)   major security-based swap participant (f)   commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g)   futures commission merchant (h)   banking or thrift institution (f)   accountant or accounting firm (k)   lawyer or law firm (g)   insurance company or agency (g)   ension consultant (g)   sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (g)   sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	
7.	Are you and the related person under common control?	•	0
2	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	_	_
<i>J</i> .	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:     The property of the prop		
		Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : CARBON VII GP LLC		

2. Primary Business Name of Related Person:

	CARBON VII GP LLO	C				
3	3. Related Person's SE	EC File Number (if any) (e.g., 801-	-, 8-, 866-, 802-)			
	- or					
	Other					
4	4. Related Person's (a) CRD Number	(if any):				
		-				
	(b) CIK Number(s	,) (II ally).		No Information File	ed	
5		(check all that apply) ealer, municipal securities dealer,	r, or government securities broke	er or dealer		
		vestment adviser (including financ	cial planners)			
		ed municipal advisor ed security-based swap dealer				
		ecurity-based swap participant				
		ity pool operator or commodity tr	rading advisor (whether register	ed or exempt from registi	ration)	
		commission merchant or thrift institution				
	(i) $\square$ trust com					
		ant or accounting firm r law firm				
		e company or agency				
		consultant				
	. ,	ite broker or dealer or syndicator of limited partnersh	nips (or equivalent), excluding po	ooled investment vehicles	S	
		general partner, managing mem	- 1			
6	6. Do you <i>control</i> or a	are you <i>controlled</i> by the <i>related p</i>	person?			Yes No
7	7. Are you and the $r\epsilon$	elated person under common contr	roi?			⊙ ○
8	8. (a) Does the <i>rela</i>	ated person act as a qualified custo	todian for your <i>clients</i> in connect	ion with advisory services	s you provide to <i>clients</i> ?	○ ●
	(b) If you are req independent (	gistering or registered with the S	SEC and you have answered "yes	s," to question 8.(a) abov	ve, have you overcome the presumption that you a ain a surprise examination for your clients' funds o	re not operationally C C
		inswered "yes" to question 8.(a)	above, provide the location of the	he <i>related person's</i> office  Number and Street 2	responsible for <i>custody</i> of your <i>clients'</i> assets:	
	City:	State:	=	Country:	ZIP+4/Postal Code:	
	If this addres	ss is a private residence, check th	nis box: L			Yes No
9	9. (a) If the <i>related</i>	person is an investment adviser,	is it exempt from registration?			0 0
	(b) If the answer	is yes, under what exemption?				
1	10. (a) Is the <i>related</i>	person registered with a foreign	financial regulatory authority?			0 0
				ncial regulatory authority w	with which the <i>related person</i> is registered.	
	11 Do you and the re	lated person share any supervised	d norconc?	No Information File	ed	
'	TT. Do you and the rea	ateu person share any supervised	1 persons:			⊙ ೧
1	12. Do you and the <i>rei</i>	lated person share the same phys	sical location?			<b>⊙</b> ○
1	<ol> <li>Legal Name of Relationship Rela</li></ol>					
	2. Primary Business N HIGH CEDAR GP, L	Name of <i>Related Person</i> : LC				
3	3. Related Person's SE	EC File Number (if any) (e.g., 801-	-, 8-, 866-, 802-)			
	- or Other					

4.	Related Person's (a) CRD Number (if an	<b>y</b> ):			
	(b) CIK Number(s) (if	any):	No Information Filed		
5.	*******	<ul> <li>c all that apply)</li> <li>municipal securities dealer, or government securities brokenent</li> <li>ent adviser (including financial planners)</li> </ul>	r or dealer		
	(d) ☐ registered se (e) ☐ major securit (f) ☐ commodity po	nicipal advisor curity-based swap dealer y-based swap participant ol operator or commodity trading advisor (whether registere ission merchant ift institution	d or exempt from registratio	on)	
	(k) lawyer or law (l) insurance cor (m) pension cons (n) real estate br	accounting firm firm npany or agency ultant oker or dealer			
		ndicator of limited partnerships (or equivalent), excluding porral partner, managing member (or equivalent) of pooled inv			
6.	Do you <i>control</i> or are yo	ou controlled by the related person?			Yes M
7.	Are you and the related	person under common control?			•
8.	(b) If you are register	uant to rule 206(4)-2(d)(5)) from the related person and thus	" to question 8.(a) above, h	u provide to <i>clients</i> ?  have you overcome the presumption that you are not operationally a surprise examination for your <i>clients'</i> funds or securities that are	0
	(c) If you have answer	red "yes" to question 8.(a) above, provide the location of th	Number and Street 2:	onsible for <i>custody</i> of your <i>clients'</i> assets:  ZIP+4/Postal Code:	
	City: If this address is	private residence, check this box:	Country:	ZIP+4/Postal Code:	
9.	(a) If the related person	n is an investment adviser, is it exempt from registration?			Yes N
	•	es, under what exemption?			
10	. (a) Is the related pers	on registered with a foreign financial regulatory authority?			0
	•	s, list the name and country, in English of each <i>foreign financ</i>		which the <i>related person</i> is registered.	
11.	. Do vou and the <i>related</i>	person share any supervised persons?	No Information Filed		•
	•				•
12.	. Do you and the <i>related</i>	person share the same physical location?			•
1.	Legal Name of <i>Related</i> BLACKROCK ALTERNATI	Person: VE ADVISORS (GENPAR), LLC			
2.	Primary Business Name BLACKROCK ALTERNATI	of <i>Related Person</i> : VE ADVISORS (GENPAR), LLC			
3.	Related Person's SEC Fil	e Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Other				
4.	Related Person's (a) CRD Number (if an	<b>y</b> ):			
	(b) CIK Number(s) (if	any):	No Information Filed		

Ď.	Related Person is: (check all that apply)  (a)		
).	Do you control or are you controlled by the related person?	Yes O	
<b>'</b> .	Are you and the related person under common control?	•	0
	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:  If this address is a private residence, check this box:  □</li> </ul>	0 0	
).	<ul><li>(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	Yes O	
1.	(a) Is the related person registered with a foreign financial regulatory authority?  (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed  Do you and the related person share any supervised persons?  Do you and the related person share the same physical location?	○ ⊙	0
	Legal Name of <i>Related Person</i> : TENNENBAUM SPECIAL SITUATIONS MM IX-A, LLC		
<u>)</u> .	Primary Business Name of <i>Related Person</i> : TENNENBAUM SPECIAL SITUATIONS MM IX-A, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
ļ.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
j.	Related Person is: (check all that apply)  (a)  broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)  other investment adviser (including financial planners)  (c)  registered municipal advisor  (d)  registered security-based swap dealer		

	<ul> <li>(e) ☐ major security-based swap participant</li> <li>(f) ☐ commodity pool operator or commodity trading advisor (whether registered or expected or expec</li></ul>	investment vehicles		Yes No
6.	Do you control or are you controlled by the related person?			0 0
7.	Are you and the related person under common control?			⊙ ○
8.		question 8.(a) above, have not required to obtain a s	ve you overcome the presumption that you are not operationally surprise examination for your <i>clients'</i> funds or securities that are	O ⊙ O
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?			0 0
10	<ul> <li>(b) If the answer is yes, under what exemption?</li> <li>(a) Is the related person registered with a foreign financial regulatory authority?</li> <li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory.</li> </ul>	<i>egulatory authority</i> with wh No Information Filed	nich the <i>related person</i> is registered.	○ ⊙
11	. Do you and the related person share any supervised persons?			⊙ ○
12	. Do you and the <i>related person</i> share the same physical location?			• o
	Legal Name of <i>Related Person</i> : TENNENBAUM CAPITAL PARTNERS, LLC  Primary Business Name of <i>Related Person</i> : TENNENBAUM CAPITAL PARTNERS, LLC			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 60384 or Other			
4.	Related Person's  (a) CRD Number (if any): 113203  (b) CIK Number(s) (if any):			
		No Information Filed		
5.	Related Person is: (check all that apply)  (a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer, other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) ▼ commodity pool operator or commodity trading advisor (whether registered or expected futures commission merchant  (h) □ banking or thrift institution  (i) □ trust company  (j) □ accountant or accounting firm			

	(k) lawyer or law firm		
	(I) Insurance company or agency		
	(m) pension consultant		
	(n) real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	No
6.	Do you control or are you controlled by the related person?	⊙	$\circ$
7.	Are you and the related person under common control?	•	0
8.			⊙
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
	If this address is a private residence, check this box.	Yes	No.
9.	(a) If the related person is an investment adviser, is it exempt from registration?		•
	(b) If the answer is yes, under what exemption?	~	~
10.	0. (a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	. Do you and the related person share any supervised persons?	•	0
12.	2. Do you and the <i>related person</i> share the same physical location?	0	$\odot$
1.	Legal Name of <i>Related Person</i> :		
••	BLACKROCK POF I, L.P.		
2.	<b>y</b>		
	BLACKROCK POF I, L.P.		
2	Deleted Demonto CEO Ella Niverban (if any ) (a.m. 201, 10, 201, 10, 201, 10, 201, 10, 201, 10, 201, 10, 201, 201		
<b>3</b> .	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or		
	Other		
4.			
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.			
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) ther investment adviser (including financial planners)		
	(c) registered municipal advisor (d) registered security-based swap dealer		
	(e) $\square$ major security-based swap dealer		
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) I futures commission merchant		
	(h) anking or thrift institution		
	(i) trust company		
	(j) accountant or accounting firm		
	(k) lawyer or law firm		
	(I) Insurance company or agency		
	(m) pension consultant		
	(n) $\square$ real estate broker or dealer  (o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		

6.	Do you control or are you controlled by the related person?		•
7.	Are you and the related person under common control?	•	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	_	_
0.	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  Number 2:		
	City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
		Yes	s No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10	D. (a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11	1. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12	2. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of Related Person:		
	PROJECT TETL INVESTCO (GENPAR), LLC		
2.	Primary Business Name of <i>Related Person</i> : PROJECT TETL INVESTCO (GENPAR), LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
	Delated Develope		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	Related Person is: (check all that apply)		
	<ul> <li>(a)</li></ul>		
	(c) registered municipal advisor		
	(d) registered security-based swap dealer		
	(e) $\square$ major security-based swap participant (f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(f) L commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) D futures commission merchant		
	(h) Danking or thrift institution		
	(i) trust company		
	(j) □ accountant or accounting firm  (k) □ lawyer or law firm		
	(I) Insurance company or agency		
	(m) pension consultant		
	(n) real estate broker or dealer  (a) spensor or syndicator of limited partnerships (or equivalent), evaluding peopled investment vehicles		
	<ul> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>		
		Yes	s No
6.	Do you control or are you controlled by the related person?	0	•
7.	Are you and the <i>related person</i> under common <i>control</i> ?	•	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•

	(b)	If you are registering or registered with the SEC and you have answered "yes," independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus a maintained at the <i>related person</i> ?	•		0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the	·	ole for <i>custody</i> of your <i>clients</i> ' assets:		
		Number and Street 1: City: State:	Number and Street 2: Country:	ZIP+4/Postal Code:		
		City: State:  If this address is a private residence, check this box:	Country:	ZIP+4/Postal Code:		
		·			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?			0	0
	(b)	If the answer is yes, under what exemption?				
1 0	(-)					
10		Is the related person registered with a foreign financial regulatory authority?	:-		0	⊙
	(b)	If the answer is yes, list the name and country, in English of each foreign financial	No Information Filed	n the <i>related person</i> is registered.		
11	. Do y	ou and the related person share any supervised persons?			•	0
12	. Do y	ou and the related person share the same physical location?			•	0
1.	Lega	Name of Related Person:				
	_	LUX MULTI-FEEDER GP S.A.R.L.				
2.		ary Business Name of <i>Related Person</i> : LUX MULTI-FEEDER GP S.A.R.L.				
	GCO	LUX MULTI-I LEDER GF 3.A.R.L.				
3.	Rela	ed Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)				
	-					
	or Othe	r				
	Othe					
4.	Rela	ed Person's				
	(a)	CRD Number (if any):				
	(1.)					
	(b)	CIK Number(s) (if any):	No Information Filed			
			The Tribermation Filed			
5.		ed Person is: (check all that apply)				
		broker-dealer, municipal securities dealer, or government securities broker	or dealer			
	(b) (c)	<ul><li>other investment adviser (including financial planners)</li><li>registered municipal advisor</li></ul>				
	(d)	registered security-based swap dealer				
	(e)	major security-based swap participant				
	(f)	commodity pool operator or commodity trading advisor (whether registered	or exempt from registration)			
	(g)	futures commission merchant				
	(h) (i)	<ul><li>banking or thrift institution</li><li>trust company</li></ul>				
	(i)	accountant or accounting firm				
	(k)	□ lawyer or law firm				
	(l)	insurance company or agency				
	(m)	pension consultant				
	(n)	real estate broker or dealer				
	(o) (p)	sponsor or syndicator of limited partnerships (or equivalent), excluding pool sponsor, general partner, managing member (or equivalent) of pooled investigations.				
	(ρ)	sponsor, general partner, managing member (or equivalent) or pooled inves	Stiffett verifices		Yes	No
5.	Do y	ou control or are you controlled by the related person?			0	•
					_	
7.	Are	you and the related person under common control?			•	0
3.		Does the related person act as a qualified custodian for your clients in connection			0	
	(b)	If you are registering or registered with the SEC and you have answered "yes," independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus a	•		0	0
		maintained at the related person?	are nou required to obtain a sur	prise examination for your <i>chemi</i> s runus or securities that are		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the	e related person's office responsib	ole for <i>custody</i> of your <i>clients'</i> assets:		
		Number and Street 1:	Number and Street 2:			
		City: State:	Country:	ZIP+4/Postal Code:		

		If this address is a private residence, check this box: L	V	N
9	(a) (b)	If the <i>related person</i> is an investment adviser, is it exempt from registration?  If the answer is yes, under what exemption?	Yes I	
10	O. (a) (b)	Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.  No Information Filed	0	•
1	1. Do y	you and the related person share any supervised persons?	•	0
1:	2. Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	_	al Name of <i>Related Person</i> : F/MM, LLC, SERIES I		
2		nary Business Name of <i>Related Person</i> : F/MM, LLC, SERIES I		
3	Rela	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4		ted Person's  CRD Number (if any):		
	(b)	CIK Number(s) (if any):  No Information Filed		
5		ted Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm Insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes I	No
6	Do y	you control or are you controlled by the related person?	0	
7	Are	you and the <i>related person</i> under common <i>control</i> ?	•	0
8	(a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?  If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:  Number and Street 1:  City:  State:  Country:  ZIP+4/Postal Code:		
		If this address is a private residence, check this box:	Yes I	No
9	(a)	If the related person is an investment adviser, is it exempt from registration?	0	
	(b)	If the answer is yes, under what exemption?		
10	O. (a)	Is the related person registered with a foreign financial regulatory authority?	0	•

	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed		
11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : BLACKROCK GP VI LTD		
2.	Primary Business Name of <i>Related Person</i> : BLACKROCK GP VI LTD		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
	Related Person is: (check all that apply)  (a)	Yes	s No ⊙
7.	Are you and the related person under common control?	•	0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> <li>(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:  Number and Street 2:  City: State: Country: ZIP+4/Postal Code:</li> </ul>		0
	If this address is a private residence, check this box:	<b>V</b> -	. RI
9.	<ul><li>(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	Yes O	O
10.	. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?  (b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered.	0	0
11.	No Information Filed . Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12	Do you and the <i>related person</i> share the same physical location?	_	_

1.	Legal Name of <i>Related Person</i> : TENNENBAUM ENERGY OPPORTUNITIES GP, LLC			
2.	Primary Business Name of <i>Related Person</i> :			
	TENNENBAUM ENERGY OPPORTUNITIES GP, LLC			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or			
	Other			
4.	Related Person's			
	(a) CRD Number (if any):			
	(b) CIK Number(s) (if any):	No Information Filed		
5.	Related Person is: (check all that apply)  (a)	exempt from registration)		Yes No
5.	Do you control or are you controlled by the related person?			0 0
7.	Are you and the related person under common control?			⊙ ○
3.	(a) Does the related person act as a qualified custodian for your clients in connection wi	ith advisory services you provide	to clients?	0 0
	(b) If you are registering or registered with the SEC and you have answered "yes," to independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are maintained at the <i>related person</i> ?	•		0 0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the rel	· ·	or custody of your clients' assets:	
		lumber and Street 2: country:	ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	odini y.	ZII - I/I ostal oode.	
_				Yes No
<b>7</b> .	<ul><li>(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>			0 0
	(b) If the driswer is yes, ander what exemption:			
10.	(a) Is the related person registered with a foreign financial regulatory authority?			0 0
	(b) If the answer is yes, list the name and country, in English of each foreign financial re	regulatory authority with which the No Information Filed	e related person is registered.	
11.	Do you and the related person share any supervised persons?			⊙ ○
12	. Do you and the <i>related person</i> share the same physical location?			
	20 you and the related person share the sume physical location:			⊙ ೧
1.	Legal Name of <i>Related Person</i> : TSCL PRIVATE MARKETS GP, LLC			

2. Primary Business Name of Related Person:

	TSCL PRIVATE MARKI	ETS GP, LLC			
3.	Related Person's SEC	File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or				
	Other				
4.	. Related Person's (a) CRD Number (if	any):			
	(b) CIK Number(s)	(if any):			
	( )	<i>、</i>	No Information File	ed	
	Deleted Develop in Col				
5.		neck all that apply) aler, municipal securities dealer, or government s	securities broker or dealer		
		stment adviser (including financial planners)			
		municipal advisor security-based swap dealer			
		urity-based swap participant			
		y pool operator or commodity trading advisor (wh mmission merchant	nether registered or exempt from registr	ration)	
		thrift institution			
	(i) Trust comp				
	(j) □ accountant (k) □ lawyer or la	t or accounting firm aw firm			
		company or agency			
	(m) pension co	onsultant e broker or dealer			
		syndicator of limited partnerships (or equivalent	i), excluding pooled investment vehicles		
	(p) 🔽 sponsor, g	general partner, managing member (or equivalent	t) of pooled investment vehicles		
6.	o. Do you <i>control</i> or are	e you controlled by the related person?			Yes No
7.	. Are you and the <i>rela</i>	ated person under common control?			⊙ 0
8.	3. (a) Does the <i>relate</i>	ed person act as a qualified custodian for your clie	ents in connection with advisory services	s you provide to <i>clients</i> ?	0 0
	independent (p		,	re, have you overcome the presumption that you are not operationally ain a surprise examination for your <i>clients'</i> funds or securities that are	0 0
	(c) If you have ans	swered "yes" to question 8.(a) above, provide th	ne location of the <i>related person's</i> office r Number and Street 2:		
	City:	State:	Country:	ZIP+4/Postal Code:	
	If this address	is a private residence, check this box: $\square$			Yes No
9.	O. (a) If the related pe	erson is an investment adviser, is it exempt from	registration?		0 0
	(b) If the answer is	s yes, under what exemption?			
10	0. (a) Is the related pe	person registered with a foreign financial regulatory	y authority?		0 0
	•	s yes, list the name and country, in English of each	ch foreign financial regulatory authority w	·	0 6
1	1. Do you and the <i>relat</i>	ted person share any supervised persons?	No Information File	ed	© 0
1:	2. Do you and the <i>relat</i>	ted person share the same physical location?			⊙ 0
1.	. Legal Name of Relate				
	BLACKROCK INVESTA	MENT MANAGEMENT (UK) LIMITED			
2.	•	nme of <i>Related Person</i> : MENT MANAGEMENT (UK) LIMITED			
	DETORNOOK HIVESTI	VICTOT INVITATION (OIK) LIIVITTED			
3.	802 - 76129	File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or Other				

4.	Rela	lated Person's		
	(a)	CRD Number (if any):		
		162379		
	(b)			
		CIK Number		
		1388401		
5.		lated Person is: (check all that apply)		
	(a)			
	(b)	other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)			
	(f)	<ul><li>commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li><li>futures commission merchant</li></ul>		
	(g)	<ul><li>☐ futures commission merchant</li><li>☐ banking or thrift institution</li></ul>		
	(h) (i)	□ trust company		
		accountant or accounting firm		
	(j) (k)	□ lawyer or law firm		
	(I)	insurance company or agency		
	(m)			
	(n)			
	(0)			
	(p)			
	(P)	2 Sponson, general partition, managing member (or equivalent) of pooled investment vehicles	Yes	s N
6.	Do	you control or are you controlled by the related person?		6
<sub>7.</sub>	Are	e you and the related person under common control?	•	(
			•	
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	_	,
				9
	(b)	independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are	О	(
		maintained at the related person?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:		
	(0)	Number and Street 1:  Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
			Yes	۶N
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	•	(
	(b)	If the answer is yes, under what exemption?		
		PRIVATE FUND ADVISER		
10	). (a)	Is the related person registered with a foreign financial regulatory authority?	•	(
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.		
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		India - Securities and Exchange Board of India		
		United Kingdom - Financial Conduct Authority		
11	1. Do	you and the related person share any supervised persons?	•	(
			~	
12	2. Do	you and the <i>related person</i> share the same physical location?	0	6
			~	•
1.	Leg	gal Name of <i>Related Person</i> :		
	TCP	P DIRECT LENDING VIII MM, LLC		
2.		mary Business Name of <i>Related Person</i> :		
	TCP	P DIRECT LENDING VIII MM, LLC		
	D-1	lated Parcan's SEC File Number (if any) (e.g., 901, 9, 944, 903.)		
3.	Kela -	lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or			
	Oth	ner		
4.	Rela	lated Person's		

	(b) CIK Number(s) (if any):	No Information Filed
5.	<ul> <li>Related Person is: (check all that apply)</li> <li>(a) □ broker-dealer, municipal securities dealer, or government set</li> <li>(b) □ other investment adviser (including financial planners)</li> <li>(c) □ registered municipal advisor</li> <li>(d) □ registered security-based swap dealer</li> <li>(e) □ major security-based swap participant</li> <li>(f) □ commodity pool operator or commodity trading advisor (whe</li> <li>(g) □ futures commission merchant</li> <li>(h) □ banking or thrift institution</li> <li>(i) □ trust company</li> <li>(j) □ accountant or accounting firm</li> <li>(k) □ lawyer or law firm</li> <li>(l) □ insurance company or agency</li> <li>(m) □ pension consultant</li> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent),</li> <li>(p) ☑ sponsor, general partner, managing member (or equivalent)</li> </ul>	her registered or exempt from registration)  excluding pooled investment vehicles
6.	. Do you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	Yes N
7.	. Are you and the <i>related person</i> under common <i>control</i> ?	
8.	(b) If you are registering or registered with the SEC and you have a independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related permaintained</i> at the <i>related person</i> ?	s in connection with advisory services you provide to <i>clients</i> ?  swered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally rson and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are ocation of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients</i> ' assets:  Number and Street 2:  Country:  ZIP+4/Postal Code:
9.	If this address is a private residence, check this box:   (a) If the <i>related person</i> is an investment adviser, is it exempt from residence.  (b) If the answer is yes, under what exemption?	Yes I
10.	0. (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory</i> .	foreign financial regulatory authority with which the related person is registered.
11.	1. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	No Information Filed
12.	2. Do you and the <i>related person</i> share the same physical location?	$oldsymbol{\circ}$
1.	. Legal Name of <i>Related Person</i> : HIGH ROCK GP, LLC	
2.	Primary Business Name of <i>Related Person</i> : HIGH ROCK GP, LLC	
3.	. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or Other	
4.	. Related Person's  (a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	No Information Filed

(a) CRD Number (if any):

5.	Related Person is: (check all that apply)	
	(a) $\square$ broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) $\square$ other investment adviser (including financial planners)	
	(c)	
	(d)	
	(e)  major security-based swap participant	
	(f) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(g) I futures commission merchant	
	(h) banking or thrift institution	
	(i) 🔲 trust company (j) 🗖 accountant or accounting firm	
	(k) $\square$ lawyer or law firm	
	(1)	
	(m) pension consultant	
	(n) $\square$ real estate broker or dealer	
	(o) $\square$ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes No
6.	Do you control or are you controlled by the related person?	0 0
7.	Are you and the related person under common control?	⊙ ○
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
0.	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are no	
	independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or sec maintained at the <i>related person</i> ?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:	
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box: $\square$	
0	(a) If the related person is an investment adviser, is it exempt from registration?	Yes No
9.		0 0
	(b) If the answer is yes, under what exemption?	
10		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	○ ●
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  No Information Filed	
11	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	
11.	To you and the related person share any supervised persons?	⊙ ○
12.	Do you and the <i>related person</i> share the same physical location?	⊙ ○
1.	Legal Name of Related Person:	
	BLACKROCK GLOBAL RENEWABLE POWER FUND III (LUX GENPAR), S.A.R.L.	
_		
2.	Primary Business Name of <i>Related Person:</i> BLACKROCK GLOBAL RENEWABLE POWER FUND III (LUX GENPAR), S.A.R.L.	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or .	
	Other	
4.	Related Person's	
	(a) CRD Number (if any):	
	(b) CIK Number(s) (if any):	ļ
	(b) CIK Number(s) (if any):  No Information Filed	
		l
5.	Related Person is: (check all that apply)	
	(a) D broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) $\square$ other investment adviser (including financial planners)	
	(c) $\square$ registered municipal advisor	
	(d) $\square$ registered security-based swap dealer	
	(e) 🗖 major security-based swap participant	

(f) $\square$ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
(g)  futures commission merchant	
(h) banking or thrift institution	
(i) □ trust company (j) □ accountant or accounting firm	
(k) $\square$ lawyer or law firm	
(I) $\square$ insurance company or agency	
(m) $\square$ pension consultant	
(n) $\square$ real estate broker or dealer	
(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
(p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
6. Do you control or are you controlled by the related person?	Yes No
o. Do you control of are you controlled by the related person:	○ ●
7. Are you and the <i>related person</i> under common <i>control</i> ?	⊙ ≎
8. (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	○ ⊙
(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clie</i> maintained at the <i>related person</i> ?	n that you are not operationally C C
(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' a	assets:
Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:	
If this address is a private residence, check this box:	
	Yes No
9. (a) If the related person is an investment adviser, is it exempt from registration?	0 0
(b) If the answer is yes, under what exemption?	
10. (a) Is the related person registered with a foreign financial regulatory authority?	○ ◎
(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered	∍d.
No Information Filed	
11. Do you and the related person share any supervised persons?	⊙ ≎
12. Do you and the <i>related person</i> share the same physical location?	⊙ ○
Item 7 Private Fund Reporting	
	Yes No
B. Are you an adviser to any <i>private fund</i> ?	
B. Are you all adviser to any private fund:	○ <b>⊙</b>
If "yes," then for each private fund that you advise, you must complete a Section 7.B.(1) of Schedule D, except in certain circumstances described in the normalization in the section 1.B. (1) of Schedule D, except in certain circumstances described in the normalization in the section 1.B. (1) of Schedule D, except in certain circumstances described in the normalization in the section 1.B. (2) of Schedule Section 1.B. (3) of Schedule D of its Form ADV (e.g., if you are a subadviser), do not complete that private fund. You must, instead, complete Section 1.B. (2) of Schedule D.  In either case, if you seek to preserve the anonymity of a private fund client by maintaining its identity in your books and records in numerical or alphabetic	gistered adviser or SEC exempt reporting adviser lete Section 7.B.(1) of Schedule D with respect to
204-2(d), you may identify the private fund in Section 7.B.(1) or 7.B.(2) of Schedule D using the same code or designation in place of the fund's name.	
SECTION 7.B.(1) <i>Private Fund</i> Reporting	
No Information Filed	
SECTION 7.B.(2) <i>Private Fund</i> Reporting	
No Information Filed	
Item 8 Participation or Interest in <i>Client</i> Transactions	
In this Item, we request information about your participation and interest in your <i>clients</i> ' transactions. This information identifies additional areas in wh	ich conflicts of interest may occur between you

and your *clients*. Newly-formed advisers should base responses to these questions on the types of participation and interest that you expect to engage in during the next year.

Like Item 7, Item 8 requires you to provide information about you and your related persons, including foreign affiliates.

Pro	Proprietary Interest in <i>Client</i> Transactions			
A.	A. Do you or any related person:	Y	Yes	No
	(1) buy securities for yourself from advisory clients, or sell securities you own to advisory clients	nts (principal transactions)?	0	$\odot$
	(2) buy or sell for yourself securities (other than shares of mutual funds) that you also recom	mend to advisory clients?	0	$\odot$
	(3) recommend securities (or other investment products) to advisory <i>clients</i> in which you or a mentioned in Items 8.A.(1) or (2))?	ny <i>related person</i> has some other proprietary (ownership) interest (other than those	•	0
Sal	Sales Interest in <i>Client</i> Transactions			
B.	B. Do you or any related person:	Υ	Yes	No
	(1) as a broker-dealer or registered representative of a broker-dealer, execute securities traction the brokerage customer (agency cross transactions)?	des for brokerage customers in which advisory <i>client</i> securities are sold to or bought from	•	0
	(2) recommend to advisory clients, or act as a purchaser representative for advisory clients w underwriter or general or managing partner?	ith respect to, the purchase of securities for which you or any related person serves as	•	0
	(3) recommend purchase or sale of securities to advisory clients for which you or any related personal broker or registered representative of a broker-dealer)?	person has any other sales interest (other than the receipt of sales commissions as a	•	0
Inv	Investment or Brokerage Discretion			
		Υ	Yes	No
	(1) securities to be bought or sold for a client's account?		•	0
	(2) amount of securities to be bought or sold for a client's account?		•	0
	(3) broker or dealer to be used for a purchase or sale of securities for a client's account?		•	0
	(4) commission rates to be paid to a broker or dealer for a <i>client's</i> securities transactions?		•	0
D.	D. If you answer "yes" to C.(3) above, are any of the brokers or dealers <i>related persons</i> ?		•	0
E.	E. Do you or any <i>related person</i> recommend brokers or dealers to <i>clients</i> ?		•	0
F.	F. If you answer "yes" to E. above, are any of the brokers or dealers related persons?		•	0
G.	G. (1) Do you or any <i>related person</i> receive research or other products or services other than execulent securities transactions?	ecution from a broker-dealer or a third party ("soft dollar benefits") in connection with	•	0
	(2) If "yes" to G.(1) above, are all the "soft dollar benefits" you or any <i>related persons</i> receive Act of 1934?	eligible "research or brokerage services" under section 28(e) of the Securities Exchange	•	0
Н.	H. (1) Do you or any related person, directly or indirectly, compensate any person that is not an e	employee for client referrals?	•	0
	(2) Do you or any <i>related person</i> , directly or indirectly, provide any <i>employee</i> compensation that addition to the <i>employee's</i> regular salary)?	at is specifically related to obtaining clients for the firm (cash or non-cash compensation in	0	⊙
I.	I. Do you or any related person, including any employee, directly or indirectly, receive compensation	on from any person (other than you or any related person) for client referrals?	0	•
	In your response to Item 8.1., do not include the regular salary you pay to an employee.			
	In responding to Items 8.H. and 8.I., consider all cash and non-cash compensation that you or a reexchange for client referrals, including any bonus that is based, at least in part, on the number or		rson :	in
l ter	Item 9 Custody			
In t	In this Item, we ask you whether you or a <i>related person</i> has <i>custody</i> of <i>client</i> (other than <i>clients</i> the about your custodial practices.	at are investment companies registered under the Investment Company Act of 1940) assets	s and	t
Α.	A. (1) Do you have <i>custody</i> of any advisory <i>clients'</i> :	Υ	Yes	No
	(a) cash or bank accounts?		0	$\odot$
	(b) securities?		0	•
	If you are registering or registered with the SEC, answer "No" to Item 9.A.(1)(a) and (b) if you have related person has custody of client assets in connection with advisory services you provide to client Advisers Act rule 206(4)-2(d)(5)) from the related person.			
	(2) If you checked "yes" to Item 9.A.(1)(a) or (b), what is the approximate amount of client fu	and securities and total number of <i>clients</i> for which you have <i>custody</i> :		
	U.S. Dollar Amount  Total Number of Clients	The state of the s		
	(a) \$ (b)			

If you are registering or registered with the SEC and you have custody solely because you deduct your advisory fees directly from your clients' accounts, do not include the amount of those assets and the number of those clients in your response to Item 9.A.(2). If your related person has custody of client assets in connection with advisory services you provide to clients, do not include the amount of

those assets and number of those clients in your response to 9.A.(2). Instead, include that information in your response to Item 9.B.(2).

В.	(1) In connection with advisory services you provide to <i>clients</i> , do any of your <i>related persons</i> have <i>custody</i> of any of your advisory <i>clients</i> ':	Yes	No
	(a) cash or bank accounts?	0	•
	(b) securities?		•
		0	·
	You are required to answer this item regardless of how you answered Item 9.A. (1)(a) or (b).		
	red are regarded to driewer this item regardless of new year answered nem your (2).		
	(2) If you checked "yes" to Item 9.B.(1)(a) or (b), what is the approximate amount of client funds and securities and total number of clients for which your related persons have custody	y:	
	U.S. Dollar Amount Total Number of Clients		
	(a) \$ (b)		
C.	If you or your related persons have custody of client funds or securities in connection with advisory services you provide to clients, check all the following that apply:		
0.	(1) A qualified custodian(s) sends account statements at least quarterly to the investors in the pooled investment vehicle(s) you manage.		
	(2) An independent public accountant audits annually the pooled investment vehicle(s) that you manage and the audited financial statements are distributed to the investors in the pools.		
	(3) An <i>independent public accountant</i> conducts an annual surprise examination of <i>client</i> funds and securities.		
	(4) An independent public accountant prepares an internal control report with respect to custodial services when you or your related persons are qualified custodians for client funds		
	and securities.		
	If you checked Item 9.C.(2), C.(3) or C.(4), list in Section 9.C. of Schedule D the accountants that are engaged to perform the audit or examination or prepare an internal control report. (If you Item 9.C.(2), you do not have to list auditor information in Section 9.C. of Schedule D if you already provided this information with respect to the private funds you advise in Section 7.B.(1) of 3 D).		
D.	Do you or your related person(s) act as qualified custodians for your clients in connection with advisory services you provide to clients?	Yes	No
	(1) you act as a qualified custodian	0	•
	(2) your related person(s) act as qualified custodian(s)		·
			•
	If you checked "yes" to Item 9.D.(2), all related persons that act as qualified custodians (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)) must be identified in Section Schedule D, regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.	tion 7.4	1. of
E.	If you are filing your annual updating amendment and you were subject to a surprise examination by an independent public accountant during your last fiscal year, provide the date (MM/examination commenced:	YYYY)	the
F.	If you or your related persons have custody of client funds or securities, how many persons, including, but not limited to, you and your related persons, act as qualified custodians for you in connection with advisory services you provide to clients?	ır <i>clien</i>	ts
SEC	TION 9.C. Independent Public Accountant		
	No Information Filed		
Iter	m 10 Control Persons		
		ndvisor	
only	this Item, we ask you to identify every <i>person</i> that, directly or indirectly, controls you. If you are filing an umbrella registration, the information in Item 10 should be provided for the filing a sylunce.	iuvisei	
for	you are submitting an initial application or report, you must complete Schedule A and Schedule B. Schedule A asks for information about your direct owners and executive officers. Schedule information about your indirect owners. If this is an amendment and you are updating information you reported on either Schedule A or Schedule B (or both) that you filed with your initial polication or report, you must complete Schedule C.	ial	
A.	Does any person not named in Item 1.A. or Schedules A, B, or C, directly or indirectly, control your management or policies?	Yes O	No ⊙
	If yes, complete Section 10.A. of Schedule D.		
В.	If any person named in Schedules A, B, or C or in Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934, please consection 10.B. of Schedule D.	mplet	е
SEC	CTION 10.A. Control Persons		
	No Information Filed		

SEC	CTION 10.B. <i>Control Person</i> Public Reporting Companies		
B.	If any person named in Schedules A, B, or C, or in Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934, please the following information (you must complete a separate Schedule D Section 10.B. for each public reporting company):	provic	e et
	(1) Full legal name of the public reporting company:	INC.	
	(2) The public reporting company's CIK number (Central Index Key number that the SEC assigns to each reporting company): 1364742		
Ltei	m 11 Disclosure Information		
	this Item, we ask for information about your disciplinary history and the disciplinary history of all your advisory affiliates. We use this information to determine whether to grant your app	lication	n for
reg exa	gistration, to decide whether to revoke your registration or to place limitations on your activities as an investment adviser, and to identify potential problem areas to focus on during our aminations. One event may result in "yes" answers to more than one of the questions below. In accordance with General Instruction 5 to Form ADV, "you" and "your" include the filing a relying advisers under an umbrella registration.	r on-si	te
(or	ur advisory affiliates are: (1) all of your current employees (other than employees performing only clerical, administrative, support or similar functions); (2) all of your officers, partners, or a sample of any person performing similar functions); and (3) all persons directly or indirectly controlling you or controlled by you. If you are a "separately identifiable department or division" (SID) of the Glossary of Terms to determine who your advisory affiliates are.		
reg 11.	you are registered or registering with the SEC or if you are an exempt reporting adviser, you may limit your disclosure of any event listed in Item 11 to ten years following the date of the event. gistered or registering with a state, you must respond to the questions as posed; you may, therefore, limit your disclosure to ten years following the date of an event only in responding to Items. A. (2), 11.B. (1), 11.B. (2), 11.D. (4), and 11.H. (1) (a). For purposes of calculating this ten-year period, the date of an event is the date the final order, judgment, or decrees lapsed.  Appeal from preliminary orders, judgments, or decrees lapsed.	s 11.A.	(1),
Υοι	u must complete the appropriate Disclosure Reporting Page ("DRP") for "yes" answers to the questions in this Item 11.		
		Yes	s No
Do	any of the events below involve you or any of your supervised persons?	0	$\odot$
<u>For</u>	r "yes" answers to the following questions, complete a Criminal Action DRP:		
A.	In the past ten years, have you or any advisory affiliate:	Yes	s No
	(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i> ?		•
	(2) been charged with any felony?	0	•
	If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.A.(2) to charges that are currently pending.		
B.	In the past ten years, have you or any advisory affiliate:		
	(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a <i>misdemeanor</i> involving: investments or an <i>investment-related</i> business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?	0	•
	(2) been <i>charged</i> with a <i>misdemeanor</i> listed in Item 11.B.(1)?	0	$\odot$
	If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.B.(2) to charges that are currently pending.		
<u>Fo</u>	r "yes" answers to the following questions, complete a Regulatory Action DRP:		
C.	Has the SEC or the Commodity Futures Trading Commission (CFTC) ever:	Yes	s No
	(1) found you or any advisory affiliate to have made a false statement or omission?	$\odot$	0
	(2) found you or any advisory affiliate to have been involved in a violation of SEC or CFTC regulations or statutes?	$\odot$	0
	(3) found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	•	0
	(4) entered an order against you or any advisory affiliate in connection with investment-related activity?	⊙	0
	(5) imposed a civil money penalty on you or any advisory affiliate, or ordered you or any advisory affiliate to cease and desist from any activity?	⊙	0
D.	Has any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority:		
	(1) ever found you or any advisory affiliate to have made a false statement or omission, or been dishonest, unfair, or unethical?	•	0
	(2) ever found you or any advisory affiliate to have been involved in a violation of investment-related regulations or statutes?	•	0
	(3) ever found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	? 0	•
	(4) in the past ten years, entered an order against you or any advisory affiliate in connection with an investment-related activity?	•	0
	(5) ever denied, suspended, or revoked your or any advisory affiliate's registration or license, or otherwise prevented you or any advisory affiliate, by order, from associating with an investment-related business or restricted your or any advisory affiliate's activity?	•	0
E.	Has any self-regulatory organization or commodities exchange ever:		
	(1) found you or any advisory affiliate to have made a false statement or omission?	0	$\odot$
	(2) found you or any advisory affiliate to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the SEC)?	•	0
	(3) found you or any advisory affiliate to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	0	•
	(4) disciplined you or any advisory affiliate by expelling or suspending you or the advisory affiliate from membership, barring or suspending you or the advisory affiliate from association	0	•

	with other members, or otherwise restricting your or the advisory affiliate's activities?		
F.	Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any advisory affiliate ever been revoked or suspended?	0	•
G.	Are you or any advisory affiliate now the subject of any regulatory proceeding that could result in a "yes" answer to any part of Item 11.C., 11.D., or 11.E.?	0	0
For	"yes" answers to the following questions, complete a Civil Judicial Action DRP:		
Н.	(1) Has any domestic or foreign court:	Yes	s No
	(a) in the past ten years, enjoined you or any advisory affiliate in connection with any investment-related activity?	0	•
	(b) ever found that you or any advisory affiliate were involved in a violation of investment-related statutes or regulations?	0	•
	(c) ever dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you or any advisory affiliate by a state or foreign financial regulatory authority?	0	•
	(2) Are you or any advisory affiliate now the subject of any civil proceeding that could result in a "yes" answer to any part of Item 11.H.(1)?	0	•
Iten	n 12 Small Businesses		
	SEC is required by the Regulatory Flexibility Act to consider the effect of its regulations on small entities. In order to do this, we need to determine whether you meet the definition of "sness" or "small organization" under rule 0-7.	mall	
	wer this Item 12 only if you are registered or registering with the SEC <b>and</b> you indicated in response to Item 5.F.(2)(c) that you have regulatory assets under management of less than on. You are not required to answer this Item 12 if you are filing for initial registration as a state adviser, amending a current state registration, or switching from SEC to state registration.		

•

For purposes of this Item 12 only:

- Total Assets refers to the total assets of a firm, rather than the assets managed on behalf of clients. In determining your or another person's total assets, you may use the total assets shown on a current balance sheet (but use total assets reported on a consolidated balance sheet with subsidiaries included, if that amount is larger).
- Control means the power to direct or cause the direction of the management or policies of a person, whether through ownership of securities, by contract, or otherwise. Any person that directly

	of indirectly has the right to vote 25 percent of more of the voting securities, of is entitled to 25 percent of more of the profits, of another person is presumed to control the other person	SOIT.
		Yes No
A.	Did you have total assets of \$5 million or more on the last day of your most recent fiscal year?	0.0

0 0

0 0

0 0

0  $\circ$ 

If "yes," you do not need to answer Items 12.B. and 12.C.

- B. Do you:
  - (1) control another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?
  - (2) control another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?
- C. Are you:
  - (1) controlled by or under common control with another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?
  - (2) controlled by or under common control with another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?

## Schedule A

# **Direct Owners and Executive Officers**

- 1. Complete Schedule A only if you are submitting an initial application or report. Schedule A asks for information about your direct owners and executive officers. Use Schedule C to amend this information.
- 2. Direct Owners and Executive Officers. List below the names of:
  - (a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer (Chief Compliance Officer is required if you are registered or applying for registration and cannot be more than one individual), director, and any other individuals with similar status or functions;
  - (b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your voting securities, unless you are a public reporting company (a company subject to Section 12 or 15(d) of the Exchange Act); Direct owners include any person that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of your voting securities. For purposes of this Schedule, a person beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, sonin-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant,
  - or right to purchase the security. (c) if you are organized as a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of your
  - (d) in the case of a trust that directly owns 5% or more of a class of your voting securities, or that has the right to receive upon dissolution, or has contributed, 5% or more of your capital, the trust and each trustee; and
  - (e) if you are organized as a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 5% or more of your capital, and (ii) if managed by elected managers, all elected managers.
- 4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner or executive officer is an individual.
- 5. Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or

members, the class of securities owned (if more than one is issued)

- 6. Ownership codes are: NA less than 5%
  - B 10% but less than 25%
- D 50% but less than 75%

A - 5% but less than 10% C - 25% but less than 50% E - 75% or more

- 7. (a) In the Control Person column, enter "Yes" if the person has control as defined in the Glossary of Terms to Form ADV, and enter "No" if the person does not have control. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are control persons.
  - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.
  - (c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name,	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No. If None: S.S. No. and Date of Birth, IRS
First Name, Middle Name)			Acquired MM/YYYY	Code	Person		Tax No. or Employer ID No.
BLACKROCK CAPITAL HOLDINGS, INC.	DE	SOLE MEMBER	09/2006	E	Υ	N	
WALTCHER, DANIEL, RUSSELL	I	DIRECTOR	01/2010	NA	Υ	N	2903300
SHEDLIN, GARY, STEPHEN	I	CHIEF FINANCIAL OFFICER	05/2013	NA	Υ	N	2094106
PARK, CHARLES, CHOON SIK	I	CHIEF COMPLIANCE OFFICER	06/2014	NA	Υ	N	2704483
GOLDSTEIN, ROBERT, LAWRENCE	I	CHIEF OPERATING OFFICER	06/2014	NA	Υ	N	2253416
FINK, LAURENCE, DOUGLAS	I	CHIEF EXECUTIVE OFFICER	09/1994	NA	Υ	N	830137
KAPITO, ROBERT, STEVEN	I	PRESIDENT	09/2007	NA	Υ	N	728399
SHEDLIN, GARY, STEPHEN	I	DIRECTOR	10/2015	NA	Υ	N	2094106
GOLDSTEIN, ROBERT, LAWRENCE	I	DIRECTOR	10/2015	NA	Υ	N	2253416
Meade, Christopher, Joseph	I	GENERAL COUNSEL AND CHIEF LEGAL OFFICER	11/2016	NA	Υ	N	6728448

## Schedule B

#### **Indirect Owners**

- 1. Complete Schedule B only if you are submitting an initial application or report. Schedule B asks for information about your indirect owners; you must first complete Schedule A, which asks for information about your direct owners. Use Schedule C to amend this information.
- 2. Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:
  - (a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;

For purposes of this Schedule, a person beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.

- (b) in the case of an owner that is a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 25% or more of the partnership's capital;
- (c) in the case of an owner that is a trust, the trust and each trustee; and
- (d) in the case of an owner that is a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.
- 3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Exchange Act) is reached, no further ownership information need be given.
- 4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner is an individual.
- 5. Complete the Status column by entering the owner's status as partner, trustee, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
- 6. Ownership codes are: C 25% but less than 50% E 75% or more

  - D 50% but less than 75% F Other (general partner, trustee, or elected manager)
- 7. (a) In the Control Person column, enter "Yes" if the person has control as defined in the Glossary of Terms to Form ADV, and enter "No" if the person does not have control. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are control persons.
  - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.
  - (c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name,	DE/FE/I	Entity in Which Interest is	Status	Date Status	Ownership	Control	PR	CRD No. If None: S.S. No. and Date of Birth,
First Name, Middle Name)		Owned		Acquired MM/YYYY	Code	Person		IRS Tax No. or Employer ID No.
BLACKROCK, INC.	DE	BLACKROCK HOLDCO 2,	SOLE	09/2006	Е	Υ	Υ	
		INC.	SHAREHOLDER					
BLACKROCK HOLDCO 2, INC.	DE	BLACKROCK FINANCIAL	SOLE	03/2015	Е	Υ	N	
		MANAGEMENT, INC.	SHAREHOLDER					
BLACKROCK FINANCIAL MANAGEMENT, INC.	DE	BLACKROCK CAPITAL	SOLE	03/2015	Е	Υ	N	
		HOLDINGS, INC.	SHAREHOLDER					

### Schedule D - Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

# Schedule R

ORP	Pages							
CRIN	MINAL DISCLOSU	JRE REPORTING PAGE (ADV)						
No Ir	nformation Filed							
REG	ULATORY ACTIO	N DISCLOSURE REPORTING PAGE (ADV	)					
This	Disclosure Report	ting Page (DRP ADV) is an O INITIAL OR	GENERAL INSTRUC  AMENDED response used to report det		11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.			
			Regulatory Acti	ion				
	ck item(s) being r		_	_	_			
	11.C(1)	☐ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)			
	11.D(1)	<b>☑</b> 11.D(2)	☐ 11.D(3)	□ 11.D(4)	□ 11.D(5)			
	11.E(1)	☐ 11.E(2)	□ 11.E(3)	□ 11.E(4)				
	I1.F.	□ 11.G.						
One	event may result		ems 11.C., 11.D., 11.E., 11.F. or 11.G. U		DRP. File with a completed Execution Page.			
	_	grator, provide details for each detion on e	a soparate Ditti.					
PAR		entity(ies) for whom this DRP is being filed	tis (are):					
Α.	•		a is (arc).					
	O You (the advisory firm)							
	O You and one or more of your advisory affiliates							
	One or more of your advisory affiliates							
	If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name).  If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.							
	ADV DRP - ADVI	ADV DRP - ADVISORY AFFILIATE						
	CRD Number:	-	This advisory affiliate is $^{f O}$ a Firm $^{f O}$ an I	ndividual				
	Registered:	C Yes O No						
	Name:	BLACKROCK, INC.						
		(For individuals, Last, First, Middle)						
	This DRP sho	ould be removed from the ADV record becauded by removed from the ADV record becauseporting as an exempt reporting adviser with	use: (1) the event or <i>proceeding</i> occurred	more than ten years ago or (2) the ad	lviser is registered or applying for registration with or.			
		tered or registering with a state securities ago. If you are registered or registering wi			Item 11.D(4), and only if that event occurred more d more than ten years ago.			
	☐ This DRP sho	uld be removed from the ADV record becau	use it was filed in error, such as due to a	clerical or data-entry mistake. Explain	the circumstances:			
B.	•	ffiliate is registered through the IARD syste no other information on this DRP must be		e submitted a DRP (with Form ADV, BD	or U-4) to the IARD or CRD for the event? If the			
	O Yes O No							
	NOTE: The comp	pletion of this form does not relieve the adv	visory affiliate of its obligation to update its	s IARD or <i>CRD</i> records.				
PAR <sup>2</sup>	T II							
	Regulatory Actio	n initiated by: r Federal OState OSRO OForeign						
	(Full name of reg	gulator, foreign financial regulatory authority  T, THE SUPERVISORY AUTHORITY OF NORWA						

2.	<ul><li>Principal Sanction:</li><li>Civil and Administrative Penalt(ies)</li><li>Other Sanctions:</li></ul>	/Fine(s)					
3.	. Date Initiated (MM/DD/YYYY):						
	10/31/2011 © Exact C Explanation						
	If not exact, provide explanation:						
4.	. Docket/Case Number:						
5.	. Advisory Affiliate Employing Firm who	en activity occurred which I	led to the regulatory action (if applicat	ole):			
6.	. Principal Product Type:						
	Other Product Types						
	Other Product Types: INVESTMENT IN NORWEGIAN EQUIT	Υ					
7.	· ·		r response must fit within the space p OF THE SHARE CAPITAL OF THE NORW	rovided): EGIAN COMPANY CERMAQ WAS SUBMIT	TED LATE.		
8.	. Current Status? C Pending	C On Appeal © Final					
9.	. If on appeal, regulatory action appe	ealed to (SEC, <i>SRO,</i> Federa	l or State Court) and Date Appeal File	d:			
lf F	f Final or On Appeal, complete all items	below. For Pending Actions	s, complete Item 13 only.				
10	How was matter resolved:     Decision						
11	Resolution Date (MM/DD/YYYY):						
	10/31/2011 <b>©</b> Exact <b>C</b> Explana	ation					
	If not exact, provide explanation:						
12	2. Resolution Detail:						
	A. Were any of the following San	nctions <i>Ordered</i> (check all ap	ppropriate items)?				
	☐ Monetary/Fine Amount: \$						
	Revocation/Expulsion/Den	iial		Disgorgement/Restitution			
	☐ Censure			Cease and Desist/Injunction			
	☐ Bar		L	Suspension			
	<ul><li>B. Other Sanctions Ordered:</li><li>PAYMENT OF VIOLATION CHAR</li></ul>	RGE IN NORWEGIAN CURREI	NCY.				
	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an <i>advisory affiliate</i> , date paid and if any portion of penalty was waived:  PAYMENT OF VIOLATION CHARGE OF 100,000 NOK						
13	13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).  VIOLATION CHARGE INCURRED DUE TO LATE DISCLOSURE NOTIFICATION.						
			GENERAL INSTRUC	TIONS			
This	nis Disclosure Reporting Page (DRP ADV	/) is an C INITIAL OR © A			1.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.		
CI.	anak itam(a) haing reserved.		Regulatory Acti	on			
	neck item(s) being responded to:	<b>□</b> 11.C(2)	□ 11.C(3)	□ 11.C(4)	<b>□</b> 11.C(5)		
		☑ 11.C(2) ☑ 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)		
	• •	□ 11.E(2)	□ 11.E(3)	☐ 11.E(4)	X-7		
		<b>□</b> 11.G.					

Use	Jse a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page.						
	e event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions more than one regulator, provide details for each action on a separate DRP.						
PAR	ΤΙ						
A.	The person(s) or entity(ies) for whom this DRP is being filed is (are):						
	O You (the advisory firm)						
	O You and one or more of your advisory affiliates						
	One or more of your advisory affiliates						
	If this DRP is being filed for an <i>advisory affiliate</i> , give the full name of the <i>advisory affiliate</i> below (for individuals, Last name, First name, Middle name).  If the <i>advisory affiliate</i> has a <i>CRD</i> number, provide that number. If not, indicate "non-registered" by checking the appropriate box.						
	ADV DRP - ADVISORY AFFILIATE						
	CRD Number:  This advisory affiliate is • a Firm • an Individual						
	Registered: O Yes O No						
	Name: BLACKROCK, INC.						
	(For individuals, Last, First, Middle)						
	☐ This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser. ☐ This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.						
	If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.						
	□ This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:						
B.	If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.						
	C Yes O No						
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.						
PAR	T II						
1.	Regulatory Action initiated by:						
	OSEC Other Federal OState O SRO Foreign						
	(Full name of regulator, <i>foreign financial regulatory authority</i> , federal, state, or <i>SRO</i> ) FINANSINSPEKTIONEN, THE SWEDISH FINANCIAL SUPERVISORY AUTHORITY						
2.	Principal Sanction:						
	Civil and Administrative Penalt(ies) /Fine(s)						
	Other Sanctions:						
	Data Initiated (MM/DD 00000).						
3.	Date Initiated (MM/DD/YYYY):						
	12/13/2011 © Exact © Explanation  If not exact, provide explanation:						
	The exact, provide explanation.						
4.	Docket/Case Number:						
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):						
6.	Principal Product Type:						
	Options						
	Other Product Types:						
	INVESTMENT IN SWEDISH EQUITY						
1							
7	Describe the allegations related to this regulatory action (your response must fit within the space provided).						
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  NOTIFICATION THAT BLACKROCK'S HOLDINGS GOING BELOW 5% OF THE SHARE CAPITAL OF THE SWEDISH COMPANY FLECTROLUX AB WAS SUBMITTED LATE.						
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  NOTIFICATION THAT BLACKROCK'S HOLDINGS GOING BELOW 5% OF THE SHARE CAPITAL OF THE SWEDISH COMPANY ELECTROLUX AB WAS SUBMITTED LATE.						

9.	If on appeal, reg	gulatory action appealed to (SEC, <i>SRO</i> , Feder	ral or State Court) and Date Appeal Fi	led:	
lf Fir	nal or On Appeal	, complete all items below. For Pending Actio	ns, complete Item 13 only.		
	How was matter Decision	resolved:			
11.	Resolution Date	(MM/DD/YYYY):			
		Exact C Explanation			
		ovide explanation:			
12.	Resolution Detai	il:			
	A. Were any o	of the following Sanctions Ordered (check all	appropriate items)?		
	■ Moneta	ary/Fine Amount: \$			
		ation/Expulsion/Denial		Disgorgement/Restitution	
	Censur	re		Cease and Desist/Injunction	
	☐ Bar	ctions <i>Ordered:</i>		☐ Suspension	
	requalificat disposition portion of p	ion by exam/retraining was a condition of the	e sanction, provide length of time give	en to requalify/retrain, type of exam req	incipal, Financial Operations Principal, etc.). If puired and whether condition has been satisfied. If ainst you or an <i>advisory affiliate</i> , date paid and if any
		summary of details related to the action statu	. , ,	evant terms, conditions and dates (you	response must fit within the space provided).
his I	Disclosure Repor	ting Page (DRP ADV) is an 👩 INITIAL <i>OR</i> 🧿		etails for affirmative responses to Items	11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.
hec	k item(s) being r	responded to:	Regulatory Ad	tion	
	1.C(1)	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)
<u> </u>	1.D(1)	<b>☑</b> 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)
<u> </u>	1.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	
□ 11	1.F.	□ 11.G.			
lse a	a separate DRP f	or each event or <i>proceeding</i> . The same even	nt or <i>proceeding</i> may be reported for m	ore than one <i>person</i> or entity using one	DRP. File with a completed Execution Page.
	-	in more than one affirmative answer to Item gulator, provide details for each action on a s		Use only one DRP to report details relate	ed to the same event. If an event gives rise to action
ART	1				
Α.	The person(s) or You (the advi	entity(ies) for whom this DRP is being filed is isory firm)	s (are):		
	O You and one	or more of your advisory affiliates			
	One or more	of your advisory affiliates			
		ing filed for an <i>advisory affiliate</i> , give the full r ffiliate has a <i>CRD</i> number, provide that numbe			ddle name).
	ADV DRP - ADVI	ISORY AFFILIATE			
	CRD Number:		is <i>advisory affiliate</i> is <b>©</b> a Firm O ar	Individual	
	Registered:	C Yes O No			
	Name:	BLACKROCK, INC. (For individuals, Last, First, Middle)			

	This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer. This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurr the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved.	ed more than ten years ago or (2) the adviser is registered or applying for registration with
	If you are registered or registering with a <i>state securities authority</i> , you may remove a DRP for than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for	
	☐ This DRP should be removed from the ADV record because it was filed in error, such as due to	a clerical or data-entry mistake. Explain the circumstances:
B.	If the <i>advisory affiliate</i> is registered through the IARD system or <i>CRD</i> system, has the <i>advisory affiliate</i> answer is "Yes," no other information on this DRP must be provided.	liate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the
	C Yes • No	
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update	its IARD or <i>CRD</i> records.
ART	ГП	
1.	Regulatory Action initiated by:  OSEC Other Federal OState OSRO Foreign	
	(Full name of regulator, <i>foreign financial regulatory authority</i> , federal, state, or <i>SRO</i> ) FINANSINSPEKTIONEN, SWEDISH FINANCIAL SUPERVISORY AUTHORITY	
2.	Principal Sanction:	
	Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	
3.	Date Initiated (MM/DD/YYYY):	
	02/20/2012 © Exact C Explanation	
	If not exact, provide explanation:	
4.	Docket/Case Number:	
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if appli	cable):
6.	Principal Product Type: Other	
	Other Product Types: INVESTMENT IN SWEDISH EQUITY	
7.	Describe the allegations related to this regulatory action (your response must fit within the space NOTIFICATION THAT BLACKROCK'S HOLDINGS BELOW 5% OF THE SHARE CAPITAL OF THE COMPA	
8.	Current Status? C Pending C On Appeal Final	
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal I	Filed:
lf Fi	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.	
10.	How was matter resolved:	
	Decision	
11.	Resolution Date (MM/DD/YYYY):	
	02/20/2012 © Exact C Explanation	
	If not exact, provide explanation:	
12.	Resolution Detail:	
	A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?	
	Monetary/Fine Amount: \$	
	Revocation/Expulsion/Denial Censure	☐ Disgorgement/Restitution
	☐ Bar	☐ Cease and Desist/Injunction ☐ Suspension
	B. Other Sanctions <i>Ordered:</i>	- Suspension
	B. Other Sanctions <i>Ordered:</i> PAYMENT OF SPECIAL FEE IN SWEDISH CURRENCY	

	requalification by exam/retraining was a condition of disposition resulted in a fine, penalty, restitution, disposition of penalty was waived:  PAYMENT OF SPECIAL FEE OF 50,000 SEK.	f the sanction, provide length of time giver	to requalify/retrain, type of exam req	
13.	Provide a brief summary of details related to the action s SPECIAL FEE INCURRED DUE TO LATE DISCLOSURE NOTII	•	vant terms, conditions and dates (your	response must fit within the space provided).
		GENERAL INSTRUC	TIONS	
This	Disclosure Reporting Page (DRP ADV) is an $_{ m C}$ INITIAL $_{ m OR}$			11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.
Ol	ali tha ga (a) ha tu a ga ag ag da dha	Regulatory Acti	on	
	ck item(s) being responded to:	<b>—</b> 11 C(2)	<b>1</b> 11 C(4)	□ 11.C(5)
	11.C(1)	☐ 11.C(3) ☐ 11.D(3)	□ 11.C(4) □ 11.D(4)	□ 11.C(5) □ 11.D(5)
	11.D(1)	□ 11.D(3) □ 11.E(3)	□ 11.b(4) □ 11.E(4)	L 11.D(5)
	11.F.	L 11.E(3)	L 11.E(4)	
by n	e event may result in more than one affirmative answer to more than one regulator, provide details for each action or T I  The person(s) or entity(ies) for whom this DRP is being file.	n a separate DRP.	se only one DRP to report details relate	ed to the same event. If an event gives rise to actions
	O You (the advisory firm)			
	You and one or more of your advisory affiliates			
	One or more of your advisory affiliates			
	If this DRP is being filed for an advisory affiliate, give the file of the advisory affiliate has a CRD number, provide that number.	· · · · · · · · · · · · · · · · · · ·		ddle name).
	ADV DRP - ADVISORY AFFILIATE			
	CRD Number:	This <i>advisory affiliate</i> is <b>©</b> a Firm <b>O</b> an I	ndividual	
	Registered: O Yes O No			
	Name: BLACKROCK, INC. (For individuals, Last, First, Middle)			
	☐ This DRP should be removed from the ADV record bed ☐ This DRP should be removed from the ADV record bed the SEC or reporting as an exempt reporting adviser w	cause: (1) the event or proceeding occurred	more than ten years ago or (2) the ac	
	If you are registered or registering with a state securitie than ten years ago. If you are registered or registering			•
	$\square$ This DRP should be removed from the ADV record bec	cause it was filed in error, such as due to a	clerical or data-entry mistake. Explain	the circumstances:
B.	If the <i>advisory affiliate</i> is registered through the IARD sys answer is "Yes," no other information on this DRP must be		e submitted a DRP (with Form ADV, BD	or U-4) to the IARD or <i>CRD</i> for the event? If the
	C Yes ⊙ No			
	NOTE: The completion of this form does not relieve the a	dvisory affiliate of its obligation to update its	IARD or <i>CRD</i> records.	
PAR <sup>-</sup>	T II			
1.	Regulatory Action initiated by:			
	OSEC Other Federal OState OSRO Foreign			
	(Full name of regulator, foreign financial regulatory authors FINANSINSPEKTIONEN, SWEDISH FINANCIAL SUPERVISOR	·		
2.	Principal Sanction:			

	Civil and Administrative Penalt(ies Other Sanctions:	s) /Fine(s)					
3.	Date Initiated (MM/DD/YYYY):						
	05/24/2012	anation					
	If not exact, provide explanation:						
4.	Docket/Case Number:						
5.	Advisory Affiliate Employing Firm v	when activity occurred v	which led to the regulatory action (if applicable	):			
6.	Principal Product Type:						
	Other						
	Other Product Types: INVESTMENT IN SWEDISH EQUITY	Y					
	Describe the allegations related to this regulatory action (your response must fit within the space provided): NOTIFICATION THAT BLACKROCK'S HOLDINGS GOING BELOW 5% OF THE SHARE CAPITAL OF THE COMPANY BOLIDEN WAS SUBMITTED LATE.						
8.	Current Status? C Pending	C On Appeal ©	Final				
9.	If on appeal, regulatory action ap	opealed to (SEC, <i>SRO</i> , F	rederal or State Court) and Date Appeal Filed:				
If Fi	nal or On Appeal, complete all iter	ms below. For Pending /	Actions, complete Item 13 only.				
10.	How was matter resolved:						
	Decision						
11.	Resolution Date (MM/DD/YYYY):						
	05/24/2012 • Exact • Expla	anation					
	If not exact, provide explanation:	:					
12.	Resolution Detail:						
	A. Were any of the following S	Sanctions <i>Ordered</i> (check	call appropriate items)?				
	☐ Monetary/Fine Amount:	\$					
	Revocation/Expulsion/D	enial		Disgorgement/Restitution			
	Censure			Cease and Desist/Injunction			
	☐ Bar			Suspension			
	B. Other Sanctions Ordered:						
	PAYMENT OF SPECIAL FEE IN						
					Principal, Financial Operations Principal, etc.). If equired and whether condition has been satisfied. If		
					equired and whether condition has been satisfied. If against you or an <i>advisory affiliate</i> , date paid and if any		
	portion of penalty was waiv			γ, μ			
	PAYMENT OF SPECIAL FEE O	DF 430,000 SEK.					
13.	Provide a brief summary of detail	Is related to the action	status and (or) disposition and include releva-	nt terms, conditions and dates (yo	our response must fit within the space provided).		
	SPECIAL FEE INCURRED DUE TO L	LATE DISCLOSURE NOTI	FICATION.				
Γhis	Disclosure Reporting Page (DRP Al	DV) is an O INITIAL <i>O</i>	GENERAL INSTRUCTI  R 6 AMENDED response used to report detail		s 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.		
			Regulatory Action				
	k item(s) being responded to:	T 11 0/0\	<b>—</b> 44.0/0	T 44 0(1)			
	1.C(1)	☐ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)		
	1.D(1)	▼ 11.D(2)	☐ 11.D(3)	□ 11.D(4)	□ 11.D(5)		
	1.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)			
<u></u> 1	1.F.	□ 11.G.					

	event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to action or than one regulator, provide details for each action on a separate DRP.
AR	ГІ
٨.	The <i>person(s)</i> or entity(ies) for whom this DRP is being filed is (are):  You (the advisory firm)
	O You and one or more of your advisory affiliates
	One or more of your advisory affiliates
	advisory aπiliates
	If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name).  If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.
	ADV DRP - ADVISORY AFFILIATE
	CRD Number:  This advisory affiliate is 6 a Firm 0 an Individual
	Registered: O Yes O No
	Name: BLACKROCK, INC.
	(For individuals, Last, First, Middle)
	This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser.  This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.
	If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.
	☐ This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:
3.	If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.
	O Yes O No
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.
٩R	ГІІ
۱.	Regulatory Action initiated by:  OSEC Other Federal OState OSRO Foreign
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) BAFIN, GERMAN FEDERAL FINANCIAL SUPERVISORY AUTHORITY
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:
3.	Date Initiated (MM/DD/YYYY):
	06/18/2012 © Exact © Explanation  If not exact, provide explanation:
1.	Docket/Case Number:
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
ò.	Principal Product Type: Other
	Other Product Types: INVESTMENT IN GERMAN EQUITY
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  AN ENTITY IS REQUIRED TO FILE A NOTIFICATION ("NOTIFICATION FILING") WHEN ITS SHAREHOLDINGS OF A SECURITY, WHOSE HOME COUNTRY IS THE FEDERAL REPUBLIC OF GERMAN, REACH, EXCEED OR FALL BELOW PRESCRIBED LIMITS ("THRESHOLD LIMITS"). WHEN THE THRESHOLD LIMITS ARE REACHED, NOTIFICATION FILINGS ARE TO BE FILLED WITH THE GERMAN FEDERAL FINANCIAL SUPERVISORY AUTHORITY ("BAFIN") AND ISSUER OF THE SECURITY WITHIN A SPECIFIED TIME PERIOD. WHILE BLACKROCK ("BLACKROCK, INC. AND ITS SUBSIDIARIES")

FILED THE NOTIFICATION FILINGS FOR CERTAIN SECURITIES, THE FILINGS WERE NOT COMPLETED WITHIN THE REQUIRED TIME PERIOD.

Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page.

8. C	urrent Status? • Pen	ding On Appeal On Fi	ınaı					
9. I	on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:							
If Fina	If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.							
10. How was matter resolved:  Decision								
	esolution Date (MM/DD/YYY							
	6/18/2012 © Exact © fnot exact, provide explan	·						
12. R	esolution Detail:							
	A. Were any of the follow	ving Sanctions <i>Ordered</i> (check a	all appropriate items)?					
		ount: \$ 238,386.00						
	Revocation/Expuls	ion/Denial	1	Disgorgement/Restitution				
	Censure		ı	Cease and Desist/Injunction				
	■ Bar		1	Suspension				
	3. Other Sanctions <i>Ordere</i>	ed:		'				
Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been so disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an <i>advisory affiliate</i> , date pair portion of penalty was waived:  PAYMENT OF FINE 167,503.50 EUROS  13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided to the action status and conditions and dates (your response must fit within the space provided to the action status and conditions and dates (your response must fit within the space provided to the action status and conditions and dates (your response must fit within the space provided to the action status and conditions and dates (your response must fit within the space provided to the action status and conditions are detailed to the action actions are detailed to the action actions are detailed to the action act								
This D	sclosure Reporting Page (D	DRP ADV) is an C INITIAL <i>OR</i>	GENERAL INSTRUC		11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.			
			Regulatory Act	rion				
Check	item(s) being responded to	0:	Regulatory No.					
<b>1</b> 11.	• • •	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)			
<b>1</b> 11.		☑ 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)			
☐ 11.	• •	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	E 11.D(3)			
☐ 11.		□ 11.G.	L 11.L(3)	L 11.L(4)				
One ev	vent may result in more that		ems 11.C., 11.D., 11.E., 11.F. or 11.G. L		DRP. File with a completed Execution Page.  ed to the same event. If an event gives rise to actions			
PART I								
A. T	The person(s) or entity(ies) for whom this DRP is being filed is (are):  O You (the advisory firm)							
(	O You and one or more of your advisory affiliates							
(	One or more of your adv	visory affiliates						
l:	dle name).							
	ADV DRP - <i>ADVISORY AFFIL</i>	IATE						
	ADV DRP - <i>ADVISORY AFFIL</i> ————————————————————————————————————		This <i>advisory affiliate</i> is <b>©</b> a Firm <b>O</b> an	Individual				

	Name: BLACKROCK, INC. (For individuals, Last, First, Middle)	
	This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser.  This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is registered or applying for registration of the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.	with
	If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.	more
	This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:	
3.	If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the	ne
	answer is "Yes," no other information on this DRP must be provided.  O Yes O No	
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.	
۱R	RT II	
•	Regulatory Action initiated by:  OSEC Other Federal OState OSRO OForeign	
	(Full name of regulator, <i>foreign financial regulatory authority</i> , federal, state, or <i>SRO</i> ) COMMISSIONE NAZIONALE PER LE SOCIETA E LA BORSA ("CONSOB") - ITALY	
	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	
	Date Initiated (MM/DD/YYYY):	
	12/29/2012	
	Docket/Case Number:	
	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):	
	Principal Product Type: Other	
	Other Product Types: INVESTMENT IN ITALIAN EQUITY	
•	Describe the allegations related to this regulatory action (your response must fit within the space provided):  A RETRACTION AND SUBSEQUENT RE-NOTIFICATION OF A PREVIOUSLY FILED INCORRECT NOTIFICATION OF BLACKROCK'S HOLDINGS OF THE SHARE CAPITAL OF THE ITALIAN COMPANY UNICREDIT S.P.A. WAS SUBMITTED LATE.	
	Current Status? C Pending C On Appeal G Final	
	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:	
f F	Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.	
0.	D. How was matter resolved:  Decision	
1.	1. Resolution Date (MM/DD/YYYY):	
	01/11/2013 © Exact C Explanation	
	If not exact, provide explanation:	
2.	2. Resolution Detail:	
	A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?	
	<ul><li>✓ Monetary/Fine Amount: \$ 12,900.00</li><li>✓ Revocation/Expulsion/Denial</li><li>✓ Disgorgement/Restitution</li></ul>	

	L Censure		1	Cease and Desist/Injunction		
	Bar		ו	Suspension		
F	B. Other Sanctions <i>Ordered:</i>					
	Sanction detail: if suspen	nded, <i>enjoined</i> or barred, provetraining was a condition of t fine, penalty, restitution, disg	he sanction, provide length of time give	n to requalify/retrain, type of exam req	ncipal, Financial Operations Principal, etc.). If uired and whether condition has been satisfinate, date paid and	ied. If
			OF RETRACTION AND CORRECTED NOTI	IFICATION. MONETARY FINE OF 10,000	EURO (APPROXIMATELY \$12,900 USD).	
	rovide a brief summary of de 10NETARY FINE PAID.	stails related to the action sta	tus and (or) disposition and include rele	evant terms, conditions and dates (your	response must fit within the space provided	).
			GENERAL INSTRUC			
This Di	isclosure Reporting Page (DRF	PADV) is an OINITIAL OR	AMENDED response used to report de	tails for affirmative responses to Items	11.C., 11.D., 11.E., 11.F. or 11.G. of Form AD	V.
Chook	itom(a) being recognized to		Regulatory Act	tion		
	item(s) being responded to:	<b>-</b> 11 0(0)			T 11 0(5)	
□ 11.	• •	☐ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)	
11.	• •	<b>☑</b> 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)	
11.	E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)		
<b>1</b> 11.	F.	<b>□</b> 11.G.				
llsa a s	sonarato NPP for each event	or proceeding. The same eye	ant or proceeding may be reported for mo	ora than ona <i>narson</i> or antity using ona	DRP. File with a completed Execution Page.	
	•				, , , , , , , , , , , , , , , , , , ,	
	vent may result in more than re than one regulator, provide			Jse only one DRP to report details relate	ed to the same event. If an event gives rise to	o actions
PART I						
A. T	he <i>person(s)</i> or entity(ies) for You (the advisory firm)	whom this DRP is being filed	is (are):			
•		ur				
	You and one or more of you					
6	One or more of your adviso	ory affiliates				
	_		name of the advisory affiliate below (for		dle name).	
If —	f the <i>advisory affiliate</i> has a <i>CF</i>	RD number, provide that num	ber. If not, indicate "non-registered" by	checking the appropriate box.		
<i>J</i>	ADV DRP - <i>ADVISORY AFFILIAT</i>	TE				
	CRD Number:	Т	his <i>advisory affiliate</i> is <b>©</b> a Firm <b>O</b> an	Individual		
	Registered: O Yes O Name: BLACKROCK					
		als, Last, First, Middle)				
	This DRP should be remove	ed from the ADV record becau	use the <i>advisory affiliate(s)</i> is no longer a use: (1) the event or <i>proceeding</i> occurred in the SEC and the event was resolved in	I more than ten years ago or (2) the ad	viser is registered or applying for registration r.	n with
		_	authority, you may remove a DRP for an th the SEC, you may remove a DRP for a		Item 11.D(4), and only if that event occurre d more than ten years ago.	d more
	This DRP should be remove	ed from the ADV record becau	se it was filed in error, such as due to a	clerical or data-entry mistake. Explain	the circumstances:	
	f the <i>advisory affiliate</i> is registon nswer is "Yes," no other infor			te submitted a DRP (with Form ADV, BD	or U-4) to the IARD or CRD for the event? If	the
(	Yes • No					
N	IOTE: The completion of this f	form does not relieve the <i>adv</i>	isory affiliate of its obligation to update it	ts IARD or <i>CRD</i> records.		
PART I	I					
	egulatory Action initiated by:	State O SRO © Foreign				

	FEDERAL DEPARTMENT OF FINANCE - SWITZERLAND ("FDF")
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:
3.	Date Initiated (MM/DD/YYYY):  02/28/2012 Exact Explanation
	If not exact, provide explanation:
	Docket/Case Number:
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Product Type: Other Other Product Types: INVESTMENT IN EQUITY SECURITIES OF SWISS ISSUERS
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  THE FDF ALLEGED THAT BLACKROCK HAD NOT FILED, WITHIN THE SPECIFIED TIME PERIOD, REPORTS THAT ITS COLLECTIVE OWNERSHIP OF SECURITIES IN SWISS ISSUERS CROSSED CERTAIN OWNERSHIP THRESHOLDS.
8.	Current Status? Pending On Appeal Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
If F	Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved: Settled
11.	Resolution Date (MM/DD/YYYY):
	02/21/2013 © Exact C Explanation  If not exact, provide explanation:
12.	Resolution Detail:
	A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?
	<ul><li>✓ Monetary/Fine Amount: \$ 533,790.00</li><li>✓ Revocation/Expulsion/Denial</li><li>✓ Disgorgement/Restitution</li></ul>
	☐ Censure ☐ Cease and Desist/Injunction
	☐ Bar ☐ Suspension
	B. Other Sanctions <i>Ordered:</i>
	Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived:  FDF IMPOSED A FINE OF 500,000 CHF (APPROXIMATELY \$ 533,790 USD)
13.	Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).  MONETARY FIND PAID
This	GENERAL INSTRUCTIONS  S Disclosure Reporting Page (DRP ADV) is an To INITIAL OR To AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.
	Regulatory Action
	ck item(s) being responded to:  11.C(1)
-	······································

**☑** 11.D(2) **☐** 11.D(3) **☐** 11.D(4) **☐** 11.D(5)

□ 11.D(1)

$\square$ 1	1.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	
<b>□</b> 1	1.F.	□ 11.G.			
Use a	a separate DRP	for each event or <i>proceeding</i> . The same e	vent or <i>proceeding</i> may be reported for m	ore than one <i>person</i> or entity using one DRP. File with	h a completed Execution Page.
	•	t in more than one affirmative answer to I gulator, provide details for each action on		se only one DRP to report details related to the same	e event. If an event gives rise to actions
PART	· I				
		r entity(ies) for whom this DRP is being file	ed is (are):		
	O You and one	e or more of your advisory affiliates			
		e of your advisory affiliates			
		eing filed for an <i>advisory affiliate</i> , give the f affiliate has a <i>CRD</i> number, provide that nu	· ·	individuals, Last name, First name, Middle name). checking the appropriate box.	
	ADV DRP - ADV	ISORY AFFILIATE			
	CRD Number:		This advisory affiliate is • a Firm • an	ndividual	
	Registered:	C Yes			
		(For individuals, Last, First, Middle)			
	This DRP sho	ould be removed from the ADV record becould be removed from the ADV record become porting as an exempt reporting adviser with	ause: (1) the event or <i>proceeding</i> occurred	more than ten years ago or (2) the adviser is regist	ered or applying for registration with
				event you reported only in response to Item 11.D(4) ny event listed in Item 11 that occurred more than t	•
	☐ This DRP sho	ould be removed from the ADV record because	ause it was filed in error, such as due to a	clerical or data-entry mistake. Explain the circumsta	nces:
B.	•	affiliate is registered through the IARD syst " no other information on this DRP must b	· · · · · · · · · · · · · · · · · · ·	te submitted a DRP (with Form ADV, BD or U-4) to the	e IARD or CRD for the event? If the
	O yes ⊙ N	0			
	NOTE: The com	pletion of this form does not relieve the ac	dvisory affiliate of its obligation to update i	s IARD or <i>CRD</i> records.	
PART	- 11				
1.	Regulatory Action	on initiated by: er Federal OState OSRO OForeign			
		egulator, <i>foreign financial regulatory authori</i> NAZIONALE PER LE SOCIETA E LA BORSA -			
2.	Principal Sanction Civil and Admin Other Sanctions	istrative Penalt(ies) /Fine(s)			
	Date Initiated (N	,			
		Exact C Explanation pvide explanation:			
4.	Docket/Case Nu	umber:			
5.	Advisory Affiliate	e Employing Firm when activity occurred w	hich led to the regulatory action (if applica	ole):	
6.	Principal Produc	et Type:			
	Other Product T	ypes: EQUITY SECURITY OF AN ITALIAN ISSUER			
7.	Describe the all	egations related to this regulatory action	(your response must fit within the space	provided):	

CERTAIN OWNERS	SHIP THRESHOLDS.				
8. Current Status?	O Pending O On Appeal O Fir	nal			
9. If on appeal, regu	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:				
If Final or On Appeal,	complete all items below. For Pending Acti	ons, complete Item 13 only.			
10. How was matter Settled	resolved:				
11. Resolution Date (N	MM/DD/YYYY):				
08/12/2013	Exact C Explanation ride explanation:				
12. Resolution Detail:					
A. Were any of	the following Sanctions <i>Ordered</i> (check al	Lappropriate items)?			
•	ry/Fine Amount: \$ 13,340.00				
	ion/Expulsion/Denial		☐ Disgorgement/Restitution		
☐ Censure	•		☐ Cease and Desist/Injunction		
☐ Bar					
	ions <i>Ordered:</i>		☐ Suspension		
CONSOB IMF  13. Provide a brief su  MONETARY FINE V	WAS PAID ON AUGUST 12, 2013.	tus and (or) disposition and include  GENERAL INS	TRUCTIONS	response must fit within the space provided 1.C., 11.D., 11.E., 11.F. or 11.G. of Form AD	
		Regulatory	Action		
Check item(s) being re	·				
□ 11.C(1)	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)	
□ 11.D(1)	<b>☑</b> 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)	
□ 11.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)		
□ 11.F.	<b>□</b> 11.G.				
Use a separate DRP fo	r each event or <i>proceeding</i> . The same eve	ent or <i>proceeding</i> may be reported fo	r more than one <i>person</i> or entity using one	DRP. File with a completed Execution Page.	
•	in more than one affirmative answer to Ite ulator, provide details for each action on a		G. Use only one DRP to report details relate	d to the same event. If an event gives rise t	o action
PART I					
A. The <i>person(s)</i> or $\bullet$ O You (the advise)	entity(ies) for whom this DRP is being filed ory firm)	is (are):			
O You and one o	or more of your advisory affiliates				
	of your advisory affiliates				
	ng filed for an <i>advisory affiliate</i> , give the full iliate has a <i>CRD</i> number, provide that num	-	(for individuals, Last name, First name, Mid " by checking the appropriate box.	dle name).	
ADV DRP - ADVIS	SORY AFFILIATE				

THE CONSOB ALLEGED THAT BLACKROCK HAD NOT FILED, WITHIN THE SPECIFIED TIME PERIOD, REPORTS THAT ITS COLLECTIVE OWNERSHIP OF SECURITIES IN AN ITALIAN ISSUER CROSSED

	CRD Number:		This advisory affiliate	ate is 🌀 a Firm 🤼 an Individual
	Registered: Name:	C Yes	, First, Middle)	
	This DRP sho	ould be removed from	the ADV record because: (1) the event o	ffiliate(s) is no longer associated with the adviser. or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with e event was resolved in the adviser's or advisory affiliate's favor.
		•		y remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred mor hay remove a DRP for any event listed in Item 11 that occurred more than ten years ago.
	This DRP sho	ould be removed from	the ADV record because it was filed in er	error, such as due to a clerical or data-entry mistake. Explain the circumstances:
В.	-	-	ough the IARD system or <i>CRD</i> system, h on this DRP must be provided.	has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the
	O Yes O N	0		
	NOTE: The comp	pletion of this form doe	es not relieve the <i>advisory affiliate</i> of its c	obligation to update its IARD or <i>CRD</i> records.
PAF	RT II			
1.	Regulatory Action SEC Other	on initiated by: er Federal 🁩 State 👍	O SRO O Foreign	
	(Full name of re		al regulatory authority, federal, state, or s	- SRO)
2.	Principal Sanctic Undertaking Other Sanctions			
3.		MM/DD/YYYY):  Exact C Explanation:	n	
4.	Docket/Case Nu ASSURANCE NO			
5.	Advisory Affiliate	e Employing Firm when	activity occurred which led to the regula	latory action (if applicable):
6.	Principal Produc Equity Listed (C Other Product T	Common & Preferred Ste	ock)	
7.		•	s regulatory action (your response must JSE OF CERTAIN ANALYST SURVEYS VIOL	st fit within the space provided): DLATED NEW YORK'S MARTIN ACT AND EXECUTIVE LAW.
8.	Current Status?	O Pending O	On Appeal <b>©</b> Final	
9.	If on appeal, re	gulatory action appeal	ed to (SEC, <i>SRO</i> , Federal or State Court)	t) and Date Appeal Filed:
lf	Final or On Appeal	I, complete all items be	elow. For Pending Actions, complete Item	em 13 only.
10	O. How was matte	er resolved:		
11	. Resolution Date	(MM/DD/YYYY):		
		Exact $f C$ Explanation:	n	
12	. Resolution Deta	nil:		
	_	of the following Sancti ary/Fine Amount: \$	ons <i>Ordered</i> (check all appropriate items)	is)?

■ Revocation/Expu	ılsion/Denial	L	□ Disgorgement/Restitution		
☐ Censure		Γ	Cease and Desist/Injunction		
■ Bar		[	Suspension		
requalification by exa disposition resulted i portion of penalty wa	CONTINUANCE ispended, enjoined or barred, prov am/retraining was a condition of th in a fine, penalty, restitution, disg	ne sanction, provide length of time giver orgement or monetary compensation, p	n to requalify/retrain, type of exam req	ncipal, Financial Operations Principal, etc.). If uired and whether condition has been satisfic inst you or an <i>advisory affiliate</i> , date paid and	ed. If
ON JANUARY 8, 2014, BLAG ALLEGATIONS BY THE AG 1	CKROCK, INC. ("BLACKROCK") ENT THAT BLACKROCK'S USE OF ANALY WITHOUT ADMITTING OR DENYING	TERED INTO AN ASSURANCE OF DISCONT ST SURVEYS VIOLATED NEW YORK'S MAR	FINUANCE ("AOD") WITH THE NEW YORK	response must fit within the space provided) ( ATTORNEY GENERAL'S OFFICE ("AG") TO SET REEMENT DID NOT INVOLVE THE PAYMENT OF ND AGREED TO PAY THE AG \$400,000 TOWARI	TTLE ANY
		GENERAL INSTRUC			
This Disclosure Reporting Page	(DRP ADV) is an O INITIAL OR ©			1.C., 11.D., 11.E., 11.F. or 11.G. of Form AD\	<i>/</i> .
Check item(s) being responded	I to	Regulatory Act	ion		
□ 11.C(1)	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	☐ 11.C(5)	
□ 11.D(1)	<b>☑</b> 11.D(2)	□ 11.D(3)	□ 11.D(4)	☐ 11.D(5)	
	• •	• •	• •	□ 11.D(5)	
□ 11.E(1) □ 11.F.	□ 11.E(2) □ 11.G.	□ 11.E(3)	□ 11.E(4)		
Use a separate DRP for each e	vent or <i>proceeding</i> . The same eve	nt or <i>proceeding</i> may be reported for mo	ore than one <i>person</i> or entity using one	DRP. File with a completed Execution Page.	
_	than one affirmative answer to Ite		se only one DRP to report details relate	d to the same event. If an event gives rise to	action
by more than one regulator, pr	ovide details for each action on a	Separate DN .			
PART I					
A. The <i>person(s)</i> or entity(ies  O You (the advisory firm)	s) for whom this DRP is being filed	is (are):			
O You and one or more o	of your advisory affiliates				
One or more of your ac					
		name of the <i>advisory affiliate</i> below (for per. If not, indicate "non-registered" by		dle name).	
ADV DRP - ADVISORY AFF	TLIATE				
CRD Number:	Т	his <i>advisory affiliate</i> is <b>©</b> a Firm <b>O</b> an	Individual		
Registered: O Yes					
Name: BLACKRO					
This DRP should be ren the SEC or reporting a If you are registered or re than ten years ago. If you	moved from the ADV record becauses an exempt reporting adviser with egistering with a state securities as under registering with	the SEC and the event was resolved in uthority, you may remove a DRP for an h the SEC, you may remove a DRP for a	more than ten years ago or (2) the ad the adviser's or advisory affiliate's favo event you reported only in response to any event listed in Item 11 that occurred	Item 11.D(4), and only if that event occurred more than ten years ago.	
		se it was filed in error, such as due to a		the circumstances: or U-4) to the IARD or <i>CRD</i> for the event? If t	he
_	information on this DRP must be	•	ic submitted a DRF (WITH FOITH ADV, BD	or 5-4) to the IARD of CRD for the event? If t	HE
	this form does not relieve the <i>advi</i>	sory affiliate of its obligation to update it	s IARD or <i>CRD</i> records.		

	PART II  1. Regulatory Action initiated by:  OSEC Other Federal OState OSRO Foreign	
	(Full name of regulator, <i>foreign financial regulatory authority</i> , federal, state, or <i>SRO</i> ) FINANSINSPEKTIONEN (FINANCIAL SUPERVISORY AUTHORITY OF SWEDEN)	
2.	2. Principal Sanction:	
	Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	
3.	3. Date Initiated (MM/DD/YYYY):  09/11/2013 © Exact C Explanation	
	If not exact, provide explanation:	
4.	4. Docket/Case Number:	
5.	5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):	
6.	6. Principal Product Type: Other	
	Other Product Types: INVESTMENT IN EQUITY SECURITIES OF A SWEDISH ISSUER.	
7.	7. Describe the allegations related to this regulatory action (your response must fit within the space provid THE FINANCIAL SUPERVISORY AUTHORITY OF SWEDEN ALLEGED THAT BLACKROCK INC. HAD NOT FILED, SECURITIES IN THE SWEDISH ISSUER, ASSA ABLOY AB, CROSSED CERTAIN OWNERSHIP THRESHOLDS.	
8.	8. Current Status? Opending Open On Appeal Open Final	
9.	9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:	
lf F	If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.	
10.	10. How was matter resolved:  Settled	
11.	11. Resolution Date (MM/DD/YYYY):	
	01/27/2014 © Exact © Explanation  If not exact, provide explanation:	
12.	12. Resolution Detail:	
	A. Were any of the following Sanctions Ordered (check all appropriate items)?	
	Monetary/Fine Amount: \$ 46,300.00	
		gorgement/Restitution
		se and Desist/Injunction pension
	B. Other Sanctions <i>Ordered:</i>	
	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacitic requalification by exam/retraining was a condition of the sanction, provide length of time given to redisposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide portion of penalty was waived:  FINANCIAL SUPERVISORY AUTHORITY OF SWEDEN IMPOSED A SPECIAL FEE OF 300,000 SEK (APPRO	equalify/retrain, type of exam required and whether condition has been satisfied. If a total amount, portion levied against you or an advisory affiliate, date paid and if any
13.	13. Provide a brief summary of details related to the action status and (or) disposition and include relevant t BLACKROCK, INC., PAID THE SPECIAL FEE ON JANUARY 27, 2014	erms, conditions and dates (your response must fit within the space provided).

		Regulatory Ac	tion	
Check item(s) being		_	_	_
□ 11.C(1)	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)
■ 11.D(1)	<b>☑</b> 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)
□ 11.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	
□ 11.F.	□ 11.G.			
	for each event or <i>proceeding</i> . The same even			DRP. File with a completed Execution Page.
•	gulator, provide details for each action on a s			S .
PART I A. The <i>person(s)</i> or	r entity(ies) for whom this DRP is being filed i:	s (are):		
O You (the adv				
	or more of your advisory affiliates			
One or more	of your advisory affiliates			
	ing filed for an <i>advisory affiliate</i> , give the full r ffiliate has a CRD number, provide that number	•		dle name).
ADV DRP - ADV	ISORY AFFILIATE			
CRD Number:	Th	s <i>advisory affiliate</i> is <b>ⓒ</b> a Firm <b>˚</b> an	Individual	
Registered:	O yes • No			
Name:	BLACKROCK, INC. (For individuals, Last, First, Middle)			
than ten years  This DRP sho  B. If the advisory a answer is "Yes,"  Yes N  NOTE: The compared to the compared	ago. If you are registered or registering with buld be removed from the ADV record because of the segistered through the IARD system no other information on this DRP must be proposed of this form does not relieve the adviserable.	the SEC, you may remove a DRP for e it was filed in error, such as due to a or <i>CRD</i> system, has the <i>advisory affilia</i> rovided.	any event listed in Item 11 that occurred a clerical or data-entry mistake. Explain the ate submitted a DRP (with Form ADV, BD)	•
1. Regulatory Action SEC Other	on initiated by: er Federal OState OSRO OForeign			
(Full name of re	gulator, foreign financial regulatory authority, f IONEN (SWEDISH FINANCIAL SUPERVISORY A			
Principal Sanction     Civil and Adminitry     Other Sanctions	strative Penalt(ies) /Fine(s)			
	MM/DD/YYYY):  Exact © Explanation  ovide explanation:			
4. Docket/Case Nu	ımber:			
5. Advisory Affiliate	Employing Firm when activity occurred which	led to the regulatory action (if application)	able):	
6. Principal Produc	t Type:			

INV	INVESTMENT IN CANADIAN EQUITY SECURITIES				
7 5					
	· ·	•	action (your response must fit within the spac	•	DV NOT FILLING IN CWEDEN, WITHIN A DDECCDIDED
					BY NOT FILING IN SWEDEN, WITHIN A PRESCRIBED STING ON TORONTO STOCK EXCHANGE AND A LISTING OF
			STOCKHOLM) CROSSED CERTAIN OWNERSHIP		THING ON TORONTO STOCK EXCHANGE AND A LISTING OF
			,		
O Cur	rent Status? Pending	On Appeal	© Final		
8. Cur	rent Status? • Pending	on Appear	Final		
0 16 -			DO Federal or Chata Count) and Data Annual I	71 - J	
9. If C	n appeal, regulatory action a	ppealed to (SEC, SI	RO, Federal or State Court) and Date Appeal F	··llea:	
If Final	or On Appeal, complete all ite	ms below. For Pend	ling Actions, complete Item 13 only.		
	w was matter resolved:				
Dec	cision				
11 D-					
II. Res	solution Date (MM/DD/YYYY):				
10/	′15/2014 🌀 Exact 🔼 Expla	anation			
lf r	ot exact, provide explanation	:			
12. Res	solution Detail:				
A.	Were any of the following S	Sanctions <i>Ordered</i> (d	check all appropriate items)?		
	Monetary/Fine Amount:	\$ 138,200.00			
	Revocation/Expulsion/E			☐ Disgorgement/Restitution	
	☐ Censure			Cease and Desist/Injunction	
	☐ Bar			Suspension	
B.	Other Sanctions Ordered:			·	
	•	•		•	s Principal, Financial Operations Principal, etc.). If
		· ·	·	. 3	required and whether condition has been satisfied. If
	portion of penalty was wais		on, disgorgement or monetary compensation	provide total amount, portion levied	against you or an advisory affiliate, date paid and if any
			DEN IMPOSED A SPECIAL FEE OF 1,000,000 SE	EK (APPROXIMATELY \$138,200 USD). E	BLACKROCK, INC. PAID THE SPECIAL FEE ON OCTOBER
	15, 2014.				
13. Pro	vide a brief summary of deta	ils related to the ac	tion status and (or) disposition and include re	elevant terms, conditions and dates (y	our response must fit within the space provided).
BLA	ACKROCK, INC. PAID THE SPE	CIAL FEE ON OCTO	BER 15, 2014		
			GENERAL INSTR	LICTIONS	
This Disc	closure Reporting Page (DRP A	NDV) is an 🙇 INITIA			ms 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.
	gg . (		OR •		
			Regulatory A	action	
Check it	em(s) being responded to:				
<b>☑</b> 11.C	(1)	<b>☑</b> 11.C(2)	<b>☑</b> 11.C(3)	<b>☑</b> 11.C(4)	<b>☑</b> 11.C(5)
□ 11.D	(1)	□ 11.D(2)	<b>□</b> 11.D(3)	□ 11.D(4)	□ 11.D(5)
□ 11.E(	(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	
□ 11.F.		□ 11.G.			
	1 000 (	<del></del>			DDD 5" " " D
use a se	parate DRP for each event or	<i>proceeding</i> . The sa	ame event or <i>proceeding</i> may be reported for	more than one <i>person</i> or entity using o	one DRP. File with a completed Execution Page.
One eve	nt may result in more than or	ne affirmative answe	er to Items 11.C., 11.D., 11.E., 11.F. or 11.G.	Use only one DRP to report details re	elated to the same event. If an event gives rise to actions
	than one regulator, provide of			,	· ·
5.57					
PART I	norman(a) an an-titud	hom this DDD '	ing filed is (ors):		
	e person(s) or entity(ies) for w	mom this DRP is bei	ing nied is (are):		
	You (the advisory firm)				
0	You and one or more of your	advisory affiliates			
	One or more of your advisory				

Other Product Types:

		eing filed for an <i>advisory affiliate</i> , give the full name of the <i>advisory affiliate</i> below (for individuals, Last name, First name, Middle name).  If not, indicate "non-registered" by checking the appropriate box.
	ADV DRP - ADV	VISORY AFFILIATE
	CRD Number:	This <i>advisory affiliate</i> is <b>©</b> a Firm <b>O</b> an Individual
	Registered: Name:	O Yes O No BLACKROCK,INC (For individuals, Last, First, Middle)
	This DRP sh	ould be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser.  ould be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is registered or applying for registration with reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.
	, ,	stered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.
	This DRP sh	ould be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:
B.	•	affiliate is registered through the IARD system or <i>CRD</i> system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or <i>CRD</i> for the event? If the "no other information on this DRP must be provided.
		upletion of this form does not relieve the <i>advisory affiliate</i> of its obligation to update its IARD or <i>CRD</i> records.
PAR 1.	T II Regulatory Action	on initiated by:
		er Federal O State O <sub>SRO</sub> O <sup>Foreign</sup>
		egulator, <i>foreign financial regulatory authority</i> , federal, state, or <i>SRO</i> )  D EXCHANGE COMMISSION
2.	VIOLATIONS OF	ist
3.	Date Initiated (N	MM/DD/YYYY):
		Exact C Explanation ovide explanation:
4.	Docket/Case Nu FILE NO. 3-165	
5.	Advisory Affiliate	e Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Product No Product Other Product T	
7.	ON APRIL 20, 20 FORMER PORTFO ADMINISTRATIV	legations related to this regulatory action (your response must fit within the space provided): 015, THE SECURITIES AND EXCHANGE COMMISSION ("SEC") ANNOUNCED AN AGREEMENT WITH BAL, TO SETTLE FINDINGS RELATING TO BAL'S HANDLING AND DISCLOSURE OF 0LIO MANAGER'S PERSONAL INVESTMENTS AND INVOLVEMENT IN A FAMILY BUSINESS. WITHOUT ADMITTING OR DENYING WRONGDOING, BAL AGREED TO THE ENTRY OF AN VE ORDER CONTAINING FINDINGS THAT BAL VIOLATED SECTION 206(2) AND SECTION 206(4) OF THE INVESTMENT ADVISERS ACT OF 1940 AND RULE 206(4)-7 THEREUNDER, AN ATION OF RULE 38A-1 OF THE INVESTMENT COMPANY ACT OF 1940.
8.	Current Status?	Pending On Appeal Final
9.	If on appeal, re	egulatory action appealed to (SEC, <i>SRO,</i> Federal or State Court) and Date Appeal Filed:
If F	inal or On Appea	II, complete all items below. For Pending Actions, complete Item 13 only.

D					
	Decision & Orde	er of Offer of Settlement			
11. R	Resolution Date	e (MM/DD/YYYY):			
0	M/20/2015 <b>©</b>	Exact C Explanation			
		rovide explanation:			
12. R	Resolution Deta	ail:			
		of the following Sanctions <i>Ordered</i> (check	all appropriate items)?		
,	•	tary/Fine Amount: \$ 12,000,000.00	an appropriate items).		
		cation/Expulsion/Denial		Disgorgement/Restitution	
	<b>☑</b> Censu	'		Cease and Desist/Injunction	
	■ Bar			Suspension	
[	B. Other San UNDERTAK	nctions <i>Ordered:</i> KING			
	requalifica disposition portion of PER THE S	ation by exam/retraining was a condition on resulted in a fine, penalty, restitution, do penalty was waived:	f the sanction, provide length of time given isgorgement or monetary compensation, pr	to requalify/retrain, type of exam rovide total amount, portion levied a	Principal, Financial Operations Principal, etc.). If required and whether condition has been satisfied. If against you or an <i>advisory affiliate</i> , date paid and if any T COMPLIANCE CONSULTANT TO REVIEW ITS OUTSIDE
C B P A	ON APRIL 20, 20 BAL'S HANDLIN PENALTY ON AP	015, THE SECURITIES AND EXCHANGE CON G AND DISCLOSURE OF A FORMER PORTFO PRIL 24, 2015 AND BAL HAS RETAINED AN	MMISSION ("SEC") ANNOUNCED AN AGREEM DLIO MANAGER'S PERSONAL INVESTMENTS A INDEPENDENT COMPLIANCE CONSULTANT T	ENT WITH BAL, A SUBSIDIARY OF B IND INVOLVEMENT IN A FAMILY BUS O REVIEW ITS OUTSIDE ACTIVITY P	Dur response must fit within the space provided).  LACKROCK, INC., TO SETTLE CHARGES RELATING TO INESS. BAL PAID THE \$12 MILLION CIVIL MONEY OLICY AND ANY RELATED CONFLICTS. BAL NEITHER ALL ADVERSE EFFECT ON ITS FINANCIAL RESULTS OR
his Di	isclosure Reno	orting Page (DRP ADV) is an A INITIAL	GENERAL INSTRUC		ns 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.
		or	, <b>(</b> )		
			Regulatory Acti	on	
			Regulatory Activ		
		responded to:	,	<b>-</b>	<b>5</b>
<b>1</b> 1.	.C(1)	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)
<b>1</b> 1.	.C(1) D(1)	☐ 11.C(2) ☐ 11.D(2)	☐ 11.C(3) ☐ 11.D(3)	□ 11.D(4)	☐ 11.C(5) ☐ 11.D(5)
11. 11. 11.	C(1) D(1) E(1)	☐ 11.C(2) ☐ 11.D(2) ☐ 11.E(2)	□ 11.C(3)	• •	* *
11. 11. 11.	C(1) D(1) E(1)	☐ 11.C(2) ☐ 11.D(2)	☐ 11.C(3) ☐ 11.D(3)	□ 11.D(4)	* *
11. 11. 11. 11. se a	.C(1) .D(1) .E(1) F.	☐ 11.C(2) ☐ 11.D(2) ☐ 11.E(2) ☐ 11.G.  for each event or <i>proceeding</i> . The same expressions are supported by the same expression of the same expression.	☐ 11.C(3) ☐ 11.D(3) ☐ 11.E(3)  event or <i>proceeding</i> may be reported for more	☐ 11.D(4) ☐ 11.E(4) re than one <i>person</i> or entity using o	□ 11.D(5)  one DRP. File with a completed Execution Page.
11. 11. 11. 11. se a	C(1) D(1) E(1) F. separate DRP	☐ 11.C(2) ☐ 11.D(2) ☐ 11.E(2) ☐ 11.G.  for each event or <i>proceeding</i> . The same expressions are supported by the same expression of the same expression.	☐ 11.C(3) ☐ 11.D(3) ☐ 11.E(3)  Event or <i>proceeding</i> may be reported for more litems 11.C., 11.D., 11.E., 11.F. or 11.G. Us	☐ 11.D(4) ☐ 11.E(4) re than one <i>person</i> or entity using o	□ 11.D(5)  one DRP. File with a completed Execution Page.
11. 11. 11. 11. 11. se a :	C(1) D(1) E(1) F. separate DRP vent may result re than one re	☐ 11.C(2) ☐ 11.D(2) ☐ 11.E(2) ☐ 11.G.  for each event or <i>proceeding</i> . The same expression of the same of the sam	☐ 11.C(3) ☐ 11.D(3) ☐ 11.E(3)  Event or <i>proceeding</i> may be reported for more litems 11.C., 11.D., 11.E., 11.F. or 11.G. Us	☐ 11.D(4) ☐ 11.E(4) re than one <i>person</i> or entity using o	□ 11.D(5)  one DRP. File with a completed Execution Page.
11. 11. 11. 11. 11. 1se a : 1ne ev y moi	C(1) D(1) E(1) F. separate DRP vent may result re than one re	☐ 11.C(2) ☐ 11.D(2) ☐ 11.E(2) ☐ 11.G.  for each event or <i>proceeding</i> . The same expectation of the same of the sa	☐ 11.C(3) ☐ 11.D(3) ☐ 11.E(3)  Event or <i>proceeding</i> may be reported for more litems 11.C., 11.D., 11.E., 11.F. or 11.G. Usin a separate DRP.	☐ 11.D(4) ☐ 11.E(4) re than one <i>person</i> or entity using o	□ 11.D(5)  one DRP. File with a completed Execution Page.
11. 11. 11. 11. se a :	C(1) D(1) E(1) F. separate DRP vent may result re than one re The person(s) of You (the adv	☐ 11.C(2) ☐ 11.D(2) ☐ 11.E(2) ☐ 11.G.  for each event or <i>proceeding</i> . The same experiments of the same of the sa	☐ 11.C(3) ☐ 11.D(3) ☐ 11.E(3)  Event or <i>proceeding</i> may be reported for more litems 11.C., 11.D., 11.E., 11.F. or 11.G. Usin a separate DRP.	☐ 11.D(4) ☐ 11.E(4) re than one <i>person</i> or entity using o	□ 11.D(5)  one DRP. File with a completed Execution Page.
11. 11. 11. 11. 1se a: One ev y moi	c(1) D(1) E(1) F. separate DRP vent may result re than one re the person(s) of You (the adv	☐ 11.C(2) ☐ 11.D(2) ☐ 11.E(2) ☐ 11.G.  for each event or <i>proceeding</i> . The same expected in the same of the same	☐ 11.C(3) ☐ 11.D(3) ☐ 11.E(3)  Event or <i>proceeding</i> may be reported for more litems 11.C., 11.D., 11.E., 11.F. or 11.G. Usin a separate DRP.	☐ 11.D(4) ☐ 11.E(4) re than one <i>person</i> or entity using o	□ 11.D(5)
ane expression of the control of the	cC(1) D(1) E(1) F.  separate DRP  vent may result re than one re  The person(s) of You (the advection of You and one of this DRP is before this DRP is before the person of	☐ 11.C(2) ☐ 11.D(2) ☐ 11.E(2) ☐ 11.G.  for each event or <i>proceeding</i> . The same expected in the same of the same	☐ 11.C(3) ☐ 11.D(3) ☐ 11.E(3)  Event or <i>proceeding</i> may be reported for more litems 11.C., 11.D., 11.E., 11.F. or 11.G. Usin a separate DRP.	11.D(4) 11.E(4)  The than one <i>person</i> or entity using one only one DRP to report details release only one DRP to report details release.	ne DRP. File with a completed Execution Page.  ated to the same event. If an event gives rise to actions
anne ev y moi	c(1) D(1) E(1) F.  separate DRP  vent may result re than one re  The person(s) of You (the advition of You and one of You and one of this DRP is been the advisory as	☐ 11.C(2) ☐ 11.D(2) ☐ 11.E(2) ☐ 11.G.  for each event or <i>proceeding</i> . The same expected in the same of the same	In 11.C(3) In 11.D(3) In 11.E(3)  Event or proceeding may be reported for more litems 11.C., 11.D., 11.E., 11.F. or 11.G. Using a separate DRP.  Full name of the advisory affiliate below (for incomplete in the interval of the advisory affiliate below)	11.D(4) 11.E(4)  The than one <i>person</i> or entity using one only one DRP to report details release only one DRP to report details release.	ne DRP. File with a completed Execution Page.  ated to the same event. If an event gives rise to actions
ane expression of the second s	Separate DRP  vent may result re than one re  The person(s) of You (the advisory and one of this DRP is been the advisory and	In 11.C(2) In 11.D(2) In 11.E(2) In 11.G.  In 11.G.  In 11.G.  In 11.C(2) In 11.E(2) In 11.G.  I	In 11.C(3) In 11.D(3) In 11.E(3)  Event or proceeding may be reported for more litems 11.C., 11.D., 11.E., 11.F. or 11.G. Using a separate DRP.  Full name of the advisory affiliate below (for items) and the indicate "non-registered" by the importance of the import	11.D(4) 11.E(4)  re than one <i>person</i> or entity using one only one DRP to report details released and individuals, Last name, First name, I checking the appropriate box.	ne DRP. File with a completed Execution Page.  ated to the same event. If an event gives rise to actions
anne expression of the second	cC(1) D(1) E(1) E(1) F.  separate DRP  vent may result re than one re  The person(s) of You (the advisory and one of this DRP is been for the advisory and content of the	In 11.C(2) In 11.D(2) In 11.E(2) In 11.G.  In	In 11.C(3) In 11.D(3) In 11.E(3)  Event or proceeding may be reported for more litems 11.C., 11.D., 11.E., 11.F. or 11.G. Using a separate DRP.  Full name of the advisory affiliate below (for incomplete in the interval of the advisory affiliate below)	11.D(4) 11.E(4)  re than one <i>person</i> or entity using one only one DRP to report details released and individuals, Last name, First name, I checking the appropriate box.	ne DRP. File with a completed Execution Page.  ated to the same event. If an event gives rise to actions
and the second s	separate DRP  vent may result re than one re  The person(s) of You (the advisory and one of this DRP is been than advisory and the advisory an	☐ 11.C(2) ☐ 11.D(2) ☐ 11.E(2) ☐ 11.G.  for each event or proceeding. The same expected that the expected process of the expec	In 11.C(3) In 11.D(3) In 11.E(3)  Event or proceeding may be reported for more litems 11.C., 11.D., 11.E., 11.F. or 11.G. Using a separate DRP.  Full name of the advisory affiliate below (for items) and the indicate "non-registered" by the importance of the import	11.D(4) 11.E(4)  re than one <i>person</i> or entity using one only one DRP to report details released and individuals, Last name, First name, I checking the appropriate box.	ne DRP. File with a completed Execution Page.  ated to the same event. If an event gives rise to actions
and the second s	cC(1) D(1) E(1) E(1) F.  separate DRP  vent may result re than one re  The person(s) of You (the advisory and one of this DRP is been for the advisory and content of the	In 11.C(2) In 11.D(2) In 11.E(2) In 11.G.  In	In 11.C(3) In 11.D(3) In 11.E(3)  Event or proceeding may be reported for more litems 11.C., 11.D., 11.E., 11.F. or 11.G. Using a separate DRP.  Full name of the advisory affiliate below (for items) and the indicate "non-registered" by the importance of the import	11.D(4) 11.E(4)  re than one <i>person</i> or entity using one only one DRP to report details released and individuals, Last name, First name, I checking the appropriate box.	ne DRP. File with a completed Execution Page.  ated to the same event. If an event gives rise to actions

	This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurr the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved	
	If you are registered or registering with a <i>state securities authority</i> , you may remove a DRP for a than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for	
	$\square$ This DRP should be removed from the ADV record because it was filed in error, such as due to	a clerical or data-entry mistake. Explain the circumstances:
B.	If the <i>advisory affiliate</i> is registered through the IARD system or <i>CRD</i> system, has the <i>advisory affiliate</i> answer is "Yes," no other information on this DRP must be provided.	liate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the
	O Yes	
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update	its IARD or <i>CRD</i> records.
PART	T	
	Regulatory Action initiated by:	
	OSEC Other Federal OState OSRO Foreign	
	(Full name of regulator, <i>foreign financial regulatory authority</i> , federal, state, or <i>SRO</i> ) FINANSSIVALVONTA - THE FINANCIAL SUPERVISORY AUTHORITY OF FINLAND	
2.	Principal Sanction:	
	Reprimand Other Sanctions:	
3.	Date Initiated (MM/DD/YYYY):	
	05/26/2015 © Exact © Explanation  If not exact, provide explanation:	
4	Docket/Case Number:	
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if appli	cable):
6.	Principal Product Type: Other	
	Other Product Types: INVESTMENT IN EQUITY SECURITIES OF A FINNISH ISSUER.	
7.	Describe the allegations related to this regulatory action (your response must fit within the space	e provided):
	ON SEPTEMBER 12, 2013, BLACKROCK, INC. BROUGHT TO THE ATTENTION OF THE FINANCIAL SUP WITHIN THE SPECIFIED TIME PERIOD, A NOTIFICATION THAT THE INDIRECT AGGREGATE SHAREHONOTIFICATION").	
8.	Current Status? Pending On Appeal Final	
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal R	Filed:
If Fi	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.	
10.	How was matter resolved: Decision	
11.	Resolution Date (MM/DD/YYYY):	
	06/05/2015 © Exact C Explanation	
	If not exact, provide explanation:	
12.	Resolution Detail:	
	A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?	
	☐ Monetary/Fine Amount: \$	
	☐ Revocation/Expulsion/Denial ☐ Censure	Disgorgement/Restitution  Coass and Desist/Universities
	□ Censure □ Bar	☐ Cease and Desist/Injunction ☐ Suspension
	B. Other Sanctions <i>Ordered:</i>	

THE FINNISH FSA ISSUED A PUBLIC REPRIMAND TO BLACKROCK, INC. Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived: ON JUNE 5, 2015, THE FINNISH FSA ISSUED A PUBLIC REPRIMAND TO BLACKROCK, INC. BECAUSE OF THE LATE NOTIFICATION. 13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided). BLACKROCK, INC. IS NOT APPEALING THE DECISION AND CONSIDERS THE MATTER CLOSED. GENERAL INSTRUCTIONS This Disclosure Reporting Page (DRP ADV) is an 💍 INITIAL OR 💿 AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV. Regulatory Action Check item(s) being responded to: □ 11.C(2) 11.C(3) □ 11.C(4) 11.C(5) □ 11.C(1) □ 11.D(3) □ 11.D(4) 11.D(5) □ 11.D(1) **☑** 11.D(2) □ 11.E(1) □ 11.E(2) **1**11.E(3) □ 11.E(4) 11.F. □ 11.G. Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page. One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP. A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are): You (the advisory firm) O You and one or more of your advisory affiliates • One or more of your advisory affiliates If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name). If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD Number: This advisory affiliate is 
a Firm an Individual Registered: C Yes © No Name: BLACKROCK, INC. (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser's or advisory affiliate's favor. If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago. This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances: If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided. C Yes © No NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records. PART II 1. Regulatory Action initiated by:  $_{
m C}$  SEC  $_{
m C}$  Other Federal  $_{
m C}$  State  $_{
m C}$   $_{
m SRO}$   $_{
m C}$  Foreign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) FINANSINSPEKTIONEN - THE FINANCIAL SUPERVISORY AUTHORITY OF SWEDEN

2.	Principal Sanction:					
	Civil and Administrative Penalt(i	es) /Fine(s)				
	Other Sanctions:					
3.	Date Initiated (MM/DD/YYYY):					
	04/29/2015 © Exact © Expl If not exact, provide explanation					
4.	Docket/Case Number: FI REG NO. 14-16729					
5.	Advisory Affiliate Employing Firm	when activity occurred	which led to the regulatory action (if appli	cable):		
6.	Principal Product Type:					
	Other					
	Other Product Types:					
	INVESTMENT IN EQUITY SECURI	TIES OF A SWEDISH ISS	UER.			
7.	7. Describe the allegations related to this regulatory action (your response must fit within the space provided): ON OCTOBER 31, 2014, BLACKROCK, INC. BROUGHT TO THE ATTENTION OF THE FINANCIAL SUPERVISORY AUTHORITY OF SWEDEN ("SWEDISH FSA") THAT BLACKROCK, INC. HAD NOT FILED, WITHIN THE SPECIFIED TIME PERIOD, A NOTIFICATION THAT ITS INDIRECT AGGREGATE SHAREHOLDING IN A SWEDISH ISSUER, ASSA ABLOY AB, CROSSED A CERTAIN THRESHOLD ("LATE NOTIFICATION").					
8.	Current Status? C Pending	On Appeal •	Final			
9.	If on appeal, regulatory action a	appealed to (SEC, <i>SRO</i> , I	Federal or State Court) and Date Appeal F	Filed:		
lf Fi	inal or On Appeal, complete all ite	ems below. For Pending	Actions, complete Item 13 only.			
10.	How was matter resolved:					
	Decision					
11.	Resolution Date (MM/DD/YYYY):  06/10/2015 • Exact • Expl  If not exact, provide explanation					
12.	Resolution Detail:					
	A. Were any of the following	Sanctions <i>Ordered</i> (chec	k all appropriate items)?			
	Revocation/Expulsion/I	Denial		☐ Disgorgement/Restitution		
	Censure			Cease and Desist/Injunction		
	☐ Bar			☐ Suspension		
	B. Other Sanctions <i>Ordered:</i>					
Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an <i>advisory affiliate</i> , date paid and if any portion of penalty was waived:  AS A RESULT OF THE LATE NOTIFICATION, THE SWEDISH FSA NOTIFIED BLACKROCK, INC., IN A LETTER DATED APRIL 29, 2015, OF ITS DECISION TO IMPOSE A PENALTY FEE OF SEK 1,000,000 (APPROXIMATELY \$120,700 USD). BLACKROCK, INC. PAID THE PENALTY FEE ON JUNE 10, 2015.						
13.	Provide a brief summary of deta THE PENALTY FEE, INVOICE DAT		•	elevant terms, conditions and dates (you	ur response must fit within the space provided).	
			CENEDAL INSTR	PUCTIONS		
This	Disclosure Reporting Page (DRP /	ADV) is an $_{ m C}$ INITIAL $_{ m \it O}$	GENERAL INSTR  • AMENDED response used to report of		s 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.	
			Regulatory A	Action		
	ck item(s) being responded to:					
	1.C(1)	<b>☑</b> 11.C(2)	□ 11.C(3)	<b>☑</b> 11.C(4)	<b>☑</b> 11.C(5)	
<b>1</b>	1.D(1)	□ 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)	

<b>1</b> 1	□ 11.E(1) □ 11.E(2)	□ 11.E(3)	□ 11.E(4)
<b></b> 1	□ 11.F. □ 11.G.		
Use	Use a separate DRP for each event or <i>proceeding</i> . The same	event or <i>proceeding</i> may be reported for mo	ore than one <i>person</i> or entity using one DRP. File with a completed Execution Page.
One	One event may result in more than one affirmative answer to	Ditems 11 C 11 D 11 F 11 F or 11 G II	lse only one DRP to report details related to the same event. If an event gives rise to actions
	by more than one regulator, provide details for each action of		se only one but to report details related to the same event. If an event gives rise to detions
	3 71	'	
PAR	PART I		
A.	A. The person(s) or entity(ies) for whom this DRP is being to	filed is (are):	
	O You (the advisory firm)		
	O You and one or more of your advisory affiliates		
	One or more of your advisory affiliates		
	If this DRP is being filed for an advisory affiliate, give the		
	If the advisory affiliate has a CRD number, provide that r	number. If not, indicate "non-registered" by	checking the appropriate box.
	ADV DDD ADVICODY AFFILIATE		
	ADV DRP - ADVISORY AFFILIATE		
	CRD Number:	This advisory affiliate is 🖲 a Firm 🏻 🖰 an	Individual
	Registered: O vos © No	This advisory annuate is — a Firm — an	Hulvidda
	e res o No		
	Name: BLACKROCK, INC.  (For individuals, Last, First, Middle)		
	(FOI Marviadais, East, First, Middle)		
	$\square$ This DRP should be removed from the ADV record be	ocause the advisory affiliato(s) is no longer a	ssociated with the advisor
			more than ten years ago or (2) the adviser is registered or applying for registration with
	the SEC or reporting as an exempt reporting adviser		
		3 3	event you reported only in response to Item 11.D(4), and only if that event occurred more
	than ten years ago. If you are registered of registering	g with the SEC, you may remove a DRP for a	any event listed in Item 11 that occurred more than ten years ago.
	$\Box$ This DRP should be removed from the ADV record be	ecause it was filed in error, such as due to a	clerical or data-entry mistake. Explain the circumstances:
B.	B. If the <i>advisory affiliate</i> is registered through the IARD sy	stem or <i>CRD</i> system, has the <i>advisory affilia</i>	te submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the
	answer is "Yes," no other information on this DRP must	be provided.	
	C Yes ⊙ No		
	NOTE: The completion of this form does not relieve the	advisory affiliate of its obligation to update it	s IARD or <i>CRD</i> records.
	·		
PAR	PART II		
1.	Regulatory Action initiated by:		
	⊙SEC Other Federal OState OSRO OForeig	n	
	(Full name of regulator, foreign financial regulatory author	ority, federal, state, or <i>SRO</i> )	
	U.S. SECURITIES AND EXCHANGE COMMISSION		
2.	2. Principal Sanction:		
	Civil and Administrative Penalt(ies) /Fine(s)		
	Other Sanctions: CEASE AND DESIST UNDERTAKING		
	CLASE AND DESIST UNDERTAKING		
3.	3. Date Initiated (MM/DD/YYYY):		
J.	01/17/2017 © Exact © Explanation		
	If not exact, provide explanation:		
	ii flot exact, provide explanation.		
1	4. Docket/Case Number:		
4.	3-17786		
5.	5. Advisory Affiliate Employing Firm when activity occurred	which led to the regulatory action (if applica	ble):
J.	2. Advisory Ammute Employing Firm when activity occurred	s.rea to the regulatory detion (ii applica	
6.	6. Principal Product Type:		
0.	No Product		
	Other Product Types:		

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):

	("AGREEMENT") VIOLATED DODE BETWEEN OCTOBER 2011 AND M VOLUNTARY SEPARATION PAYME	D FRANK'S WHISTLEBLOWER IARCH 2016, DID NOT PROH NT FROM BLACKROCK WAIV E AGREEMENT AT ISSUE BEF	PROVISIONS, (RULE 21F-17 UNDER TH IBIT FORMER EMPLOYEES FROM REPOR' ED THEIR RIGHT TO RECOVER A MONET	E SECURITIES AND EXCHANGE ACT O TING ALLEGED WRONGDOING TO THE ARY REWARD FROM THE SEC IN CON	FORM EMPLOYEE SEPARATION AND RELEASE OF 1934). THE AGREEMENT, WHICH WAS IN U E SEC. HOWEVER, EMPLOYEES WHO ACCEPT NECTION WITH ITS WHISTLEBLOWING PROC INSTANCES IN WHICH FORMER BLACKROCK	USE TED A GRAM.
8.	Current Status? C Pending	C On Appeal 💿 Fin	al			
9.	If on appeal, regulatory action a	appealed to (SEC, <i>SRO,</i> Fede	ral or State Court) and Date Appeal Fil	ed:		
lf Fi	inal or On Appeal, complete all ite	ems below. For Pending Action	ons, complete Item 13 only.			
10.	How was matter resolved:					
	Order					
11.	Resolution Date (MM/DD/YYYY):					
	01/25/2017 © Exact C Expl If not exact, provide explanation					
12.	Resolution Detail:					
	A. Were any of the following S	Sanctions <i>Ordered</i> (check all	appropriate items)?			
	Revocation/Expulsion/		!	☐ Disgorgement/Restitution		
	Censure	Jernar		✓ Cease and Desist/Injunction		
	☐ Bar			Suspension		
13.	Sanction detail: if suspended requalification by exam/ret disposition resulted in a find portion of penalty was waith BLACKROCK PAID THE \$340.  Provide a brief summary of detail ON JANUARY 17, 2017, BLACKROCK RELEASE AGREEMENT ("AGREEM THE SEC INCLUDED A \$340,000)	ed, enjoined or barred, proveraining was a condition of the, penalty, restitution, disgived:  0,000 CIVIL MONETARY PENALUS  ills related to the action state ock INC. REACHED AN AGREENT") VIOLATED DODD FRAIP PAYMENT, WHICH WAS PAID	ne sanction, provide length of time give orgement or monetary compensation, paltry ON JANUARY 25, 2017.  Sus and (or) disposition and include release. EMENT WITH THE SEC TO RESOLVE ALLINK'S WHISTLEBLOWER PROVISIONS, (ROON JANUARY 25, 2017. BLACKROCK ALLINE SECTO SEACCES AND SEACCES	epacities affected (General Securities on to requalify/retrain, type of examination to requalify/retrain, type of examination devided and the sevant terms, conditions and dates (yellow) the securities are considered to securities.	Principal, Financial Operations Principal, etc required and whether condition has been so against you or an <i>advisory affiliate</i> , date paid our response must fit within the space prov N OF BLACKROCK'S FORM EMPLOYEE SEPARA AND EXCHANGE ACT OF 1934). THE SETTLEN PLOYEES WHO SIGNED AN AGREEMENT TO AID THE SEC UNDER ITS WHISTLEBLOWER PROPERTY	atisfied. If d and if any vided). ATION AND MENT WITH DVISE THEM
			GENERAL INSTRU			
his	Disclosure Reporting Page (DRP A	ADV) is an 👩 INITIAL <i>OR</i> 🤨	AMENDED response used to report de	etails for affirmative responses to Iten	ns 11.C., 11.D., 11.E., 11.F. or 11.G. of Forn	n ADV.
			Regulatory Ac	tion		
hec	ck item(s) being responded to:		Regulatory / to			
1	1.C(1)	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	■ 11.C(5)	
1	1.D(1)	□ 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)	
<b>1</b>	1.E(1)	<b>☑</b> 11.E(2)	□ 11.E(3)	□ 11.E(4)		
	1.F.	□ 11.G.	. ,	· ,		
					one DRP. File with a completed Execution Pa	
	event may result in more than or nore than one regulator, provide of			use only one DRP to report details rel	lated to the same event. If an event gives r	ise to actions
ART	ГІ					
	The person(s) or entity(ies) for w  O You (the advisory firm)	whom this DRP is being filed	is (are):			
	O You and one or more of your	advisory affiliates				

	One or more of your advisory affiliates
	If this DRP is being filed for an <i>advisory affiliate</i> , give the full name of the <i>advisory affiliate</i> below (for individuals, Last name, First name, Middle name).  If the <i>advisory affiliate</i> has a <i>CRD</i> number, provide that number. If not, indicate "non-registered" by checking the appropriate box.
	ADV DRP - ADVISORY AFFILIATE
	CRD Number: This advisory affiliate is  a Firm an Individual
	Registered: O Yes O No
	Name: BLACKROCK, INC.
	(For individuals, Last, First, Middle)
	This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser.  This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.
	If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.
	This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:
B.	If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.
	C Yes O No
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.
AR	т
1.	Regulatory Action initiated by:  OSEC Other Federal OState SRO OF Foreign
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) CHICAGO BOARD OF TRADE
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions: DISGORGEMENT
0	
3.	Date Initiated (MM/DD/YYYY):  01/22/2021 Exact Explanation
	If not exact, provide explanation:
4.	Docket/Case Number: CBOT 19-1230-BC
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Product Type: Futures - Commodity Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided): THE CME CONCLUDED THAT BLACKROCK VIOLATED CHICAGO BOARD OF TRADE (CBOT) RULE 562, WHICH PROHIBITS FIRMS FROM HOLDING POSITIONS ON THE CME LARGER THAN THE LIMITS PROSCRIBED BY CME RULES.
8.	Current Status? C Pending C On Appeal Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
lf F	Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved:
	Settled

11.	Resolution Date	(MM/DD/YYYY):			
	07/28/2021 🧿	Exact C Explanation			
	If not exact, pro	ovide explanation:			
12.	Resolution Deta	ill:			
	A. Were any	of the following Sanctions <i>Ordered</i> (check all	appropriate items)?		
	Moneta	ary/Fine Amount: \$ 119,605.60			
	☐ Revoca	ation/Expulsion/Denial		▼ Disgorgement/Restitution	
	Censul	re	1	Cease and Desist/Injunction	
	☐ Bar			Suspension	
	B. Other Sand	ctions <i>Ordered:</i>			
	requalificat disposition portion of IN ACCORE	tion by exam/retraining was a condition of the resulted in a fine, penalty, restitution, disgonalty was waived:	ne sanction, provide length of time give prgement or monetary compensation, p ANEL ORDERED BLACKROCK TO PAY A F	n to requalify/retrain, type of exam requorovide total amount, portion levied aga	incipal, Financial Operations Principal, etc.). If juired and whether condition has been satisfied. If ainst you or an <i>advisory affiliate</i> , date paid and if any PRDERED DISGORGEMENT IN THE AMOUNT OF
13	Provide a brief «	summary of details related to the action stat	us and (or) disposition and include rele	evant terms, conditions and dates (your	response must fit within the space provided).
	OF THE CHICAGO HELD AN ALL MO MANAGED ACCO COMBINED POSI OVERAGE ON NO HOWEVER, ON T MONETARY BENI	O BOARD OF TRADE ("CBOT") BUSINESS CONDITHS COMBINED CBOT SOYBEAN MEAL POSIDUNTS HELD AN AGGREGATE POSITION OF 6,9 ITION LIMIT FOR SOYBEAN MEAL BY 419 CONDITION OF 13, AND ATTEMPTED TO REDUCE ITS THE MORNING OF NOVEMBER 14, 2019, BLAC EFIT OF \$99,605.60 TO THE ACCOUNTS. THE	IDUCT COMMITTEE ("PANEL") FOUND TO ITION THAT EXCEEDED THE ALL MONTH 1919 CONTRACTS LONG ON NOVEMBER 1 ITRACTS, OR 6.45%, ON NOVEMBER 12 IS POSITION VIA AN EXCHANGE FOR RIS KROCK EXECUTED THE EFR AND BROUG PANEL CONCLUDED THAT BLACKROCK	HAT ON NOVEMBER 12, 2019, AND NOVE S POSITION LIMIT ON AN END OF DAY A 12, AND 6,920 CONTRACTS LONG ON NO AND BY 420 CONTRACTS, OR 6.46%, C SK ("EFR") TRANSACTION, BUT WAS UNA GHT THE ACCOUNTS' POSITIONS INTO C THEREBY VIOLATED CBOT RULE 562. IN	
This	Disclosure Repor	rting Page (DRP ADV) is an 👩 INITIAL 🚜 🕟	GENERAL INSTRU  AMENDED response used to report de		11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.
		OK O			
Cho	ck item(s) being	respended to:	Regulatory Ac	tion	
	11.C(1)	□ 11.C(2)	<b>□</b> 11.C(3)	<b>□</b> 11.C(4)	□ 11.C(5)
	11.D(1)	<b>☑</b> 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)
	11.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	E 11.D(3)
	11.F.	□ 11.G.	L 11.E(3)	II 11.E(4)	
One	e event may result	for each event or <i>proceeding</i> . The same ever t in more than one affirmative answer to Iter gulator, provide details for each action on a	ms 11.C., 11.D., 11.E., 11.F. or 11.G. l		DRP. File with a completed Execution Page. ed to the same event. If an event gives rise to actions
		guiator, provide details for each deticit en a	sopurate Ditt.		
PAR		r antituliae) for whom this DDD is being filed i	in (ara).		
Α.	O You (the adv	r entity(ies) for whom this DRP is being filed i visory firm)	is (are):		
	O You and one	or more of your advisory affiliates			
	One or more	e of your advisory affiliates			
		eing filed for an <i>advisory affiliate</i> , give the full affiliate has a <i>CRD</i> number, provide that numb			ddle name).
	ADV DRP - ADV	ISORY AFFILIATE			
	CRD Number:	Tr	nis <i>advisory affiliate</i> is <b>©</b> a Firm <b>C</b> an	Individual	
	Registered:	O Yes ⊙ No			
	Name:	BLACKROCK, INC			
		(For individuals, Last, First, Middle)			

	This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer. This DRP should be removed from the ADV record because: (1) the event or proceeding occurre the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved.	ed more than ten years ago or (2) the adviser is registered or applying for registration with
	If you are registered or registering with a <i>state securities authority</i> , you may remove a DRP for a than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for	
	$\square$ This DRP should be removed from the ADV record because it was filed in error, such as due to	a clerical or data-entry mistake. Explain the circumstances:
B.	If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliance is "Yes," no other information on this DRP must be provided.	liate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the
	C Yes © No	
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update	its IARD or <i>CRD</i> records.
PAR	T II	
1.	Regulatory Action initiated by:	
	OSEC Other Federal OState OSRO oForeign	
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) BUNDESANSTALT FÜR FINANZDIENSTLEISTUNGSAUFSICHT ("BAFIN")	
2.	Principal Sanction:	
	Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	
3.	Date Initiated (MM/DD/YYYY):	
	03/20/2015 © Exact © Explanation	
	If not exact, provide explanation:	
4.	Docket/Case Number:	
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applied	cable):
6.	Principal Product Type:	
	Other Product Types	
	Other Product Types: INVESTMENT IN SHARES OF ISSUERS WHOSE HOME COUNTRY IS THE FEDERAL REPUBLIC OF GERM	MANY ("GERMAN ISSUERS")
7.	Describe the allegations related to this regulatory action (your response must fit within the space	e provided):
	BAFIN ALLEGED THAT BLACKROCK INVESTMENT MANAGEMENT (UK) LIMITED ("BIM UK"), AS FILING CONTRAVENTION OF GERMAN THRESHOLDS REPORTING REQUIREMENTS.	GAGENT FOR CERTAIN OF ITS AFFILIATES, HAD MADE INCORRECT OR LATE REPORTS IN
8.	Current Status? C Pending C On Appeal  Final	
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal F	Filed:
lf F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.	
10.	How was matter resolved:	
	Other	
11.	Resolution Date (MM/DD/YYYY):	
	03/26/2015 © Exact C Explanation	
	If not exact, provide explanation:	
12.	Resolution Detail:	
	A. Were any of the following Sanctions Ordered (check all appropriate items)?	
	✓ Monetary/Fine Amount: \$ 3,563,216.00	
	Revocation/Expulsion/Denial	☐ Disgorgement/Restitution
	Censure	Cease and Desist/Injunction
	☐ Bar	☐ Suspension
	B. Other Sanctions <i>Ordered:</i>	

Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived: BAFIN IMPOSED A FINE OF 3.25 MILLION EUROS AGAINST BIM UK. AN ADDITIONAL 7,500 EUROS WAS LEVIED IN RESPECT OF AN ASSOCIATED ADMINISTRATION CHARGE. 13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided). IN 2014, BIM UK SELF-REPORTED TO BAFIN THAT CERTAIN DISCLOSURES WERE EITHER INCORRECT OR LATE. BIM UK WORKED CLOSELY WITH BAFIN TO REMEDY THE RELEVANT DISCLOSURES AND INFORMED THE APPROPRIATE ISSUERS, AND THE BROADER MARKET, ON SEPTEMBER 30, 2014. ON MARCH 20, 2015, BAFIN IMPOSED A FINE OF 3.25 MILLION EUROS AGAINST BIM UK. AN ADDITIONAL 7,500 EUROS WAS LEVIED IN RESPECT OF AN ASSOCIATED ADMINISTRATION CHARGE. BIM UK PAID THE FINE AND ADMINISTRATION CHARGE TOTALING 3,257,500 EUROS (APPROXIMATELY \$3,563,216 USD) ON MARCH 26, 2015. GENERAL INSTRUCTIONS This Disclosure Reporting Page (DRP ADV) is an 👩 INITIAL 🚗 💿 AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV. Regulatory Action Check item(s) being responded to: □ 11.C(1) □ 11.C(2) **1**1.C(3) □ 11.C(4) **☑** 11.C(5) 11.D(1) 11.D(2) 11.D(3) 11.D(4) 11.D(5) □ 11.E(1) □ 11.E(2) □ 11.E(3) □ 11.E(4) □ 11.F. □ 11.G. Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page. One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP. A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are): O You (the advisory firm) O You and one or more of your advisory affiliates ⊙ One or more of your advisory affiliates If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name). If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD Number: This advisory affiliate is • a Firm • an Individual Registered: C Yes © No Name: BLACKROCK, INC (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser's or advisory affiliate's favor. If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more

This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with

than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.

O yes O No

NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

# PART II

- 1. Regulatory Action initiated by:
  - SEC Other Federal State SRO Foreign

(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)

2.	<ol> <li>Principal Sanction:         Civil and Administrative Penalt(ies) /Fine(s)         Other Sanctions:         CEASE AND DESIST</li> </ol>	
3.	3. Date Initiated (MM/DD/YYYY):  03/08/2012 • Exact • Explanation  If not exact, provide explanation:	
4.	4. Docket/Case Number: 12-13	
5.	5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable)	
	6. Principal Product Type: Futures - Financial Other Product Types:	
	7. Describe the allegations related to this regulatory action (your response must fit within the space prov THE CFTC ALLEGED THAT TWO TRADES BY BTC VIOLATED SECTION 4C(A)(1) OF THE COMMODITY EXCHA	
8.	8. Current Status? C Pending C On Appeal C Final	
9.	9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:	
If Fi	If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.	
10.	10. How was matter resolved: Settled	
11.	11. Resolution Date (MM/DD/YYYY):	
	03/08/2012 © Exact C Explanation  If not exact, provide explanation:	
12.	12. Resolution Detail:	
	A. Were any of the following Sanctions Ordered (check all appropriate items)?	
	Monetary/Fine Amount: \$ 250,000.00	
	·	isgorgement/Restitution
		ease and Desist/Injunction uspension
	B. Other Sanctions <i>Ordered:</i> CEASE AND DESIST Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capaci requalification by exam/retraining was a condition of the sanction, provide length of time given to disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provi portion of penalty was waived:  THE \$250,000 FINE WAS LEVIED AGAINST BLACKROCK INSTITUTIONAL TRUST COMPANY, N.A., AN A 2012. NO PORTION OF THE PENALTY WAS WAIVED.	ties affected (General Securities Principal, Financial Operations Principal, etc.). If requalify/retrain, type of exam required and whether condition has been satisfied. If de total amount, portion levied against you or an advisory affiliate, date paid and if any
13.	13. Provide a brief summary of details related to the action status and (or) disposition and include relevant "ON JANUARY 20, 2012, AN AFFILIATE OF BFM, BLACKROCK INSTITUTIONAL TRUST COMPANY, N.A. (""BT OR DENYING WRONGDOING, UNDER WHICH BTC AGREED TO THE IMPOSITION OF A \$250,000 PENALTY ATRADES BY BTC VIOLATED SECTION 4C(A)(1) OF THE COMMODITY EXCHANGE ACT AND CFTC REGULATION OF THESE STATUTES. THE CFTC DID NOT ALLEGE THAT ANY CLIENTS OF BTC, BLACKROCK OR ANY RELATED.	C""), ENTERED INTO AN OFFER OF SETTLEMENT WITH THE CFTC, WITHOUT ADMITTING AND THE ENTRY OF AN ORDER TO RESOLVE ALLEGATIONS BY THE CFTC THAT TWO N 1.38(A). BTC ALSO AGREED TO CEASE AND DESIST FROM ANY FURTHER VIOLATIONS

COMMODITY FUTURES TRADING COMMISSION

This Disclosure Reporting Page (DRP ADV) is an Total NITIAL OR Total AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.

GENERAL INSTRUCTIONS

Ched	ck item(s) being responded to:				
<b></b> 1	1.C(1)	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)
	1.D(1)	<b>☑</b> 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)
	1.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	ν-/
	• •	□ 11.G.	L 11.L(3)	L 11.L(4)	
	I.F.	LIII.G.			
Use	a separate DRP for each event o	or <i>proceeding</i> . The same e	vent or <i>proceeding</i> may be reported for mo	e than one <i>person</i> or entity using one	e DRP. File with a completed Execution Page.
	event may result in more than onere than one regulator, provide			e only one DRP to report details relate	ed to the same event. If an event gives rise to actions
PART	ГІ				
Α.	The <i>person(s)</i> or entity(ies) for volume of You (the advisory firm)	whom this DRP is being file	ed is (are):		
	O You and one or more of your				
	• One or more of your advisory	y affiliates			
	_	•	ull name of the <i>advisory affiliate</i> below (for i mber. If not, indicate "non-registered" by o		idle name).
	ADV DRP - ADVISORY AFFILIATE	=			
	CRD Number:		This advisory affiliate is • a Firm • an I	ndividual	
	Registered: O Yes O No	0			
	Name: BLACKROCK, IN				
	(For individual	s, Last, First, Middle)			
	This DRP should be removed the SEC or reporting as an element of the SEC or reporting as an element of the SEC or registered or register than ten years ago. If you are	from the ADV record because the securities of the securities registered or registering was a securities of the securitie	ith the SEC and the event was resolved in	more than ten years ago or (2) the action the adviser's or advisory affiliate's favorevent you reported only in response to by event listed in Item 11 that occurre	o Item 11.D(4), and only if that event occurred more ed more than ten years ago.
B.	If the <i>advisory affiliate</i> is register answer is "Yes," no other inform			e submitted a DRP (with Form ADV, BD	or U-4) to the IARD or CRD for the event? If the
	C Yes © No				
	NOTE: The completion of this fo	rm does not relieve the ac	dvisory affiliate of its obligation to update its	IARD or <i>CRD</i> records.	
PAR	T II				
	Regulatory Action initiated by:	tato Eoroign			
	OSEC Other Federal OSt		ty fodoral state or CDO		
	(Full name of regulator, foreign and COMMISSIONE NAZIONALE PER	• •			
2.	Principal Sanction: Civil and Administrative Penalt(i Other Sanctions:	es) /Fine(s)			
3.	Date Initiated (MM/DD/YYYY):				
	04/29/2014 © Exact C Exp If not exact, provide explanation				
4.	Docket/Case Number:				
5.	Advisory Affiliate Employing Firm	when activity occurred w	hich led to the regulatory action (if applicab	le):	
6.	Principal Product Type: Other				
	Other Product Types:				

NVESTMENT IN ITALIA	N EQUITY				
BLACKROCK INVESTME CONSOB IN DECEMBER	• • •	MUK") ON BEHALF OF THE BLACKRO	CK GROUP OF COMPANIES MADE AN INCORF	RECT LARGE SHAREHOLDER THRESHOLD FILII R, SELF-REPORTED IT TO CONSOB AND INFO	
8. Current Status? C	Pending C On Appeal G Fir	nal			
9. If on appeal, regulator	ry action appealed to (SEC, <i>SRO,</i> Fed	eral or State Court) and Date Appe	eal Filed:		
If Final or On Appeal, comp	plete all items below. For Pending Act	ions, complete Item 13 only.			
10. How was matter resol	lved:				
11. Resolution Date (MM/D	DD/YYYY):				
05/08/2014 <b>©</b> Exact	C Explanation				
If not exact, provide e	·				
12. Resolution Detail:					
A. Were any of the	following Sanctions Ordered (check al	Il appropriate items)?			
Monetary/Fir	ne Amount: \$ 205,826.00				
Revocation/E	Expulsion/Denial		$\square$ Disgorgement/Restitution		
☐ Censure			Cease and Desist/Injunction		
☐ Bar			☐ Suspension		
B. Other Sanctions	Ordered:				
13. Provide a brief summa	ary of details related to the action sta ONSOB FINED BIMUK 150,000 EURO (A	atus and (or) disposition and includ		r response must fit within the space provide	
		GENERAL IN:	STRUCTIONS		
This Disclosure Reporting Pa	age (DRP ADV) is an 👩 INITIAL <i>OR</i> 🤄			11.C., 11.D., 11.E., 11.F. or 11.G. of Form A	۵DV.
Check item(s) being respor	adad ta	Regulato	ry Action		
□ 11.C(1)	□ 11.C(2)	<b>□</b> 11.C(3)	□ 11.C(4)	□ 11.C(5)	
□ 11.D(1)	<b>☑</b> 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)	
□ 11.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	(C)	
□ 11.F.	□ 11.G.				
Use a separate DRP for each	ch event or <i>proceeding</i> . The same eve	ent or <i>proceeding</i> may be reported f	for more than one <i>person</i> or entity using one	e DRP. File with a completed Execution Page	t.
_	ore than one affirmative answer to Iter, provide details for each action on a		1.G. Use only one DRP to report details relat	ed to the same event. If an event gives rise	to actions
PART I					
	y(ies) for whom this DRP is being filed	d is (are):			
O You (the advisory f	irm)				
	ore of your advisory affiliates				
One or more of you	ur advisory affiliates				

	If this DRP is being filed for an <i>advisory affiliate</i> , give the full name of the <i>advisory affiliate</i> below (for individuals, Last name, First name, Middle name).  If the <i>advisory affiliate</i> has a <i>CRD</i> number, provide that number. If not, indicate "non-registered" by checking the appropriate box.	
	ADV DRP - ADVISORY AFFILIATE	
	CRD Number:  This advisory affiliate is 6 a Firm 0 an Individual	
	Registered: O Yes O No	
	Name: BLACKROCK,INC	
	(For individuals, Last, First, Middle)	
	This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser.  This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.	
	If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.	е
	☐ This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:	
B.	If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.	
	O Yes O No	
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.	
ART		
1.	Regulatory Action initiated by: OSEC Other Federal OState OSRO OForeign	
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) BAFIN (THE GERMAN FEDERAL FINANCIAL SUPERVISORY AUTHORITY)	
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	
3.	Date Initiated (MM/DD/YYYY):	
	12/18/2013 © Exact © Explanation  If not exact, provide explanation:	
4.	Docket/Case Number:	
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):	
6.	Principal Product Type: Other	
	Other Product Types:	
	INVESTMENT IN EQUITY SECURITIES OF A GERMAN ISSUERS	
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):	
	THE BAFIN ALLEGED THAT BLACKROCK INVESTMENT MANAGEMENT (UK) LIMITED, AS AGENT FOR CERTAIN OF ITS ADVISORY AFFILIATES, HAD NOT FILED, WITHIN THE REQUIRED TIME PERIOD, REPORTS THAT THE COLLECTIVE OWNERSHIP OF SECURITIES IN GERMAN ISSUERS CROSSED CERTAIN OWNERSHIP THRESHOLDS	,
8.	Current Status? C Pending C On Appeal C Final	
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:	
lf Fi	nal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.	
10.	How was matter resolved:	
•	Settled Settled	
11.	Resolution Date (MM/DD/YYYY):	
	01/09/2014 © Exact C Explanation	

	If not exact, provid	de explanation:			
12.	Resolution Detail:				
	A. Were any of t	the following Sanctions <i>Ordered</i> (check all	appropriate items)?		
		/Fine Amount: \$ 309,697.00			
	Revocation	on/Expulsion/Denial	1	$\square$ Disgorgement/Restitution	
	Censure		1	$\square$ Cease and Desist/Injunction	
	☐ Bar		1	☐ Suspension	
	B. Other Sanction	ons <i>Ordered:</i>			
	requalification disposition re portion of per BAFIN IMPOS	n by exam/retraining was a condition of the sulted in a fine, penalty, restitution, disgo nalty was waived:	e sanction, provide length of time give orgement or monetary compensation, p	en to requalify/retrain, type of exam requorovide total amount, portion levied aga	ncipal, Financial Operations Principal, etc.). If uired and whether condition has been satisfied. If inst you or an <i>advisory affiliate</i> , date paid and if any S LEVIED IN RESPECT FOR THE ASSOCIATED
13.		nmary of details related to the action stat	•	•	response must fit within the space provided). MATELY \$309,697) ON JANUARY 9, 2014.
			OENEDA MOTO	OTION O	
This	Disclosure Reportin	g Page (DRP ADV) is an C INITIAL on G	GENERAL INSTRU  AMENDED response used to report de		1.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.
		or e			
			Regulatory Ac	tion	
	ck item(s) being res		_	_	_
	1.C(1)	□ 11.C(2)	□ 11.C(3) —	□ 11.C(4)	11.C(5)
	1.D(1)	<b>☑</b> 11.D(2)	□ 11.D(3) —	<b>☑</b> 11.D(4)	<b>☑</b> 11.D(5)
	1.E(1)	□ 11.E(2) □	□ 11.E(3)	□ 11.E(4)	
1	1.F.	□ 11.G.			
by m	nore than one regula	n more than one affirmative answer to Iterator, provide details for each action on a ntity(ies) for whom this DRP is being filed	separate DRP.	Jse only one DRP to report details related	d to the same event. If an event gives rise to actions
	O You (the adviso				
		more of your advisory affiliates			
	One or more of	your advisory affiliates			
	•	g filed for an <i>advisory affiliate</i> , give the full giate has a <i>CRD</i> number, provide that numb	•		dle name).
	ADV DRP - ADVISO	DRY AFFILIATE			
	CRD Number:	Tł	nis <i>advisory affiliate</i> is <b>©</b> a Firm <b>C</b> an	Individual	
	Registered:	O yes • No			
		BLACKROCK,INC For individuals, Last, First, Middle)			
	This DRP should	d be removed from the ADV record becaused be removed from the ADV record because orting as an exempt reporting adviser with	se: (1) the event or <i>proceeding</i> occurred	d more than ten years ago or (2) the adv	viser is registered or applying for registration with
	3	red or registering with a <i>state securities a</i> t o. If you are registered or registering with	3 3	· · · · · · · · · · · · · · · · · · ·	Item 11.D(4), and only if that event occurred more d more than ten years ago.
	☐ This DRP should	d be removed from the ADV record because	se it was filed in error, such as due to a	ı clerical or data-entry mistake. Explain t	the circumstances:
B.	If the <i>advisory affili</i>	iate is registered through the IARD system	n or <i>CRD</i> system, has the <i>advisory affilia</i>	ate submitted a DRP (with Form ADV, BD o	or U-4) to the IARD or <i>CRD</i> for the event? If the

answer is "Yes," no other information on this DRP must be provided.

NOTE: The completion of this form does not relieve the advisory affiliate of its obligation	on to update its IARD or <i>CRD</i> records.
PART II	
<ol> <li>Regulatory Action initiated by:</li> <li>SEC Other Federal State SRO Foreign</li> </ol>	
(Full name of regulator, <i>foreign financial regulatory authority</i> , federal, state, or <i>SRO</i> ) TAIWAN FINANCIAL SUPERVISORY COMMISSION ("FSC")	
<ol> <li>Principal Sanction:</li> <li>Reprimand</li> <li>Other Sanctions:</li> </ol>	
3. Date Initiated (MM/DD/YYYY):	
12/25/2012 © Exact © Explanation If not exact, provide explanation:	
4. Docket/Case Number:	
5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory act	cion (if applicable):
6. Principal Product Type: Money Market Fund(s) Other Product Types:	
OR OFFSHORE FUNDS, OR TAKING ON NEW ONSHORE MANDATES, FOR SIX MONTHS. N	"") ISSUED A WARNING NOTICE THAT PROHIBITS BLACKROCK TAIWAN FROM OFFERING NEW ONSHORE IO ACTIONS WERE TAKEN AGAINST INDIVIDUAL BLACKROCK EMPLOYEES. THE FSC'S WARNING NOTICE O THE MANNER IN WHICH IT SOUGHT SUBSCRIPTIONS FROM FINANCIAL INSTITUTIONS TO SUPPORT A
8. Current Status? C Pending C On Appeal G Final	
9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Da	ate Appeal Filed:
If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only	y.
10. How was matter resolved: Other	
11. Resolution Date (MM/DD/YYYY):	
12/25/2012  Exact  Explanation	
If not exact, provide explanation:	
12. Resolution Detail:	
A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?	
☐ Monetary/Fine Amount: \$	
·	<ul><li>Disgorgement/Restitution</li><li>Cease and Desist/Injunction</li></ul>
	☐ Suspension
B. Other Sanctions <i>Ordered:</i> "BLACKROCK TAIWAN IS PROHIBITED FROM OFFERING NEW ONSHORE OR OFFSH THE WARNING NOTICE DOES NOT PROHIBIT BLACKROCK FROM ENGAGING IN OTH Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including star requalification by exam/retraining was a condition of the sanction, provide length disposition resulted in a fine, penalty, restitution, disgorgement or monetary con portion of penalty was waived:	ORE FUNDS, OR TAKING ON NEW ONSHORE MANDATES, FOR SIX MONTHS FROM DECEMBER 25, 2012. HER ACTIVITIES. It date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If n of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If mpensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if an K TAIWAN THAT PROHIBITS BLACKROCK TAIWAN FROM OFFERING NEW ONSHORE OR OFFSHORE FUNDS,
1. 2. 3. 4. 5. 6. 11.	Regulatory Action initiated by:  OSEC Other Federal Ostate OSRO © Foreign  (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)  TAIWAN FINANCIAL SUPERVISORY COMMISSION ("FSC")  Principal Sanction: Reprimand Other Sanctions:  Date Initiated (MM/DD/YYYY):  12/25/2012 © Exact © Explanation If not exact, provide explanation:  Docket/Case Number:  Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action If not exact, provide explanation:  Docket/Case Number:  Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (Principal Product Type: Money Market Fund(s)  Other Product Type:  Describe the allegations related to this regulatory action (your response must fit with "ON DECEMBER 25, 2012, THE TAIWAN FINANCIAL SUPERVISORY COMMISSION (""FSC OR OTSHORE FUNDS, OR TAKING ON NEW ONSHORE MANDATES, FOR SIX MONTHS. IN "ON DECEMBER 25, 2012, THE TAIWAN VIOLATED LOCAL SECURITIES REGULATIONS DUE TO PROPOSED INCREASE IN THE MANAGEMENT FEE OF TAIWAN DOLLAR MONEY MARKET IN  Current Status? Pending On Appeal Final  If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Due  and or On Appeal, complete all items below. For Pending Actions, complete Item 13 and  How was matter resolved:  Other  Resolution Detail:  A. Were any of the following Sanctions Ordered (chock all appropriate items)?  Monetary/Fine Amount: \$ Revocation/Expulsion/Denial Censure Bair  B. Other Sanctions Ordered:  "BLACKROCK TAIWAN IS PROHIBITED FROM OFFERING NEW ONSHORE OR OFFSH THE WARNING MOTICE DOES NOT PROHIBITED FROM OFFERING NEW ONSHORE OR OFFSH THE WARNING MOTICE DOES NOT PROHIBITED FROM OFFERING NEW ONSHORE OR OFFSH THE WARNING MOTICE DOES NOT PROHIBITED FROM OFFSH IN Control of the sanction, provide length disposition resulted in a fine, penalty, restitution, disgorgement or monetary co

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

C Yes © No

FSC DID NOT IMPOSE ANY MO	DNETARY PENALTY ON BLACKRO	OCK TAIWAN."		
		GENERAL INSTRUC		44.0. 44.D. 44.E. 44.D. 6.E. A.D.V.
This Disclosure Reporting Page (DF	RP ADV) is an $_{m{C}}$ INITIAL $_{m{OR}}$ (	AMENDED response used to report de	tails for affirmative responses to Items	11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.
		Regulatory Act	ion	
Check item(s) being responded to		T 11 0(0)	<b>4</b> 11 0(1)	<b>G</b> 44 0/5)
□ 11.C(1)	☑ 11.C(2)	☐ 11.C(3) ☐ 11.D(3)	✓ 11.C(4)	<b>☑</b> 11.C(5) <b>☑</b> 11.D(5)
□ 11.D(1) □ 11.E(1)	□ 11.D(2) □ 11.E(2)	□ 11.D(3) □ 11.E(3)	□ 11.D(4) □ 11.E(4)	L 11.D(5)
□ 11.F.	□ 11.G.	L 11.L(3)	L 11.L(4)	
Use a separate DRP for each even	t or <i>proceeding</i> . The same eve	ent or <i>proceeding</i> may be reported for mo	ore than one <i>person</i> or entity using one	DRP. File with a completed Execution Page.
One event may result in more than by more than one regulator, provide			se only one DRP to report details relate	ed to the same event. If an event gives rise to action
PART I				
A. The <i>person(s)</i> or entity(ies) for	or whom this DRP is being filed	is (are):		
O You (the advisory firm)				
O You and one or more of you	our advisory affiliates			
One or more of your advis	sory affiliates			
•		name of the <i>advisory affiliate</i> below (for ber. If not, indicate "non-registered" by		ldle name).
ADV DRP - ADVISORY AFFILIA	ATE			
CRD Number:	Т	his advisory affiliate is $oldsymbol{oldsymbol{o}}$ a Firm $oldsymbol{oldsymbol{O}}$ an	Individual	
Registered: O Yes •		This advisory annuate is — a Firm — an	marviduai	
Name: BLACKROCK				
(FOI IIIUIVIU	uais, Last, First, Midule)			
lacksquare This DRP should be remov	ved from the ADV record becau	use the <i>advisory affiliate(s)</i> is no longer a use: (1) the event or <i>proceeding</i> occurred to the SEC and the event was resolved in	more than ten years ago or (2) the ad	lviser is registered or applying for registration with or.
	_	authority, you may remove a DRP for an th the SEC, you may remove a DRP for a		Item 11.D(4), and only if that event occurred more d more than ten years ago.
$\square$ This DRP should be remov	ved from the ADV record becau	se it was filed in error, such as due to a	clerical or data-entry mistake. Explain	the circumstances:
	stered through the IARD syster ormation on this DRP must be		te submitted a DRP (with Form ADV, BD	or U-4) to the IARD or CRD for the event? If the
C Yes • No				
NOTE: The completion of this	form does not relieve the adv	isory affiliate of its obligation to update it	s IARD or <i>CRD</i> records.	
PART II				
<ol> <li>Regulatory Action initiated by</li> <li>SEC Other Federal C</li> </ol>				
(Full name of regulator, <i>foreig</i> SECURITIES AND EXCHANGE	gn financial regulatory authority COMMISSION ("SEC")	federal, state, or <i>SRO</i> )		
Principal Sanction:     Civil and Administrative Renal	H(ios) /Fino(s)			
Civil and Administrative Penal Other Sanctions:	וננופט דווופנט)			
		ON'S ORDER DATED APRIL 25, 2017 (THE RE VIOLATIONS OF SECTIONS 22(D), AN	•	ORS (""BFA"") IS TO CEASE AND DESIST FROM T AND RULE 22C- 1 THEREUNDER."
3. Date Initiated (MM/DD/YYYY):				

"THE WARNING NOTICE DOES NOT PROHIBIT BLACKROCK TAIWAN FROM ENGAGING IN OTHER INVESTMENT-RELATED ACTIVITIES, NOT SPECIFICALLY COVERED IN THE WARNING NOTICE. THE

	04/25/2017				
4.	Docket/Case Number: 3-17942				
5.	Advisory Affiliate Employing Firm when activ	rity occurred which led to the regulatory ar	ction (if applicable):		
6.	Principal Product Type: Other Other Product Types: EXCHANGE TRADED FUND (ETF)				
7.	Describe the allegations related to this reg "THE ORDER SPECIFICALLY CONCERNS THE BY EXISTING EXEMPTIVE RELIEF GRANTED I SHARES OF ISHARES MSCI RUSSIA CAPPED ACCORDINGLY, BY OPERATING THE RUSSIA	ISHARES MSCI RUSSIA CAPPED ETF (""RU BY SECURITIES AND EXCHANGE COMMISSI ETF, INC. (""RUSSIA FUND COMPANY""). T	ISSIA FUND ETF""), MANAGED BY BLA ION (""SEC""). IN 2010, THE RUSSIA THE RUSSIA FUND COMPANY DID NO	FUND ETF BEGAN SELLING ITS T HAVE THE REQUIRED EXEMPT	SHARES AS THE ONLY SERIES OF IVE RELIEF UNTIL JANUARY 2015.
8.	Current Status? Pending On	Appeal <b>©</b> Final			
9.	If on appeal, regulatory action appealed to	(SEC, SRO, Federal or State Court) and [	Date Appeal Filed:		
If F	Final or On Appeal, complete all items below.	For Pending Actions, complete Item 13 or	nly.		
10.	Order				
11.	. Resolution Date (MM/DD/YYYY):  04/28/2017 • Exact • Explanation  If not exact, provide explanation:				
	requalification by exam/retraining was disposition resulted in a fine, penalty, portion of penalty was waived:	ond or barred, provide duration including states a condition of the sanction, provide leng restitution, disgorgement or monetary commontation.  MOUNT OF \$1,500,000 WAS PAID ON APR to the action status and (or) disposition a EEMENT WITH THE SEC RESOLVING THE M	th of time given to requalify/retrain, ompensation, provide total amount, IL 28, 2017"  and include relevant terms, condition of the RUSSIA FUN	Injunction  neral Securities Principal, Finance, type of exam required and who portion levied against you or a	nether condition has been satisfied. If an advisory affiliate, date paid and if any ust fit within the space provided).
			NEDAL INCEDICTIONS		
This	s Disclosure Reporting Page (DRP ADV) is an		NERAL INSTRUCTIONS ed to report details for affirmative re	esponses to Items 11.C., 11.D.,	11.E., 11.F. or 11.G. of Form ADV.
`h -	eck item(s) being responded to:		Regulatory Action		
	11.C(1)	(2)    \tau \tau \tau \tau \tau \tau \tau \tau	□ 11.0	C(4)	□ 11.C(5)
	11.D(1) <b>☑</b> 11.D(				☐ 11.D(5)
	11.E(1)				
	11.F. 🗖 11.G.				

One	a separate DRP for each event or <i>proceeding</i> . The same event or <i>proceeding</i> may be reported for more than one <i>person</i> or entity using one DRP. File with a completed Execution Page.  event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions note than one regulator, provide details for each action on a separate DRP.
Оуі	Tore than one regulator, provide details for each action on a separate DN.
PAR	
Α.	The person(s) or entity(ies) for whom this DRP is being filed is (are):  O You (the advisory firm)
	C You and one or more of your advisory affiliates
	One or more of your advisory affiliates
	If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name).  If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.
	ADV DRP - ADVISORY AFFILIATE
	CRD Number:  This advisory affiliate is © a Firm O an Individual
	Registered: O Yes O No
	Name: BLACKROCK,INC  (For individuals, Last, First, Middle)
	☐ This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser. ☐ This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.
	If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.
	This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:
B.	If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.
	C Yes O No
	NOTE: The completion of this form does not relieve the <i>advisory affiliate</i> of its obligation to update its IARD or <i>CRD</i> records.
PΔR	T II
	Regulatory Action initiated by:  OSEC Other Federal OState OSRO Foreign
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) FINANSINSPEKTIONEN - SWEDISH FINANCIAL SERVICES AUTHORITY ("SFSA")
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:
3.	Date Initiated (MM/DD/YYYY):
	05/31/2018 Exact Explanation  If not exact, provide explanation:
4.	Docket/Case Number:
	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
Ο.	Advisory Anniate Employing Firm when activity occurred which led to the regulatory action (if applicable).
6.	Principal Product Type: Other
	Other Product Types:
	INVESTMENT IN SWEDISH EQUITY
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):
	BLACKROCK INVESTMENT MANAGEMENT (UK) LIMITED ("BIM UK") IS REQUIRED TO REPORT TO THE SWEDISH FINANCIAL SERVICES AUTHORITY ("SFSA"), WITHIN A SPECIFIED TIME PERIOD, ITS HOLDINGS IN LISTED ISSUERS WHERE THOSE HOLDINGS CROSS A CERTAIN THRESHOLD ("NOTIFICATIONS"). ON MAY 5, 2017, AN EXTERNAL VENDOR WAS UNABLE TO PROVIDE ACCURATE DATA RESULTING IN APPROXIMATELY A 5 MINUTE DELAY IN BIM UK'S SUBMISSION OF CERTAIN SHORT SELLING NOTIFICATIONS TO THE SFSA. THE SFSA WAS INFORMED IN ADVANCE OF THE

FILING DEADLINE OF THE LIKELIHOOD OF A DELAY TO THE SUBMISSION OF CERTAIN SHORT SELLING NOTIFICATIONS. IN SEPTEMBER 2017, BIM UK RESPONDED TO AN INQUIRY FROM THE

	RESPONSE EXPLAINED THE CIRCUMSTANCES AND NOTED TO STRICT APPROACH TO THE INTERPRETATION OF THE REQUINOTIFICATIONS.				)K A
8.	Current Status? Pending On Appeal Fin	nal			
9.	If on appeal, regulatory action appealed to (SEC, SRO, Fed	deral or State Court) and Date Appeal Fi	ed:		
lf F	Final or On Appeal, complete all items below. For Pending Act	tions, complete Item 13 only.			
10.	How was matter resolved:  Decision				
11.	Resolution Date (MM/DD/YYYY):				
	09/20/2018 • Exact • Explanation  If not exact, provide explanation:				
12.	Resolution Detail:  A. Were any of the following Sanctions <i>Ordered</i> (check a	all appropriate items)?			
	✓ Monetary/Fine Amount: \$ 2,020.00				
	☐ Revocation/Expulsion/Denial		▼ Disgorgement/Restitution		
	☐ Censure		Cease and Desist/Injunction		
	☐ Bar		☐ Suspension		
13.	requalification by exam/retraining was a condition of disposition resulted in a fine, penalty, restitution, disposition of penalty was waived:  ON MAY 31, 2018, BIM UK LIMITED RECEIVED THREE L (APPROXIMATELY \$2020 USD) WERE RECEIVED ON AUTOMATELY \$2020 USD).  Provide a brief summary of details related to the action states and the special period of th	gorgement or monetary compensation,  LETTERS IMPOSING A SPECIAL FEE FOR I  JGUST 21, 2018 FOR THE SPECIAL FEE(S  atus and (or) disposition and include rel  R 20, 2018.	erovide total amount, portion levied aga EACH OF THE LATE SHORT SELLING NOTI ). evant terms, conditions and dates (your	ainst you or an <i>advisory affiliate</i> , date paid and if	
Γhis	s Disclosure Reporting Page (DRP ADV) is an 👩 INITIAL 🔐	GENERAL INSTRU		11 C 11 D 11 E 11 E or 11 G of Form ADV	
	OR V	•			
:hec	ck item(s) being responded to:	Regulatory Ad	tion		
	11.C(1) <b>☑</b> 11.C(2)	<b>□</b> 11.C(3)	<b>☑</b> 11.C(4)	<b>☑</b> 11.C(5)	
<b>1</b>	11.D(1) □ 11.D(2)	<b>□</b> 11.D(3)	□ 11.D(4)	□ 11.D(5)	
	11.E(1) □ 11.E(2) 11.F. □ 11.G.	□ 11.E(3)	□ 11.E(4)		
One	a separate DRP for each event or <i>proceeding</i> . The same event event may result in more than one affirmative answer to Itemore than one regulator, provide details for each action on a	ems 11.C., 11.D., 11.E., 11.F. or 11.G.	,	,	etions
PAR <sup>-</sup>	T I				
	The person(s) or entity(ies) for whom this DRP is being filed You (the advisory firm)	d is (are):			
	O You and one or more of your advisory affiliates				
	• One or more of your advisory affiliates				
	If this DRP is being filed for an <i>advisory affiliate</i> , give the full If the <i>advisory affiliate</i> has a <i>CRD</i> number, provide that number of the state of the sta	•		dle name).	

SFSA REGARDING THE LATE SUBMISSION ON MAY 5, 2017 OF SHORT SELLING NOTIFICATIONS FOR THREE LISTED ISSUERS (I.E., BYGGMAX GROUP AB, JM AB AND MYCRONIC AB). THAT

	ADV DRP - ADVISORY AFFILIATE
	CRD Number:  This advisory affiliate is • a Firm • an Individual
	Registered: O Yes O No
	Name: BLACKROCK,INC
	(For individuals, Last, First, Middle)
	This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser.  This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.
	If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.
	☐ This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:
B.	If the <i>advisory affiliate</i> is registered through the IARD system or <i>CRD</i> system, has the <i>advisory affiliate</i> submitted a DRP (with Form ADV, BD or U-4) to the IARD or <i>CRD</i> for the event? If the answer is "Yes," no other information on this DRP must be provided.
	O Yes O No
	NOTE: The completion of this form does not relieve the <i>advisory affiliate</i> of its obligation to update its IARD or <i>CRD</i> records.
PAR <sup>*</sup>	
1.	Regulatory Action initiated by:
	© SEC Other Federal Ostate Osro Foreign  (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)  SECURITIES AND EXCHANGE COMMISSION ("SEC")
2.	Principal Sanction: Disgorgement Other Sanctions:
	CIVIL PENALTY; PREJUDGMENT INTEREST; CEASE AND DESIST"
3.	Date Initiated (MM/DD/YYYY):
	09/16/2014 © Exact © Explanation  If not exact, provide explanation:
4.	Docket/Case Number: 3-16120
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided): "ON SEPTEMBER 16, 2014, THE U.S. SECURITIES AND EXCHANGE COMMISSION (""SEC"") FOUND THAT, IN THREE INSTANCES IN 2010 AND 2011, BLACKROCK INSTITUTIONAL TRUST COMPANDAM (""BTC"") VIOLATED RULE 105 OF REGULATION M, UNDER THE SECURITIES EXCHANGE ACT OF 1934 (""RULE 105""), WHICH PROHIBITS THE SHORT SALE OF AN EQUITY SECURITY DURING RESTRICTED PERIOD AND THE PURCHASE OF THAT SAME SECURITY IN A SECONDARY OR FOLLOW-ON OFFERING."
8.	Current Status? C Pending C On Appeal  Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
lf F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved: Order
11.	Resolution Date (MM/DD/YYYY):
	09/16/2014 © Exact C Explanation

If not exact, provide explanation:

12.	Res	olution Detail:						
	A.	Were any of the followi	ng Sanctions <i>Ordered</i> (check	all appropriate items)?				
			unt: \$ 1,675,350.00					
		Revocation/Expulsion	on/Denial		F	Disgorgement/Restitution		
		Censure			F	Z Cease and Desist/Injunction		
		☐ Bar			Г	Suspension		
	B.	Other Sanctions <i>Ordere</i>	d:			•		
		requalification by examination of penalty was THE MONETARY FINE OF	/retraining was a condition of a fine, penalty, restitution, di- waived: 5 \$1,675,350.13 INCLUDED PA	the sanction, provide lessgorgement or monetary	ength of time giver y compensation, p EMENT OF \$1,122,	to requalify/retrain, type of exam recrovide total amount, portion levied aga 400.00; (II) PREJUDGMENT INTEREST	rincipal, Financial Operations Principal, equired and whether condition has been ainst you or an <i>advisory affiliate</i> , date pOF \$22,471.13; AND (III) A CIVIL MONE /IOLATIONS OF RULE 105 OF REGULATIONS	n satisfied. If paid and if any EY PENALTY OF
13.	"PUF PRE.	RSUANT TO A SEPTEMBER JUDGMENT INTEREST ANI	R 16, 2014 SEC ORDER, BTC R D A CIVIL PENALTY (THE ""PA	ESOLVED THE MATTER T MENT""). THE PAYMENT	THROUGH A \$1,675 WAS MADE ON SE	5,350.13 SETTLEMENT WITH THE SEC, NOTE: PTEMBER 24, 2014. THE PAYMENT WAS	r response must fit within the space pr WHICH INCLUDED THE PAYMENT OF DIS S FROM BTC, NOT FROM ANY CLIENT PO NY ANY WRONGDOING AS PART OF THE	SGORGEMENT, ORTFOLIOS. BTO
This	Discl	losure Reporting Page (D	RP ADV) is an O INITIAL <i>OR</i>		GENERAL INSTRUC used to report de		11.C., 11.D., 11.E., 11.F. or 11.G. of Fo	orm ADV.
					Regulatory Act	ion		
		em(s) being responded to				_	_	
	11.C(	·	□ 11.C(2)	<b>□</b> 11.C	(3)	□ 11.C(4)	☐ 11.C(5)	
	11.D(	1)	<b>☑</b> 11.D(2)	<b>□</b> 11.D	0(3)	□ 11.D(4)	□ 11.D(5)	
	11.E(1	1)	□ 11.E(2)	<b>□</b> 11.E	(3)	□ 11.E(4)		
	11.F.		<b>□</b> 11.G.					
One	even	nt may result in more tha		tems 11.C., 11.D., 11.E	·	, g	e DRP. File with a completed Execution ed to the same event. If an event gives	<b>G</b>
A.	The	person(s) or entity(ies) f	or whom this DRP is being file	ed is (are):				
	0	You (the advisory firm)						
	~ \	You and one or more of y	our					
	© (	One or more of your advi	sory affiliates					
		•		*		individuals, Last name, First name, Mic checking the appropriate box.	ddle name).	
	AD\	V DRP - <i>ADVISORY AFFILI.</i>	ATE					
	CR	RD Number:		This advisory affiliate is	⊙ a Firm ○ an	Individual		
	Re	egistered: O Yes ©	No	, and the second				
	Na	ame: BLACKROCI						
			uals, Last, First, Middle)					
	T 7	This DRP should be remoth the SEC or reporting as a	n <i>exempt reporting adviser</i> wi	ause: (1) the event or <i>pi</i> th the SEC and the ever	<i>roceeding</i> occurred nt was resolved in	more than ten years ago or (2) the active adviser's or advisory affiliate's favor	dviser is registered or applying for region.  One of tem 11.D(4), and only if that event on the content of the content of the content of the content of the content on the content of the	
	tha	n ten years ago. If you a	re registered or registering v	vith the SEC, you may re	emove a DRP for a	ny event listed in Item 11 that occurre clerical or data-entry mistake. Explain	ed more than ten years ago.	Social Ca HIOLE
		THIS DKE SHOULD BE LELUO	ved from the ADV record beca	ause it was illeu ill effor	, sucii as due lo a	cierical or data-entry mistake. Explain	the cheumstances.	

3.	answer is "Yes," no other information on this DRP must be provided.	the <i>advisory affiliate</i> submitted a DRP (with Form ADV, BD or U-4) to the IARD or <i>CRD</i> for the event? If the
	O yes O No	
	NOTE: The completion of this form does not relieve the advisory affiliate of its oblig	gation to update its IARD or <i>CRD</i> records.
AR <sup>-</sup>	ART II	
	Regulatory Action initiated by:	
	OSEC OOther Federal OState OSRO ⊙Foreign	
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) FEDERAL FINANCIAL SUPERVISORY AUTHORITY ("BAFIN")	)
2.	2. Principal Sanction:	
	Civil and Administrative Penalt(ies) /Fine(s)	
	Other Sanctions:	
3.	B. Date Initiated (MM/DD/YYYY):	
	04/20/2020 © Exact C Explanation	
	If not exact, provide explanation:	
1	1. Docket/Case Number:	
т.	F. Bocket/ case Number.	
5.	5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory	action (if applicable):
ó.	6. Principal Product Type:	
	Other Other Product Types:	
	THE MATTER RELATED TO OWNERSHIP FILINGS WITH THE GERMAN REGULATOR IN	RELATION TO GERMAN LISTED ENTITIES.
7.	7. Describe the allegations related to this regulatory action (your response must fit v	within the space provided):
	BAFIN (THE GERMAN FINANCIAL REGULATOR) REACHED A DECISION AGAINST BIM FOLLOWING BREXIT RESTRUCTURING.	UK FOR APPROXIMATELY 180 INCORRECT THRESHOLDS FILINGS BETWEEN AUGUST 2018 AND OCTOBER 2018
3.	3. Current Status? O Pending O On Appeal O Final	
€.	9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and	d Date Appeal Filed:
fF	f Final or On Appeal, complete all items below. For Pending Actions, complete Item 13	only.
10.	10. How was matter resolved:	
	Decision	
11.	11. Resolution Date (MM/DD/YYYY):	
	05/11/2020 © Exact C Explanation	
	If not exact, provide explanation:	
12.	12. Resolution Detail:	
	A. Were any of the following Sanctions Ordered (check all appropriate items)?	
	✓ Monetary/Fine Amount: \$ 801,000.00	
	Revocation/Expulsion/Denial	☐ Disgorgement/Restitution
	Censure	Cease and Desist/Injunction
	☐ Bar	☐ Suspension
	B. Other Sanctions <i>Ordered:</i>	
	requalification by exam/retraining was a condition of the sanction, provide leading disposition resulted in a fine, penalty, restitution, disgorgement or monetary	start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If ength of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If y compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any
	portion of penalty was waived: DECISION TO IMPOSE A 744.000 EURO (\$801,000 USD) SANCTION AGAINST E	BLACKROCK INVESTMENT MANAGEMENT (UK) LIMITED WHICH WAS PAID ON MAY 11, 2020.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

ON APRIL 20, 2020 BAFIN (THE GERMAN FINANCIAL REGULATOR) REACHED A DECISION TO IMPOSE A SANCTION OF 744.000 EURO (\$801,000 USD) AGAINST BLACKROCK INVESTMENT

	•	UK) LIMITED FOR APPROXIMATELY 180 INCO PORTED AT THE AGGREGATE BLACKROCK, I			OLLOWING BREXIT RESTRUCTURING. THRESHOLD I WAS PAID ON MAY 11, 2020.
			GENERAL INSTRU	CTIONS	
This Disc	losure Repor	ting Page (DRP ADV) is an $_{ m C}$ INITIAL $_{ m \it OR}$ (	AMENDED response used to report de	tails for affirmative responses to Item	s 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.
	/ N I I		Regulatory Ac	tion	
Check ite		responded to:	□ 11.C(3)	■ 11.C(4)	□ 11.C(5)
□ 11.C(		□ 11.C(2) <b>☑</b> 11.D(2)	□ 11.D(3)	□ 11.C(4) □ 11.D(4)	□ 11.C(5) □ 11.D(5)
			` '		L 11.D(5)
□ 11.E(	•	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	
□ 11.F.		□ 11.G.			
		, -			ne DRP. File with a completed Execution Page.  ted to the same event. If an event gives rise to actions
	•	gulator, provide details for each action on a		ase only one bit to report details rela	ted to the same event. If an event gives rise to detions
PART I					
		r entity(ies) for whom this DRP is being filed	His (are):		
	You (the adv				
		or more of your advisory affiliates			
•	One or more	of your advisory affiliates			
		ing filed for an <i>advisory affiliate</i> , give the ful <i>ffiliate</i> has a <i>CRD</i> number, provide that num			liddle name).
AD	V DRP - <i>ADV</i>	ISORY AFFILIATE			
CF	RD Number:		This <i>advisory affiliate</i> is $oldsymbol{oldsymbol{0}}$ a Firm $oldsymbol{oldsymbol{0}}$ an	Individual	
Re	egistered:	O Yes O No			
Na	ame:	BLACKROCK, INC (For individuals, Last, First, Middle)			
	This DRP sho	ould be removed from the ADV record becaused by the removed from the ADV record because porting as an exempt reporting adviser with	use: (1) the event or <i>proceeding</i> occurred	more than ten years ago or (2) the a	adviser is registered or applying for registration with vor.
	_	stered or registering with a state securities a ago. If you are registered or registering wi			to Item 11.D(4), and only if that event occurred more red more than ten years ago.
	This DRP sho	ould be removed from the ADV record becau	use it was filed in error, such as due to a	clerical or data-entry mistake. Explai	n the circumstances:
	-	iffiliate is registered through the IARD syste no other information on this DRP must be	•	nte submitted a DRP (with Form ADV, B	D or U-4) to the IARD or CRD for the event? If the
0	Yes <b>©</b> N	0			
NO	TE: The com	pletion of this form does not relieve the adv	visory affiliate of its obligation to update i	ts IARD or <i>CRD</i> records.	
PART II					
_	-	on initiated by:			
05	SEC OOthe	er Federal OState OSRO Foreign			
		gulator, <i>foreign financial regulatory authorit</i> y ERAL DEPARTMENT OF FINANCE ("SWISS FE			
2. Prin	ncipal Sanctio ner	on:			
	ier Sanctions	::			
	TLEMENT SU				
3 Date	e Initiated (N	/IM/DD/YYYY):			
		Exact C Explanation			
0//	19/2021 🤎	exact 🕶 explanation			

	not exact, provide explanation:
4.	ocket/Case Number:
5.	dvisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	rincipal Product Type: quity Listed (Common & Preferred Stock) other Product Types: WISS LISTED EQUITIES
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  ON DATES IN 2017 AND IN 2018, BLACKROCK, INC. WAS LATE IN MAKING CERTAIN THRESHOLD FILINGS WITH THE SWISS REGULATOR. THESE LATE FILINGS WERE CAUSED BY TWO SEPARATE  ASSUES: (1) INCORRECT SHARE ISSUE INFORMATION PROVIDED TO BLACKROCK BY ITS THIRD PARTY VENDOR; AND, (2) BLACKROCK'S OUTGOING EMAIL QUARANTINE SYSTEM INCORRECTLY  BUARANTINING THRESHOLD INFORMATION EMAILS FROM BLACKROCK TO THE SWISS REGULATOR.
8.	urrent Status? C Pending C On Appeal G Final
9.	on appeal, regulatory action appealed to (SEC, <i>SRO</i> , Federal or State Court) and Date Appeal Filed:
If F	al or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	low was matter resolved: ettled
11.	esolution Date (MM/DD/YYYY):  4/22/2022 Exact Explanation  finot exact, provide explanation:
12.	esolution Detail:
	A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?
	✓ Monetary/Fine Amount: \$ 50,000.00
	☐ Revocation/Expulsion/Denial ☐ Disgorgement/Restitution
	☐ Cease and Desist/Injunction
	□ Bar □ Suspension
	3. Other Sanctions Ordered:
	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an <i>advisory affiliate</i> , date paid and if any portion of penalty was waived:  THE SWISS FEDERAL DEPARTMENT OF FINANCE IMPOSED A SETTLEMENT SUM OF CHF 50,000. BLACKROCK, INC. PAID THE FEE ON APRIL 22, 2022.
13.	rovide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).  LACKROCK, INC. PAID SETTLEMENT SUM OF CHF 50,000 ON APRIL 22, 2022.
CIVI	JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)
lo Ir	rmation Filed
art :	
Exe	otion from brochure delivery requirements for SEC-registered advisers

SEC rules exempt SEC-registered advisers from delivering a firm brochure to some kinds of clients. If these exemptions excuse you from delivering a brochure to all of your advisory clients, you do

Yes No

 $\circ$ 

not have to prepare a brochure.

If no, complete the ADV Part 2 filing below.

Are you exempt from delivering a brochure to all of your clients under these rules?

#### Part 3

CRS Type(s) Affiliate Info Retire

There are no CRS filings to display.

### **Execution Pages**

#### DOMESTIC INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint the Secretary of State or other legally designated officer, of the state in which you maintain your principal office and place of business and any other state in which you are submitting a notice filling, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, order instituting proceedings, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative proceeding or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, proceeding, or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is founded, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which you maintain your principal office and place of business or of any state in which you are submitting a notice filling.

#### Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: Date: MM/DD/YYYY CHARLES PARK 09/01/2022

Printed Name: Tit

CHARLES PARK MANAGING DIRECTOR - CHIEF COMPLIANCE OFFICER

Adviser CRD Number:

106614

## NON-RESIDENT INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

#### 1. Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State or other legally designated officer, of any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding* or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of any state in which you are submitting a *notice filing*.

## 2. Appointment and Consent: Effect on Partnerships

If you are organized as a partnership, this irrevocable power of attorney and consent to service of process will continue in effect if any partner withdraws from or is admitted to the partnership, provided that the admission or withdrawal does not create a new partnership. If the partnership dissolves, this irrevocable power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

### 3. Non-Resident Investment Adviser Undertaking Regarding Books and Records

By signing this Form ADV, you also agree to provide, at your own expense, to the U.S. Securities and Exchange Commission at its principal office in Washington D.C., at any Regional or District Office of the Commission, or at any one of its offices in the United States, as specified by the Commission, correct, current, and complete copies of any or all records that you are required to maintain under Rule 204-2 under the Investment Advisers Act of 1940. This undertaking shall be binding upon you, your heirs, successors and assigns, and any *person* subject to your written irrevocable consents or powers of attorney or any of your general partners and *managing agents*.

Signature
-----------

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the *non-resident* investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Title:

Signature: Date: MM/DD/YYYY

Printed Name:

Adviser CRD Number:

106614

## Anti-Predatory Lending Pledge\* for Municipal Depositories

We pledge that we are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code of Chicago. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code of Chicago. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of our designation as a municipal depository.

Fifth Third Bank	
Name of Financial Institution	
- Dalum	Vice President
Signature of Authorized Officer	Title
Todd Sholeen	(312) 802-2227
Name of Authorized Officer (Print or Type)	Business Telephone Number
Subscribed and sworn to before me this  17 day of Oxfoblar 12022  Notary Public  Date: 10/17/32  Name of transaction for which this certificate is significant.	JOSHUA SUEVEL Official Seal Notary Public - State of Illinois My Commission Expires May 12, 2026  ubmitted: Designation as a Municipal Despoitory for 2023
Contact Person: Todd Sholeen	
Address: 6111 N. River Road, 4th Flo	por
Rosemont, IL 60018	
Telephone: (312) 802-2227	

<sup>\*</sup>The definitions of certain terms set forth in Chapter 2-32 of the Municipal Code of Chicago and used in the Anti-Predatory Lending Pledge are reproduced on the attached pages.

## Anti-Predatory Lending Pledge\* for Municipal Depositories

We pledge that we are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code of Chicago. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code of Chicago. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of our designation as a municipal depository.

Fifth Third Bank	
Name of Financial Institution	
- Dalum	Vice President
Signature of Authorized Officer	Title
Todd Sholeen	(312) 802-2227
Name of Authorized Officer (Print or Type)	Business Telephone Number
Subscribed and sworn to before me this  17 day of Oxfoblar 12022  Notary Public  Date: 10/17/32  Name of transaction for which this certificate is significant.	JOSHUA SUEVEL Official Seal Notary Public - State of Illinois My Commission Expires May 12, 2026  ubmitted: Designation as a Municipal Despoitory for 2023
Contact Person: Todd Sholeen	
Address: 6111 N. River Road, 4th Flo	por
Rosemont, IL 60018	
Telephone: (312) 802-2227	

<sup>\*</sup>The definitions of certain terms set forth in Chapter 2-32 of the Municipal Code of Chicago and used in the Anti-Predatory Lending Pledge are reproduced on the attached pages.

#### Loan Policy Pledge for Municipal Depositories

We pledge not to arbitrarily reject mortgage loans for residential properties within a specific geographic area in Chicago because of the location and/or age of the property, or in the case of proposed borrower to arbitrarily vary the terms of those loans or the application procedures for those loans on the basis of race, color, religion, national origin, age, sex, marital status, ancestry, sexual orientation, parental status, source of income, disability or military discharge status. In addition, we pledge to make loans available to low- and moderate-income residential property in the neighborhoods of the City of Chicago within the limits of our legal restriction and prudent financial practices.

We understand that arbitrarily rejecting or varying the terms and/or application procedures of mortgage loans on the basis of the factors listed above may result in the lost of our designation as a municipal depository.

Fifth Third Bank	
Name of Financial Institution	
1000 lulan	Vice President
Signature of Authorized Officer	Title
Todd Sholeen	(312) 802-2227
Name of Authorized Officer (Print or Type)	Business Telephone Number
Subscribed and sworn to before me this  17 day of October 1, 2038  Notary Public  Name of transaction for which this certificate is s	JOSHUA SUEVEL Official Seal Notary Public - State of Illinois My Commission Expires May 12, 2026  Submitted: Designation as a Municipal Despoitory for 2023
Contact Person: Todd Sholeen	
Address: 6111 N. River Road, Four	rth Floor
Rosemont, IL 60018	
Telephone: (312) 802-2227	

#### Loan Policy Pledge for Municipal Depositories

We pledge not to arbitrarily reject mortgage loans for residential properties within a specific geographic area in Chicago because of the location and/or age of the property, or in the case of proposed borrower to arbitrarily vary the terms of those loans or the application procedures for those loans on the basis of race, color, religion, national origin, age, sex, marital status, ancestry, sexual orientation, parental status, source of income, disability or military discharge status. In addition, we pledge to make loans available to low- and moderate-income residential property in the neighborhoods of the City of Chicago within the limits of our legal restriction and prudent financial practices.

We understand that arbitrarily rejecting or varying the terms and/or application procedures of mortgage loans on the basis of the factors listed above may result in the lost of our designation as a municipal depository.

Fifth Third Bank	
Name of Financial Institution	
1000 lulan	Vice President
Signature of Authorized Officer	Title
Todd Sholeen	(312) 802-2227
Name of Authorized Officer (Print or Type)	Business Telephone Number
Subscribed and sworn to before me this  17 day of October 1, 2038  Notary Public  Name of transaction for which this certificate is s	JOSHUA SUEVEL Official Seal Notary Public - State of Illinois My Commission Expires May 12, 2026  Submitted: Designation as a Municipal Despoitory for 2023
Contact Person: Todd Sholeen	
Address: 6111 N. River Road, Four	rth Floor
Rosemont, IL 60018	
Telephone: (312) 802-2227	

#### **CITY OF CHICAGO** ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

#### **SECTION I -- GENERAL INFORMATION**

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/	if applicable:
Fifth Third Bancorp	
Check ONE of the following three boxes:	
Indicate whether the Disclosing Party submitting this EDS is:  1. [] the Applicant OR 2. [X] a legal entity currently holding, or anticipated to hold within six r the contract, transaction or other undertaking to which this EDS pertains (re "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. St name:  Fifth Third Bank, National Association OR	ferred to below as the ate the Applicant's legal
3. [ ] a legal entity with a direct or indirect right of control of the Appli State the legal name of the entity in which the Disclosing Party holds a right	
B. Business address of the Disclosing Party:  38 Fountain Square Plaza  Cincinnati, OH 45263	
C. Telephone: <u>312-738-2458</u> Fax: Email: _j	essica.redman@53.com
D. Name of contact person:	
E. Federal Employer Identification No. (if you have one):31-0854434	
F. Brief description of the Matter to which this EDS pertains. (Include proj property, if applicable): Fifth Third Bank, National Association is the tax credit investor for 43 Green - Phase II, the new construction of an 80-unit mixed use apartment complex in Bronzeville.	ect number and location of
G. Which City agency or department is requesting this EDS? Department of	Housing
If the Matter is a contract being handled by the City's Department of Procure complete the following:	ement Services, please
Specification # and Contract #	
Ver.2018-1 Page 1 of 15	

#### SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

### A. NATURE OF THE DISCLOSING PARTY 1. Indicate the nature of the Disclosing Party: [ ] Limited liability company [ ] Person [ ] Limited liability partnership [X] Publicly registered business corporation [ ] Joint venture [ ] Privately held business corporation Not-for-profit corporation [ ] Sole proprietorship (Is the not-for-profit corporation also a 501(c)(3))? [ ] General partnership [ ] Limited partnership [ ] No [ ] Yes [ ] Other (please specify) [ ] Trust 2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable: 3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity? [ ] Organized in Illinois [X] No [ ] Yes B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY: List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) for not-for-profit corporations, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) for trusts, estates or other similar entities, the trustee, executor, administrator, or similarly situated party; (iv) for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant. NOTE: Each legal entity listed below must submit an EDS on its own behalf. Title Name See attached list

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

state "None." NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf. **Business Address** Percentage Interest in the Applicant Name See Exhibit A SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED **OFFICIALS** Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? [ ] Yes [x] No Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? [ ] Yes [x] No If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation: Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party? [X] No []Yes If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none,

## SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

partner(s) and describe the financial interest(s).

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees ( <u>indicate whether</u> <u>paid or estimated</u> .) <b>NOTE:</b> "hourly rate" or "t.b.d." is not an acceptable response.
(Add sheets if necessary)			
[X] Check here if the Disc	closing Party	y has not retained, nor expects to re	tain, any such persons or entities.
SECTION V CERTII	FICATION	s	
A. COURT-ORDERED	CHILD SU	PPORT COMPLIANCE	
Under MCC Section 2-92 remain in compliance with	2-415, substa th their child	antial owners of business entities th I support obligations throughout the	at contract with the City must contract's term.
Has any person who direct arrearage on any child su	ctly or indire	ectly owns 10% or more of the Disc tions by any Illinois court of compe	losing Party been declared in etent jurisdiction?
[] Yes [x] No []	No person d	lirectly or indirectly owns 10% or n	nore of the Disclosing Party.
If "Yes," has the person e is the person in complian	entered into a	a court-approved agreement for pay agreement?	ment of all support owed and
[ ] Yes [ ] No			
R FURTHER CERTIFIC	CATIONS		

- 1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).
- 2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

- 3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
- 4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
- 5. Certifications (5), (6) and (7) concern:
  - the Disclosing Party:
  - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
  - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
  - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
- 6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
- 7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
- 8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
- 9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
- 10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

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believe has not provided or cannot provide truthful certifications.
11. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:
Certifying to all except B8, B9, B10 as they do not apply as Fifth Third Bancorp is not the applicant.
If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.
12. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").
None
13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.
None
C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION
<ol> <li>The Disclosing Party certifies that the Disclosing Party (check one)</li> <li>[X] is</li> <li>[] is not</li> </ol>
a "financial institution" as defined in MCC Section 2-32-455(b).
2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to

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"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a

predatory lender may result in the loss of the privilege of doing business with the City."

MCC Section 2-32	2-455(b)) is a predatory lender with	because it or any of its affiliates (as defined in in the meaning of MCC Chapter 2-32, explain
here (attach addition	onal pages if necessary):	
	the word "None," or no response a med that the Disclosing Party certi	appears on the lines above, it will be fied to the above statements.
D. CERTIFICATI	ON REGARDING FINANCIAL I	NTEREST IN CITY BUSINESS
Any words or term	s defined in MCC Chapter 2-156 h	ave the same meanings if used in this Part D.
after reasonable in	with MCC Section 2-156-110: To the quiry, does any official or employed the name of any other person or e	the best of the Disclosing Party's knowledge to the City have a financial interest in his or entity in the Matter?
[ ] Yes	[X] No	
	ecked "Yes" to Item D(1), proceed Items D(2) and D(3) and proceed to	to Items D(2) and D(3). If you checked "No" o Part E.
official or employed other person or ent taxes or assessment "City Property Sale	e shall have a financial interest in lity in the purchase of any property ts, or (iii) is sold by virtue of legal	his or her own name or in the name of any that (i) belongs to the City, or (ii) is sold for process at the suit of the City (collectively, ten pursuant to the City's eminent domain the meaning of this Part D.
Does the Matter in	volve a City Property Sale?	
[ ] Yes	[ ] No	
		mes and business addresses of the City officials ify the nature of the financial interest:
Name	Business Address	Nature of Financial Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

#### E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either (1) or (2) below. If the Disclosing Party checks (2), the Disclosing Party must disclose below or in an attachment to this EDS all information required by (2). Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.
X_1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of
the Disclosing Party and any and all predecessor entities regarding records of investments or profits
from slavery or slaveholder insurance policies during the slavery era (including insurance policies
issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and

2. The Disclosing Party verifies that, as a result of conducting the search in step (	1) above, the
Disclosing Party has found records of investments or profits from slavery or slaveholder	er insurance
policies. The Disclosing Party verifies that the following constitutes full disclosure of	all such
records, including the names of any and all slaves or slaveholders described in those re	cords:

#### SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

#### A. CERTIFICATION REGARDING LOBBYING

behalf of the Disclosing Party with respect to the Matter.)

the Disclosing Party has found no such records.

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995, as amended, who have made lobbying contacts on behalf of the Disclosure with respect to the Matter: (Add sheets if necessary):	
N/A	
(If no explanation appears or begins on the lines above, or if the letters "NA" or if the wo appear, it will be conclusively presumed that the Disclosing Party means that NO person registered under the Lobbying Disclosure Act of 1995, as amended, have made lobbying	s or entities

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee Ver.2018-1

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of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

- 3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A(1) and A(2) above.
- 4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.
- 5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A(1) through A(4) above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

#### B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the [ ] Yes	Applicant?			
If "Yes," answer the three of	questions belov	w:		
<ol> <li>Have you developed an federal regulations? (See 4</li> <li>Yes</li> </ol>	11 CFR Part 60		tion programs pursuant	t to applicable
2. Have you filed with the Compliance Programs, or tapplicable filing requirement	he Equal Emp ents?	loyment Opportunity	Commission all reports	Federal Contract s due under the
[ ] Yes	[ ] No	[] Reports not requir	ed	
<ol> <li>Have you participated i equal opportunity clause?</li> <li>Yes</li> </ol>	n any previous	s contracts or subcontr	racts subject to the	
If you checked "No" to que	estion (1) or (2)	) above, please provid	le an explanation:	

#### SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at <a href="https://www.cityofchicago.org/Ethics">www.cityofchicago.org/Ethics</a>, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

#### **CERTIFICATION**

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS, and all applicable Appendices, on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS, and all applicable Appendices, are true, accurate and complete as of the date furnished to the City.

Fifth Third Bancorp
(Print of type exact legal name of Disclosing Party)
By: Sign here)
H. Samuel Lind
(Print or type name of person signing)
Assistant Secretary
(Print or type title of person signing)
Signed and sworn to before me on (date) November 2, 2022
at HAMILTON County, OHIO (state).
Motary Public RIAL
Commission expires:    Michael Richard Keefe, Attorney At Law NOTARY PUBLIC - STATE OF OHIO My commission has no expiration date Sec. 147.03 R.C.

#### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX A

# FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5%. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under MCC Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5% ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

[ ] Yes	[X] No	
which such person	n is connected; (3) the name	ne and title of such person, (2) the name of the legal entity to ne and title of the elected city official or department head to ip, and (4) the precise nature of such familial relationship.
Not applicable as	Fifth Third Bancorp has ind	irect ownership over the applicant

#### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX B

#### BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5% (an "Owner"). It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

		0, is the Applicant or any Owner identified as a building code to MCC Section 2-92-416?
[ ] Yes	[ ] No	
		olicly traded on any exchange, is any officer or director of ode scofflaw or problem landlord pursuant to MCC Section
[ ] Yes	[ ] No	[ ] The Applicant is not publicly traded on any exchange.
3. If yes to (1) or (as a building code sthe pertinent code v	cofflaw or problem	ntify below the name of each person or legal entity identified landlord and the address of each building or buildings to which
Not applicable as	Fifth Third Bancorp	has indirect ownership over the applicant

#### CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT APPENDIX C

#### PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a "contractor" as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants' wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

[ ] Yes
[ ] No
[X] N/A – I am not an Applicant that is a "contractor" as defined in MCC Section 2-92-385.
This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).
If you checked "no" to the above, please explain.

#### Fifth Third Bancorp

Name Title

Nicholas K. Akins Director

Lars C. Anderson EVP & Vice Chairman of Commercial Banking and Strategic

**Growth Initiatives** 

B. Evan Bayh, III Director
Jorge L. Benitez Director
Katherine B. Blackburn Director
Emerson L. Brumback Director

Greg D. Carmichael Executive Chairman

Linda W. Clement-Holmes Director
C. Bryan Daniels Director
Mitchell S. Feiger Director

Kristine R. Garrett EVP & Head of Wealth and Asset Management EVP & Chief Corporate Social Responsibility Officer

Howard Hammond EVP & Head of Consumer Banking

Thomas H. Harvey Director

Mark D. Hazel Executive Vice President and Controller

Gary R. Heminger Director
Jewell D. Hoover Director
Eileen A. Mallesch Director
Michael B. McCallister Director

Nancy C. Pinckney

Kevin P. Lavender

James C. Leonard

Jude A. Schramm

EVP & Chief Human Resources Officer

EVP & Head of Corporate Banking

EVP & Chief Financial Officer

EVP & Chief Information Officer

Robert P. Shaffer EVP & Chief Risk Officer

Timothy N. Spence Director, President & Chief Executive Officer

Richard L. Stein EVP & Chief Credit Officer

Melissa S. Stevens EVP & Head of Digital, Marketing, Design and Innovation

Marsha C. Williams Director

Susan B. Zaunbrecher EVP & Chief Legal Officer

Joseph C. Alter SVP, Chief Communications and Reputation Officer and

Corporate Secretary

Bryan D. Preston Senior Vice President and Treasurer

Brian S. Duba
Assistant Corporate Secretary
Christopher R. England
Assistant Corporate Secretary
Lori G. Heilman
Assistant Corporate Secretary
Assistant Corporate Secretary
Assistant Corporate Secretary
Shaun B. Patsy
Assistant Corporate Secretary

#### **Exhibit A**

Fifth Third Financial Corporation, 38 Fountain Square Plaza, Cincinnati, OH 45263 – 100% owner of Fifth Third Bank, National Association.

Fifth Third Bancorp, 38 Fountain Square Plaza, Cincinnati, OH 45263 – 100% owner of Fifth Third Financial Corporation.

The Vanguard Group, 100 Vanguard Blvd, Malvern, PA 19355 – owns 12.35% interest in Fifth Third Bancorp. See ADV

Blackrock, Inc., 55 East 52<sup>nd</sup> Street, New York, NY 10055 — owns a 8.06% interest in Fifth Third Bancorp. See ADV

Classification: Internal Use

#### **FORM ADV**

#### UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

Prin	nary Business Name: VAN	NGUARD GROUP INC		CRD Number: 105958
Oth	er-Than-Annual Amendm	ent - All Sections		Rev. 10/2021
7/6	/2022 10:27:48 AM			
WA	·	-	ts or omissions may result in denial o d by filing periodic amendments. See	of your application, revocation of your registration, or criminal Form ADV General Instruction 4.
ter	m 1 Identifying Information	on		
	•		•	ntact you. If you are filing an <i>umbrella registration</i> , the es information to assist you with filing an <i>umbrella registration</i> .
Α.	Your full legal name (if your full legal name)		last, first, and middle names):	
B.	(1) Name under which you VANGUARD GROUP INC		isory business, if different from Item ?	1.A.
	List on Section 1.B. of Sch	nedule D any additional names	under which you conduct your advisor	ry business.
	(2) If you are using this I	Form ADV to register more th	nan one investment adviser under an	umbrella registration, check this box $\square$
	If you check this box, com	nplete a Schedule R for each re	lying adviser.	
C.	name change is of	a change in your legal name (I		(Item 1.B.(1)), enter the new name and specify whether the
D.	(2) If you report to the S	SEC as an <i>exempt reporting ad</i>	nt adviser, your SEC file number: <b>80</b> ° <i>lviser</i> , your SEC file number: ers assigned by the SEC ("CIK Number	
	102909			
E.	(1) If you have a number	- (" <i>CRD</i> Number") assigned by	y the <i>FINRA's CRD</i> system or by the I <i>F</i>	ARD system, your <i>CRD</i> number: <b>105958</b>
	If your firm does not have	a CRD number, skip this Item	n 1.E. Do not provide the CRD number (	of one of your officers, employees, or affiliates.
	(2) If you have additiona	I <i>CRD</i> Numbers, your addition	nal <i>CRD</i> numbers:	
			No Information Filed	
F.	Principal Office and Place o	of Rusinass		
• •	(1) Address (do not use			
	Number and Street 1	·	Number and Street 2:	
	100 VANGUARD BLVD	)	V26	
	City:	State:	Country:	ZIP+4/Postal Code:
	MALVERN	Pennsylvania	United States	19355
	If this address is a p	rivate residence, check this b	oox:	
	you are applying for i which you are applyir	registration, or are registered, ng for registration or with whor o the SEC as an exempt report	with one or more state securities auth m you are registered. If you are applyin	business, at which you conduct investment advisory business. If norities, you must list all of your offices in the state or states to any for SEC registration, if you are registered only with the SEC, or offices in terms of numbers of employees as of the end of your
	(2) Days of week that yo	•	s at your <i>principal office and place of b</i> u	usiness:
	Normal business hou 8:30AM - 5:30PM	urs at this location:		
	(3) Telephone number a 610-669-1000	t this location:		

(4) Facsimile number at this location, if any:

610-669-6600

		ber of offices, other than your recently completed fiscal year?	• • •	<i>iness</i> , at which you conduct investment advisory busir	iess as of
G.	Mailing address, if differen	t from your <i>principal office and</i>	place of business address:		
O.	Number and Street 1:	e ir om your principal office and	Number and Street 2		
	City:	State:	Country:	ZIP+4/Postal Code:	
	•	_	·	Zii i i/i ostai oodo.	
	If this address is a private	e residence, check this box: $\Box$			
Н.	If you are a sole proprieto	r, state your full residence add	Iress, if different from your <i>pri</i>	ncipal office and place of business address in Item 1.F.:	
	Number and Street 1:		Number and Street 2	:	
	City:	State:	Country:	ZIP+4/Postal Code:	
					Yes No
I.	Do you have one or more LinkedIn)?	websites or accounts on public	ly available social media platfo	orms (including, but not limited to, Twitter, Facebook a	and o O
	If a website address serves addresses for all of the other available social media platfo	s as a portal through which to ac er information. You may need to	ccess other information you have list more than one portal addre the content. Do not provide the l	publicly available social media platforms on Section 1.1. or the published on the web, you may list the portal without less. Do not provide the addresses of websites or account andividual electronic mail (e-mail) addresses of employees.	listing ts on publicly
J.		contact information of your Chi Compliance Officer, if you have		are an exempt reporting adviser, you must provide the	contact
	, and the second	compliance officer, if you have	Ţ	e Item T.K. below.	
	Name: Telephone number:		Other titles, if any: Facsimile number, if a	any:	
	Number and Street 1:		Number and Street 2		
	City:	State:	Country:	ZIP+4/Postal Code:	
	Orty.	State.	Country.	ZII +4/1 Ostal Gode.	
	(2) If your Chief Complian	npany Act of 1940 that you adv mber (if any):	mployed by any <i>person</i> other t	han you, a <i>related person</i> or an investment company r nce officer services to you, provide the <i>person's</i> name	-
K.	• •	tact Person: If a person other may provide that information h	•	icer is authorized to receive information and respond	to questions
	Name:		Titles:		
	Telephone number:		Facsimile number, if a	ny:	
	Number and Street 1:		Number and Street 2		
	City:	State:	Country:	ZIP+4/Postal Code:	
	Electronic mail (e-mail) a	ddress, if contact person has o	ne:		
L.	•	all of the books and records your principal office and place of b	•	Section 204 of the Advisers Act, or similar state law,	Yes No <b>⊙</b> ○
	If "yes," complete Section	1.L. of Schedule D.			Yes No
M.	Are you registered with a	foreign financial regulatory auth	ority?		0 0
	•	registered with a foreign financi s," complete Section 1.M. of Sch		you have an affiliate that is registered with a foreign final	ncial
					Yes No
N.	Are you a public reporting	company under Sections 12 or	15(d) of the Securities Excha	nge Act of 1934?	0 0
					Yes No
Ο.	•	more in assets on the last day imate amount of your assets: \$10 billion	of your most recent fiscal year	r?	⊚ 0

J.

	C \$50 billion or more				
	For purposes of Item 1.0. only, "assets the total assets shown on the balance s		_	manage on behalf of clients. Determine your	total assets using
Р.	Provide your <i>Legal Entity Identifier</i> if yo 5493002789CX3L0CJP65	ou have one:			
	A legal entity identifier is a unique num identifier.	ber that companies use t	to identify each other in the fir	nancial marketplace. You may not have a <i>le</i> ç	ŋal entity
SEC	CTION 1.B. Other Business Names				
			No Information Filed		
SEC	CTION 1.F. Other Offices				
Yo		Section 1.F. for each loc	cation. If you are applying for	siness, at which you conduct investment ad SEC registration, if you are registered only versions of employees).	-
	umber and Street 1: 1321 NORTHSIGHT BLVD		Number and Street 2:		
	ty: COTTSDALE	State: Arizona	Country: United States	ZIP+4/Postal Code: 85260	
lf	this address is a private residence, chec	k this box:			
	elephone Number: 30-713-8456	Facsimile Num	ber, if any:		
ac	this office location is also required to be dviser on the Uniform Branch Office Regis 55468	•		s a branch office location for a broker-deale h Number here:	or investment
Ho 15	ow many <i>employees</i> perform investment 5	advisory functions from	this office location?		
	re other business activities conducted at  (1) Broker-dealer (registered or unregis		eck all that apply)		
	<ul><li>(2) Bank (including a separately identifi</li><li>(3) Insurance broker or agent</li></ul>		ion of a bank)		
	<ul><li>(4) Commodity pool operator or commodity</li><li>(5) Registered municipal advisor</li></ul>	dity trading advisor (wh	ether registered or exempt fro	m registration)	
	(6) Accountant or accounting firm (7) Lawyer or law firm				
	escribe any other investment-related bus	iness activities conducte	d from this office location:		
SEC	CTION 1.I. Website Addresses				
lir		·	•	platforms where you control the content (ir n 1.I. for each website or account on a publ	•
Ac	ddress of Website/Account on Publicly Av	railable Social Media Plati	form: HTTP://INSTAGRAM.CC	M/VANGUARDGROUP	
Ac	ddress of Website/Account on Publicly Av	ailable Social Media Plati	form: HTTP://WWW.INSTAGR	RAM.COM/LIFEATVANGUARD	

\$10 billion to less than \$50 billion

Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.YOUTUBE.COM/VANGUARD
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://TWITTER.COM/VANGUARD_INSTL
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.LINKEDIN.COM/COMPANY/VANGUARD-INSTITUTIONAL-INVESTING
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.LINKEDIN.COM/IN/MORTIMERJBUCKLEY
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.LINKEDIN.COM/COMPANY/VANGUARD
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://TWITTER.COM/VANGUARD_PR
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://PRESSROOM.VANGUARD.COM/#/
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.VANGUARDJOBS.COM
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.LINKEDIN.COM/COMPANY/VANGUARD-ADVISOR-SERVICES
Address of Website/Account on Publicly Available Social Media Platform:	HTTP://WWW.VANGUARD.COM
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://WWW.FACEBOOK.COM/VANGUARD
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://TWITTER.COM/VANGUARD_GROUP
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://PLUS.GOOGLE.COM/+VANGUARD#+VANGUARD/POSTS
Address of Website/Account on Publicly Available Social Media Platform:	HTTPS://TWITTER.COM/VANGUARD_FA
SECTION 1.L. Location of Books and Records	
Complete the following information for each location at which you keep your must complete a separate Schedule D, Section 1.L. for each location.	your books and records, other than your principal office and place of business. You
Name of entity where books and records are kept:	

IRON MOUNTAIN INC

Number and Street 1:

2500 HENDERSON DRIVE

City: State:

SHARON HILL United States 19079 Pennsylvania

If this address is a private residence, check this box:  $\ \square$ 

Number and Street 2:

ZIP+4/Postal Code: Country:

		lumber: 00 X3008	Facsimile number, if any:			
		k one): our branch offices or affiliates.				
⊙ a t	third-p	arty unaffiliated recordkeeper.				
o ot	her.					
STOR	AGE OF	ribe the books and records kep F CLIENT AND OTHER FILES CO NG CODE.		PONDENCE, RECOMMENDA	TIONS AND TRANSACTIONS, IN ADDITION TO	
		tity where books and records a M, INC.	are kept:			
		Street 1: AVENUE NORTH		Number and Street 2:		
City:			State:	Country:	ZIP+4/Postal Code:	
SEAT	ΓLE		Washington	United States	98109	
If this	addre	ess is a private residence, chec	k this box:			
	hone N 166-100	lumber: 00	Facsimile number, if any:			
		k one): our branch offices or affiliates.				
o a i	third-p	arty unaffiliated recordkeeper.				
⊙ ot	her.					
STOR	AGE OF	ribe the books and records kep F CLIENT AND OTHER FILES CO NG CODE.		PONDENCE, RECOMMENDA	TIONS AND TRANSACTIONS, IN ADDITION TO	
SECTIO	ON 1.M	1. Registration with Foreign F	inancial Regulatory Authorities	<b>S</b>		
			No Inf	ormation Filed		
tem 2	SEC R	egistration/Reporting				
SEC re	gistrat		dating amendment to your SEC r	•	C. Complete this Item 2.A. only if you are applying fong an <i>umbrella registration</i> , the information in Item 2	or
<i>aı</i> pr	nnual u ovides	pdating amendment to your SE	•	nger eligible to register w	) through 2.A.(12), below. If you are submitting an ith the SEC, check Item 2.A.(13). Part 1A Instruction nese items.	2
F	-	are a large advisory firm th	at oithor			
12	(1)		at either: der management of \$100 million	(in 11 S. dollars) or more:	or	
			G			
	_	amendment and is registed	_	iii o.s. dollais) or more a	t the time of filing its most recent annual updating	
	(2)	are a mid-sized advisory fir	<b>m</b> that has regulatory assets ur	ider management of \$25	million (in U.S. dollars) or more but less than \$100	

(b) not subject to examination by the *state securities authority* of the state where you maintain your *principal office and place of business*; Click **HERE** for a list of states in which an investment adviser, if registered, would not be subject to examination by the state securities authority.

(a) not required to be registered as an adviser with the state securities authority of the state where you maintain your principal office and place

million (in U.S. dollars) and you are either:

of business; or

	(3)	Reserved			
	(4)	have your principal office and p	place of business outside the United	States;	
F	(5)	are an investment adviser (o	r subadviser) to an investment co	mpany registered under the Investme	ent Company Act of 1940;
Е	(6)			be a business development company stion, and you have at least \$25 million	•
	(7)	are a <b>pension consultant</b> with in rule 203A-2(a);	respect to assets of plans having a	an aggregate value of at least \$200,00	00,000 that qualifies for the exemption
Г	(8)			olled by, or is under common control witness is the same as the registered adv	
		If you check this box, complete	Section 2.A.(8) of Schedule D.		
	(9)	are an <b>adviser</b> relying on rule	203A-2(c) because you expect to be	oe eligible for SEC registration withir	n 120 days;
		If you check this box, complete	Section 2.A.(9) of Schedule D.		
	(10)	,		re states and is relying on rule 203A-20	(d):
	()	If you check this box, complete			(47)
Г	1 (44)	,			
	_ (	are an Internet adviser relyin			
	(12)	have <b>received an SEC order</b> 6	exempting you from the prohibition	against registration with the SEC;	
		If you check this box, complete	Section 2.A. (12) of Schedule D.		
	(13)	are <b>no longer eligible</b> to rema	nin registered with the SEC.		
	-				
			nd State Reporting by Exempt Rep	•	Form ADV and any amendments they
lik ac tc th	ke to reddition the S	eceive notice of this and all substal state(s), check the box(es) nection is an amendment to yes) next to those state(s).	sequent filings or reports you submiext to the state(s) that you would li	ke to receive notice of this and all sub	to direct your notice filings or reports to
	□ AL			□ NE	□ sc
	□ AK		□ IN	□ NV	□ <sub>SD</sub>
	☐ AZ		□ IA	□ NH	□ <sub>TN</sub>
	AR		□ KS	∥ □ NJ	□ <sub>TX</sub>
	☐ CA		□ KY	□ NM	□ UT
	СО		□ LA	□ NY	□ vī
	СТ		□ ME	□ NC	□ VI
	☐ DE		□ MD	□ ND	□ va
	□ DC		□ MA	□ он	□ wa
	□ FL		□ MI	□ ок	□ wv
	☐ GA		□ MN	□ OR	□ wi
	□ GU		□ MS	□ PA	□ wy
	П ні		□ мо	□ PR	
	□ ID		□ MT	□ RI	
	_			n going to a state that currently receives ust be filed before the end of the year (L	s them and you do not want to pay that December 31).
If you with a	are rel	,	•	gistration because you <i>control</i> , are <i>con</i> fice and place of business is the same a	strolled by, or are under common control s that of the registered adviser,
Name	of Reg	istered Investment Adviser			
CPD N	umher	of Registered Investment Advis	or		

SECTION 2.A.(9) Investment Adviser Expecting to be Eligible for Commission Registration within 120 Days
If you are relying on rule 203A-2(c), the exemption from the prohibition on registration available to an adviser that expects to be eligible for SEC registration within 120 days, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations. You must make both of these representations:
I am not registered or required to be registered with the SEC or a <i>state securities authority</i> and I have a reasonable expectation that I will be eligible to register with the SEC within 120 days after the date my registration with the SEC becomes effective.
I undertake to withdraw from SEC registration if, on the 120th day after my registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.
SECTION 2.A.(10) Multi-State Adviser
If you are relying on rule 203A-2(d), the multi-state adviser exemption from the prohibition on registration, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations.
If you are applying for registration as an investment adviser with the SEC, you must make both of these representations:
I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of 15 or more states to register as an investment adviser with the state securities authorities in those states.
I undertake to withdraw from SEC registration if I file an amendment to this registration indicating that I would be required by the laws of fewer than 15 states to register as an investment adviser with the <i>state securities authorities</i> of those states.
If you are submitting your <i>annual updating amendment</i> , you must make this representation:
Within 90 days prior to the date of filing this amendment, I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of at least 15 states to register as an investment adviser with the state securities authorities in those states.
SECTION 2.A.(12) SEC Exemptive Order
If you are relying upon an SEC <i>order</i> exempting you from the prohibition on registration, provide the following information:
Application Number:
803-
Date of <i>order</i> :
Item 3 Form of Organization
If you are filing an umbrella registration, the information in Item 3 should be provided for the filing adviser only.
A. How are you organized?
© Corporation
C Sole Proprietorship
C Limited Liability Partnership (LLP)
Partnership
C Limited Liability Company (LLC)
C Limited Partnership (LP)
Other (specify):
If you are changing your response to this Item, see Part 1A Instruction 4.
B. In what month does your fiscal year end each year?  DECEMBER
C. Under the laws of what state or country are you organized?  State Country
Pennsylvania United States
If you are a partnership, provide the name of the state or country under whose laws your partnership was formed. If you are a sole proprietor, provide the name of the state or country where you reside.
If you are changing your response to this Item, see Part 1A Instruction 4.

SEC Number of Registered Investment Adviser

ten	า 4 Sเ	uccessions	
Α.		you, at the time of this filing, succeeding to the business of a registered investment adviser, including, for example, a change of your cture or legal status (e.g., form of organization or state of incorporation)?	∕es No
	If "y	ves", complete Item 4.B. and Section 4 of Schedule D.	
B.	Date	e of Succession: (MM/DD/YYYY)	
	If yo	ou have already reported this succession on a previous Form ADV filing, do not report the succession again. Instead, check "No." See Part 1A Instru	ition 4.
SEC	ΓΙΟΝ	I 4 Successions	
		No Information Filed	
ten	15 Ir	nformation About Your Advisory Business - Employees, Clients, and Compensation	
		es to this Item help us understand your business, assist us in preparing for on-site examinations, and provide us with data we use when many policy. Part 1A Instruction 5.a. provides additional guidance to newly formed advisers for completing this Item 5.	king
Em	ploye	ees	
_		e organized as a sole proprietorship, include yourself as an employee in your responses to Item 5.A. and Items 5.B.(1), (2), (3), (4), and (5). If an eperforms more than one function, you should count that employee in each of your responses to Items 5.B.(1), (2), (3), (4), and (5).	
A.	Appr 520	roximately how many <i>employees</i> do you have? Include full- and part-time <i>employees</i> but do not include any clerical workers.	
B.	(1)	Approximately how many of the <i>employees</i> reported in 5.A. perform investment advisory functions (including research)?	
	(2)	Approximately how many of the <i>employees</i> reported in 5.A. are registered representatives of a broker-dealer?	
	(3)	Approximately how many of the <i>employees</i> reported in 5.A. are registered with one or more <i>state securities authorities</i> as <i>investment advise representatives</i> ?	
	(4)	Approximately how many of the <i>employees</i> reported in 5.A. are registered with one or more <i>state securities authorities</i> as <i>investment advise representatives</i> for an investment adviser other than you?	
	(5)	Approximately how many of the <i>employees</i> reported in 5.A. are licensed agents of an insurance company or agency?	
	(6)	Approximately how many firms or other <i>persons</i> solicit advisory <i>clients</i> on your behalf?	
	_	our response to Item 5.B.(6), do not count any of your employees <b>and count a firm only once – do not count each of the firm's</b> employees that soli r behalf.	it on
Clie	ents		
_		responses to Items 5.C. and 5.D. do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relation se investors.	ship

To approximately how many *clients* for whom you do not have regulatory assets under management did you provide investment advisory services

D. For purposes of this Item 5.D., the category "individuals" includes trusts, estates, and 401(k) plans and IRAs of individuals and their family members, but does

1940. Unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment

The category "business development companies" consists of companies that have made an election pursuant to section 54 of the Investment Company Act of

during your most recently completed fiscal year?

not include businesses organized as sole proprietorships.

Company Act of 1940, do not answer (1)(d) or (3)(d) below.

0%

(2) Approximately what percentage of your *clients* are non-*United States persons*?

Indicate the approximate number of your *clients* and amount of your total regulatory assets under management (reported in Item 5.F. below) attributable to each of the following type of *client*. If you have fewer than 5 *clients* in a particular category (other than (d), (e), and (f)) you may check Item 5.D.(2) rather than respond to Item 5.D.(1).

The aggregate amount of regulatory assets under management reported in Item 5.D.(3) should equal the total amount of regulatory assets under management reported in Item 5.F.(2)(c) below.

If a *client* fits into more than one category, select one category that most accurately represents the *client* to avoid double counting *clients* and assets. If you advise a registered investment company, business development company, or pooled investment vehicle, report those assets in categories (d), (e), and (f) as applicable.

Type of <i>Client</i>	(1) Number of Client(s)	(2) Fewer than 5 Clients	(3) Amount of Regulatory Assets under Management
(a) Individuals (other than high net worth individuals)	0		\$ O
(b) High net worth individuals	0		\$ O
(c) Banking or thrift institutions	0		\$ O
(d) Investment companies	217		\$ 7,795,749,144,000
(e) Business development companies	0		\$ O
(f) Pooled investment vehicles (other than investment companies and business development companies)	2		\$ 342,160,104
(g) Pension and profit sharing plans (but not the plan participants or government pension plans)	0		\$ O
(h) Charitable organizations	0		\$ O
(i) State or municipal government entities (including government pension plans)	0		\$ O
(j) Other investment advisers	0		\$ O
(k) Insurance companies	0		\$ O
(I) Sovereign wealth funds and foreign official institutions	0		\$ O
(m) Corporations or other businesses not listed above	0		\$ O
(n) Other:	0		\$ O

Con	Compensation Arrangements			
E.	You	are c	ompensated for your investment advisory services by (check all that apply):	
	V	(1)	A percentage of assets under your management	
		(2)	Hourly charges	
		(3)	Subscription fees (for a newsletter or periodical)	
		(4)	Fixed fees (other than subscription fees)	
		(5)	Commissions	
		(6)	Performance-based fees	
	V	(7)	Other (specify): ALLOCATED SHARE OF VANGUARD'S TOTAL COST OF OPERATIONS	

Yes No

0

**(** 

# F. (1) Do you provide continuous and regular supervisory or management services to securities portfolios? (2) If yes, what is the amount of your regulatory assets under management and total number of accounts? U.S. Dollar Amount Total Number of Accounts Discretionary: (a) \$7,796,091,304,104 (d) 219 Non-Discretionary: (b) \$0 Total: (c) \$7,796,091,304,104 (f) 219

Part 1A Instruction 5.b. explains how to calculate your regulatory assets under management. You must follow these instructions carefully when completing this Item.

(3) What is the approximate amount of your total regulatory assets under management (reported in Item 5.F.(2)(c) above) attributable to *clients* who are non-*United States persons*?

\$ 342,160,104

#### Item 5 Information About Your Advisory Business - Advisory Activities

#### **Advisory Activities**

- G. What type(s) of advisory services do you provide? Check all that apply.
  - (1) Financial planning services
    (2) Portfolio management for in
    - (2) Portfolio management for individuals and/or small businesses

	(4) (5) (6) (7) (8) (9) (10) (11) (12)	section 54 of the Investment Company Act of 1940)  Portfolio management for pooled investment vehicles (other than investment companies)  Portfolio management for businesses (other than small businesses) or institutional <i>clients</i> (other than registered investment companies)  Pension consulting services  Selection of other advisers (including <i>private fund</i> managers)  Publication of periodicals or newsletters  Security ratings or pricing services  Market timing services  Educational seminars/workshops  Other(specify):		ıd
Inve	estmei	neck Item 5.G.(3) unless you provide advisory services pursuant to an investment advisory contract to an investment company registered unto Company Act of 1940, including as a subadviser. If you check Item 5.G.(3), report the 811 or 814 number of the investment company of the companies to which you provide advice in Section 5.G.(3) of Schedule D.		ne
0 0 0 0 0 0 0	0 1 - 1 11 - 26 - 51 - 101 251 More If mo (roun	25 50 100 - 250 - 500 e than 500 ore than 500, how many? nd to the nearest 500)  esponses to this Item 5.H., do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship.	ionship	
(1) (2) (	Do yo If you a) <i>spo</i> \$ b) poi	ou participate in a wrap fee program?  In participate in a wrap fee program, what is the amount of your regulatory assets under management attributable to acting assets onsor to a wrap fee program  Introduction of the same wrap fee program?  Introduction of the same wrap fee program?	Yes	
If yo	ou rep	port an amount in Item 5.1.(2)(c), do not report that amount in Item 5.1.(2)(a) or Item 5.1.(2)(b).		
If yo	our in\	e a portfolio manager for a wrap fee program, list the names of the programs, their sponsors and related information in Section 5.1.(2) of Sch volvement in a wrap fee program is limited to recommending wrap fee programs to your clients, or you advise a mutual fund that is offered program, do not check Item 5.1.(1) or enter any amounts in response to Item 5.1.(2).		
(1) inve	In res estme	sponse to Item 4.B. of Part 2A of Form ADV, do you indicate that you provide investment advice only with respect to limited types of	Yes O	•
(1)	Do yo	ly Managed Account <i>Clients</i> ou have regulatory assets under management attributable to <i>clients</i> other than those listed in Item 5.D.(3)(d)-(f) (separately account <i>clients</i> )?	Yes O	
(2)	Do yo	mplete Section 5.K.(1) of Schedule D.  ou engage in borrowing transactions on behalf of any of the separately managed account clients that you advise?  mplete Section 5.K.(2) of Schedule D.	0	0
(3)	Do yo	ou engage in derivative transactions on behalf of any of the separately managed account clients that you advise?	0	0

Н.

1.

J.

K.

	(4) After subtracting the amounts in Item 5.D.(3)(d)-(f) above from your total regulatory assets under management, does any custodian hold ten percent or more of this remaining amount of regulatory assets under management?	0	0
	If yes, complete Section 5.K.(3) of Schedule D for each custodian.		
-•	Marketing Activities	Yes	No
	(1) Do any of your advertisements include:	103	140
	(a) Performance results?	0	0
	(b) A reference to specific investment advice provided by you (as that phrase is used in rule 206(4)-1(a)(5))?	0	0
	(c) Testimonials (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	0	0
	(d) Endorsements (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	0	0
	(e) Third-party ratings?	0	0
	(2) If you answer "yes" to L(1)(c), (d), or (e) above, do you pay or otherwise provide cash or non-cash compensation, directly or indirectly, in connection with the use of <i>testimonials</i> , <i>endorsements</i> , or <i>third-party ratings</i> ?	0	0
	(3) Do any of your advertisements include hypothetical performance?	0	0
	(4) Do any of your advertisements include predecessor performance?	0	0
E(	CTION 5.G.(3) Advisers to Registered Investment Companies and Business Development Companies		
CC	you check Item 5.G.(3), what is the SEC file number (811 or 814 number) of each of the registered investment companies and business development of the registered investment companies and business development of the registered investment Schedule D Section 5.G.(3) for each registered to which you act as an adviser.		ed
	EC File Number 11 - 00121		
	rovide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or usiness development company that you advise.	<u>-</u>	
	No Information Filed		
	No Thiormation Filed		
	EC File Number 11 - 00834		
	rovide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or usiness development company that you advise.	-	
	No Information Filed		
	NO INICITIONAL PROGRAMMENT AND ADDRESS OF THE PROGRAMMENT AND		
		_	
	EC File Number 11 - 01027		
-			

Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or

If yes, complete Section 5.K.(2) of Schedule D.

business development company that you advise.
No Information Filed
SEC File Number 811 - 01530
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
No Information Filed
SEC File Number 811 - 01766
Dravide the regulatory exects under management of all parallel managed asseguets related to a registered investment company (or series thereof) or
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number
811 - 02368
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
SEC File Number 811 - 02554
011 - 02554
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
No Information Filed
SEC File Number
811 - 02652
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or

No Information Filed

SEC File Number
811 - 02687
Provide the regulatory assets under management of all parallal managed asseguate related to a registered investment company (or series thereof) or
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number
811 - 02968
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
business development company that you advise.
No Information Filed
SEC File Number 811 - 0296899
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
SEC File Number 811 - 03916
611 - 03910
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
NO IIIIOITTIALIOII FIIEU
SEC File Number
811 - 03919
Provide the regulatory assets under management of all parallal managed associated to a registered investment commany (or cories there-6)
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed

SEC File Number 811 - 04098
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 04474
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 04526
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 04570
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 04571
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number

811 - 04627

Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.					
No Information Filed					
SEC File Number					
811 - 04681					
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.					
No Information Filed					
No miormation riled					
SEC File Number					
811 - 05340					
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.					
No Information Filed					
SEC File Number 811 - 05445					
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.					
No Information Filed					
SEC File Number 811 - 05628					
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.					
No Information Filed					
TO THOMASON FROM					
SEC File Number 811 - 05962					
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or					

business development company that you advise.

No Information Filed
SEC File Number
811 - 05972
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or
business development company that you advise.
business development company that you duvise.
No Information Filed
SEC File Number
811 - 06083
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
SEC File Number
811 - 06093
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
SEC File Number
811 - 07043
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or
business development company that you advise.
No Information Filed
CEC Eile Museleur
SEC File Number
811 - 07175
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or
business development company that you advise.

No Information Filed

SEC File Number 811 - 07239
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 07443
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 07803
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number 811 - 09005
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed
SEC File Number
811 - 21478
Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) or business development company that you advise.
No Information Filed

SEC File Number 811 - 22114

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

No Information Filed

SEC File Number

811 - 22619

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

No Information Filed

SEC File Number

811 - 58431

Provide the regulatory assets under management of all *parallel managed accounts* related to a registered investment company (or series thereof) or business development company that you advise.

No Information Filed

# SECTION 5.1.(2) Wrap Fee Programs

No Information Filed

## SECTION 5.K.(1) Separately Managed Accounts

After subtracting the amounts reported in Item 5.D.(3)(d)-(f) from your total regulatory assets under management, indicate the approximate percentage of this remaining amount attributable to each of the following categories of assets. If the remaining amount is at least \$10 billion in regulatory assets under management, complete Question (a). If the remaining amount is less than \$10 billion in regulatory assets under management, complete Question (b).

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise.

End of year refers to the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. Mid-year is the date six months before the end of year date. Each column should add up to 100% and numbers should be rounded to the nearest percent.

Investments in derivatives, registered investment companies, business development companies, and pooled investment vehicles should be reported in those categories. Do not report those investments based on related or underlying portfolio assets. Cash equivalents include bank deposits, certificates of deposit, bankers' acceptances and similar bank instruments.

Some assets could be classified into more than one category or require discretion about which category applies. You may use your own internal methodologies and the conventions of your service providers in determining how to categorize assets, so long as the methodologies or conventions are consistently applied and consistent with information you report internally and to current and prospective clients. However, you should not double count assets, and your responses must be consistent with any instructions or other guidance relating to this Section.

(a)	Asset Type	Mid-year	End of year
	(i) Exchange-Traded Equity Securities	%	%
	(ii) Non Exchange-Traded Equity Securities	%	%
	(iii) U.S. Government/Agency Bonds	%	%
	(iv) U.S. State and Local Bonds	%	%

(v) Sovereign Bonds	%	%
(vi) Investment Grade Corporate Bonds	%	%
(vii) Non-Investment Grade Corporate Bonds	%	%
(viii) Derivatives	%	%
(ix) Securities Issued by Registered Investment Companies or Business Development Companies	%	%
(x) Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	%	%
(xi) Cash and Cash Equivalents	%	%
(xii) Other	%	%

Generally describe any assets included in "Other"

Ass	et Type	End of year
(i)	Exchange-Traded Equity Securities	%
(ii)	Non Exchange-Traded Equity Securities	%
(iii)	U.S. Government/Agency Bonds	%
(iv)	U.S. State and Local Bonds	%
(v)	Sovereign Bonds	%
(vi)	Investment Grade Corporate Bonds	%
(vii)	Non-Investment Grade Corporate Bonds	%
(viii)	Derivatives	%
(ix)	Securities Issued by Registered Investment Companies or Business Development Companies	%
(x)	Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	%
(xi)	Cash and Cash Equivalents	%
(xii)	Other	%

Generally describe any assets included in "Other"

# SECTION 5.K.(2) Separately Managed Accounts - Use of *Borrowings* and Derivatives

 $\square$  No information is required to be reported in this Section 5.K.(2) per the instructions of this Section 5.K.(2)

If your regulatory assets under management attributable to separately managed accounts are at least \$10 billion, you should complete Question (a). If your regulatory assets under management attributable to separately managed accounts are at least \$500 million but less than \$10 billion, you should complete Question (b).

(a) In the table below, provide the following information regarding the separately managed accounts you advise. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise. End of year refers to the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. Mid-year is the date six months before the end of year date.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any *borrowings* and (b) the *gross notional value* of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of borrowings for the accounts included in column 1.

In column 3, provide aggregate gross notional value of derivatives divided by the aggregate regulatory assets under management of the accounts included in column 1 with respect to each category of derivatives specified in 3(a) through (f).

You may, but are not required to, complete the table with respect to any separately managed account with regulatory assets under management of less than \$10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

(i) Mid-Year

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings		(3)	Derivative E	Exposures		
			(a) Interest Rate	(b) Foreign Exchange	(c) Credit	(d) Equity	(e) Commodity	(f) Other

			Derivative	Derivative	Derivative	Derivative	Derivative	Derivative
Less than 10%	\$	\$	0 %	0 %	0 %	0 %	0 %	0 %
10-149%	\$	\$ O	0 %	0 %	0 %	0 %	0 %	0 %
150% or more	\$ O	\$ 0	0 %	0 %	0 %	0 %	0 %	0 %

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

#### (ii) End of Year

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings	(3) Derivative Exposures					
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative	(d) Equity Derivative	(e) Commodity Derivative	(f) Other Derivative
Less than 10%	\$ O	\$ 0	0 %	0 %	0 %	0 %	0 %	0 %
10-149%	\$ O	\$ 0	0 %	0 %	0 %	0 %	0 %	0 %
150% or more	\$ O	\$ 0	0 %	0 %	0 %	0 %	0 %	0 %

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

(b) In the table below, provide the following information regarding the separately managed accounts you advise as of the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any *borrowings* and (b) the *gross notional value* of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of borrowings for the accounts included in column 1.

You may, but are not required to, complete the table with respect to any separately managed accounts with regulatory assets under management of less than \$10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings
Less than 10%	\$ 0	\$ 0
10-149%	\$ 0	\$ 0
150% or more	\$ 0	\$ 0

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

## SECTION 5.K.(3) Custodians for Separately Managed Accounts

No Information Filed

## Item 6 Other Business Activities

In this Item, we request information about your firm's other business activities.

- A. You are actively engaged in business as a (check all that apply):
  - ☐ (1) broker-dealer (registered or unregistered)
  - (2) registered representative of a broker-dealer
  - (3) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
  - (4) futures commission merchant
  - (5) real estate broker, dealer, or agent
  - (6) insurance broker or agent
  - (7) bank (including a separately identifiable department or division of a bank)
  - (8) trust company
  - (9) registered municipal advisor
  - (10) registered security-based swap dealer

		<ul> <li>(11) major security-based swap participant</li> <li>(12) accountant or accounting firm</li> <li>(13) lawyer or law firm</li> </ul>	
		(14) other financial product salesperson (specify):	
	If yo	ou engage in other business using a name that is different from the names reported in Items 1.A. or 1.B.(1), complete Section 6.A. of Schedule D.	
В.	(1)	Are you gettingly engaged in any other business not listed in Itans ( A (other them siving investment advise)?	es No
<i>ن</i> .	(2)		
	(2)	If "yes," describe this other business on Section 6.B.(2) of Schedule D, and if you engage in this business under a different name, provide that name.	
			es No
	(3)	Do you sell products or provide services other than investment advice to your advisory clients?	9 0
		If "yes," describe this other business on Section 6.B.(3) of Schedule D, and if you engage in this business under a different name, provide that name	е.
EC	TION	6.A. Names of Your Other Businesses	
		No Information Filed	
EC	TION	I 6.B.(2) Description of Primary Business	
Des	cribe	e your primary business (not your investment advisory business):	
		VIDES ITS CLIENTS WITH CORPORATE, MANAGEMENT & ADMINISTRATIVE MUTUAL FUND SERVICES, INCLUDING LEGAL, ACCOUNTING, TRANSFER & DISTRIBUTION SERVICES.	
lf y	ou er	ngage in that business under a different name, provide that name:	
EC	TION	I 6.B.(3) Description of Other Products and Services	
Des	cribe	e other products or services you sell to your <i>client</i> . You may omit products and services that you listed in Section 6.B.(2) above.	
SAN	/IE AS	S 6.B.(2).	
lf y	ou er	ngage in that business under a different name, provide that name:	
ten	n 7 Fi	inancial Industry Affiliations	
		em, we request information about your financial industry affiliations and activities. This information identifies areas in which conflicts of interest tween you and your <i>clients</i> .	may
Ц.		s part of Item 7 requires you to provide information about you and your <i>related persons</i> , including foreign affiliates. Your <i>related persons</i> are all c isory affiliates and any person that is under common control with you.	f your
		have a related person that is a (check all that apply):	
	-	<ul><li>(1) broker-dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered)</li><li>(2) other investment adviser (including financial planners)</li></ul>	
	V	(3) registered municipal advisor	
		<ul><li>(4) registered security-based swap dealer</li><li>(5) major security-based swap participant</li></ul>	
	V	(6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	V	(7) futures commission merchant	
	V	<ul><li>(8) banking or thrift institution</li><li>(9) trust company</li></ul>	
		(10) accountant or accounting firm	
	V	(11) lawyer or law firm	
		<ul><li>(12) insurance company or agency</li><li>(13) pension consultant</li></ul>	
		(14) real estate broker or dealer	
	▽	<ul><li>(15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li><li>(16) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li></ul>	
	broi	te that Item 7.A. should not be used to disclose that some of your employees perform investment advisory functions or are registered representative ker-dealer. The number of your firm's employees who perform investment advisory functions should be disclosed under Item 5.B.(1). The number of one of the control of the con	
	Not	e that if you are filing an umbrella registration, you should not check Item 7.A.(2) with respect to your relying advisers, and you do not have to comp	lete

Section 7.A. in Schedule D for your relying advisers. You should complete a Schedule R for each relying adviser.

For each related person, including foreign affiliates that may not be registered or required to be registered in the United States, complete Section 7.A. of Schedule D.

You do not need to complete Section 7.A. of Schedule D for any related person if: (1) you have no business dealings with the related person in connection with advisory services you provide to your clients; (2) you do not conduct shared operations with the related person; (3) you do not refer clients or business to the related person, and the related person does not refer prospective clients or business to you; (4) you do not share supervised persons or premises with the related person; and (5) you have no reason to believe that your relationship with the related person otherwise creates a conflict of interest with your clients.

You must complete Section 7.A. of Schedule D for each related person acting as qualified custodian in connection with advisory services you provide to your clients (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)), regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.

EC	TIOI	N 7.A. Financial Industry Affiliations	
Col	nplet	te a separate Schedule D Section 7.A. for each <i>related person</i> listed in Item 7.A.	
1.	_	al Name of <i>Related Person</i> : M, S.A. DE C.V., ASESOR EN INVERSIONES INDEPENDIENTE	
2.		nary Business Name of <i>Related Person</i> : IGUARD MÉXICO	
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or		
	Oth	er er	
4	Dala	atad Daraan's	
4.	(a)	ated Person's  CRD Number (if any):	
	(4)		
	(b)	CIK Number(s) (if any):	
		No Information Filed	
5.		ated Person is: (check all that apply)	
	(a)		
	(b)	other investment adviser (including financial planners)  registered municipal advisor	
	(c) (d)	registered municipal advisor  registered security-based swap dealer	
	(u) (e)	major security-based swap participant	
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	(I) (g)	futures commission merchant	
	(h)	banking or thrift institution	
	(i)	trust company	
	(i)	accountant or accounting firm	
	(k)	lawyer or law firm	
	(I)	insurance company or agency	
	(m)		
	(n)	real estate broker or dealer	
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
			Yes N
ó.	Do :	you control or are you controlled by the related person?	© (
7.	Are	you and the related person under common control?	0 0
	(0)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	_
3.	(a)		0 0
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?	0 (
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your cli	ents' assets
		Number and Street 1: Number and Street 2:	
		City: State: Country: ZIP+4/Postal Code:	
		If this address is a private residence, check this box: $\square$	Yes N
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	• (es iv
	(b)	If the answer is yes, under what exemption? FOREIGN PRIVATE ADVISER EXEMPTION	~ `

10.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	C
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is regist	red.	
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		Mexico - National Commission for Banking and Securities		
11.	Do y	ou and the related person share any supervised persons?	0	•
10	_			
12.	ро у	ou and the <i>related person</i> share the same physical location?	0	•
1	Logo	al Name of <i>Related Person</i> :		
	_	GUARD MARKETING CORPORATION		
		ary Business Name of <i>Related Person</i> :  GUARD MARKETING CORPORATION		
	• , •			
		ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	8 - 2 or	21570		
	Othe	er		
		ted Person's  CRD Number (if any):		
	(4)	7452		
	(b)	CIK Number(s) (if any):  CIK Number		
		1114858		
		1114030		
	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (n) (o)	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
6.	Do v	you control or are you controlled by the related person?	Yes	
	,		٠	
7.	Are :	you and the <i>related person</i> under common <i>control</i> ?	0	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	G
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not	0	
	(c)	required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person?</i> If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>client</i>	'ass	ets
		Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
Ω	(0)	If the related person is an investment advisor, is it exempt from registration?	Yes	
9.		If the <i>related person</i> is an investment adviser, is it exempt from registration?  If the answer is yes, under what exemption?	0	С
	(U)	in the answer is yes, under what exemption:		
10.		Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is regist	red.	

No Information Filed

11.	Do you and the related person share any supervised persons?	•	$\circ$
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : VANGUARD ASSET MANAGEMENT, LIMITED		
2.	Primary Business Name of <i>Related Person</i> : VANGUARD ASSET MANAGEMENT, LIMITED		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 107653		
	or Other		
4.	Related Person's  (a) CRD Number (if any): 282598  (b) CIK Number(s) (if any): CIK Number		
	1680208		
5.	<ul> <li>Related Person is: (check all that apply)</li> <li>(a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer</li> <li>(b) ☑ other investment adviser (including financial planners)</li> <li>(c) □ registered municipal advisor</li> <li>(d) □ registered security-based swap dealer</li> <li>(e) □ major security-based swap participant</li> </ul>		
	<ul> <li>(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li> <li>(g) futures commission merchant</li> <li>(h) banking or thrift institution</li> <li>(i) trust company</li> <li>(j) accountant or accounting firm</li> <li>(k) lawyer or law firm</li> <li>(l) insurance company or agency</li> <li>(m) pension consultant</li> <li>(n) real estate broker or dealer</li> <li>(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>		
6	Do you control or are you controlled by the related person?	Yes	
0.	bo you control of the you controlled by the related person:	•	0
7.	Are you and the related person under common control?	0	•
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	$\odot$
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		0
	(c) If you have answered "yes" to question 8. (a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your of Number and Street 1:  City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:	clients' asse	ets:
		Yes	No
9.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0	•
10.	<ul> <li>(a) Is the related person registered with a foreign financial regulatory authority?</li> <li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is represented by Name of Country/English Name of Foreign Financial Regulatory Authority</li> <li>United Kingdom - Financial Conduct Authority</li> </ul>	egistered.	0
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?		•

	Legal Name of <i>Related Person</i> : VGI INSURANCE, INC.		
2.	Primary Business Name of <i>Related Person</i> : VGI INSURANCE, INC.		
8.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or		
	Other		
ļ.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):  No Information Filed		
).	Related Person is: (check all that apply)  (a)  broker-dealer, municipal securities dealer, or government securities broker or dealer  (b)  other investment adviser (including financial planners)  (c)  registered municipal advisor		
	ness Name of Netlated Person.  CLL, NO.  wis STC Cits Number (if any) (n.g., 801, 8., 866, 802.)  wis STC Cits Number (if any) (n.g., 801, 8., 866, 802.)  which is chart in the state of t		
	<ul> <li>(f)</li></ul>		
	(i) accountant or accounting firm  (k) lawyer or law firm		
	<ul> <li>(I)</li></ul>		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) $\square$ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		NI-
<b>)</b> .	Do you control or are you controlled by the related person?		. INC
<b>'</b> .	Are you and the related person under common control?	•	С
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
		ents' ass	ets
		Yes	No
).	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	О
	(b) If the answer is yes, under what exemption?		
Ο.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is reg No Information Filed	jistered.	
1.	Do you and the related person share any supervised persons?	0	•
2.	Do you and the <i>related person</i> share the same physical location?	•	С

 Legal Name of Related Person: VANGUARD INVESTMENTS CANADA INC.

2.		nary Business Name of <i>Related Person</i> : IGUARD INVESTMENTS CANADA INC.		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	802	- 107926		
	or Othe			
	Othe	31		
4.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(1.)	283519		
	(b)	CIK Number(s) (if any):  CIK Number		
		1816312		
5.		ated Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) (c)	other investment adviser (including financial planners)  registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	<ul><li>□ banking or thrift institution</li><li>□ trust company</li></ul>		
	(i) (j)	accountant or accounting firm		
	(k)	☐ lawyer or law firm		
	(l)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o) (p)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(β)		'es	No
6.	Do y	you control or are you controlled by the related person?	•	С
7.	Are	you and the related person under common control?	0	0
	( )			
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?		•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not	0	С
		required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' a	ısse	ets
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
			'es	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	•
	(b)	If the answer is yes, under what exemption?		
10	. (a)	Is the related person registered with a foreign financial regulatory authority?	0	С
	(b)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registere	d.	
		Name of Country/English Name of Foreign Financial Regulatory Authority  Canada - Ontario Securities Commission		
11	Do v		_	_
	. DO 3	700 and the related person share any supervised persons:	⊙	С
12	. Do y	you and the <i>related person</i> share the same physical location?	0	G
	,			**
	1	al Name of Delated Demon		
1.	_	al Name of <i>Related Person:</i> IGUARD ADVISERS, INC.		
	-, 114			
2.		nary Business Name of <i>Related Person</i> :		
	VAN	GUARD ADVISERS, INC.		
$\ _3$	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		

	801	- 49601		
	or Oth			
	Oth			
4.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(b)	106715 CIK Number(s) (if any):		
	(0)	CIK Number		
		947529		
-	5 (			
5.	Rela (a)	ated Person is: (check all that apply)  D broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant  banking or thrift institution		
	(h) (i)	trust company		
	(i)	accountant or accounting firm		
	(k)	☐ lawyer or law firm		
	(l)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	Nic
6.	Do v	you control or are you controlled by the related person?	•	
			•	•
7.	Are	you and the related person under common control?	0	•
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	$\circ$	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the	$\circ$	С
		presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your client	ts' ass	ets
	` ,	Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\Box$		N.I.
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
7.			О	•
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	œ
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is regist		•
		No Information Filed		
11.	Doy	you and the <i>related person</i> share any <i>supervised persons</i> ?	$\odot$	C
12.	Do y	you and the <i>related person</i> share the same physical location?	⊙	C
1.	_	al Name of <i>Related Person</i> :		
	VAN	IGUARD FIDUCIARY TRUST COMPANY		
2.	Drim	nary Business Name of <i>Related Person</i> :		
۷.		IGUARD FIDUCIARY TRUST COMPANY		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or Oth	er		
		-11554		

4.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
	(D)	CIK Number		
		933478		
5.	Rela	ated Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	✓ trust company		
	(j) (k)	□ accountant or accounting firm □ lawyer or law firm		
	(N) (I)	insurance company or agency		
	.,			
	(n)	real estate broker or dealer		
	(0)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No
6.	Do y	you control or are you controlled by the related person?	•	0
7.	Are	you and the related person under common control?	0	•
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the		0
		presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	~	~
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>client</i> Number and Street 1:  Number 2:	s'ass	ets:
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\square$		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	$\circ$	0
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	$\odot$
	(b)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is regist No Information Filed	ered.	
11.	Do v	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
	,		•	
12.	Do y	you and the <i>related person</i> share the same physical location?	•	0
			~	~
1.	_	al Name of <i>Related Person:</i> IGUARD GROUP (IRELAND) LIMITED		
	VAIN	GOARD GROOF (IRELAND) EIMITED		
2.	Prim	nary Business Name of <i>Related Person</i> :		
		IGUARD GROUP (IRELAND) LIMITED		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or Othe	or.		
	Othe			
4.	Rola	ated Person's		
7.	(a)	CRD Number (if any):		
	(4)			
	(b)	CIK Number(s) (if any):		
		CIK Number		

		1816678		
5.		ed Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or dealer		
	• ,	other investment adviser (including financial planners)		
	` ,	registered municipal advisor		
	` ,	registered security-based swap dealer		
		major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	` ,	banking or thrift institution		
	• •	trust company		
		accountant or accounting firm		
		□ lawyer or law firm □ incurance company or agency		
	(l) (m)	<ul><li>insurance company or agency</li><li>pension consultant</li></ul>		
	` ,	real estate broker or dealer		
	` '	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	` ,	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	47		Yes	No
6.	Do y	ou control or are you controlled by the related person?	•	0
7.	Are y	ou and the related person under common control?	0	•
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the	0	0
		presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not		_
		required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients'	ass∈	ets:
		Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	•
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	$\odot$	0
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is register	ed.	
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		Ireland - Central Bank of Ireland		
11.	Do y	ou and the <i>related person</i> share any <i>supervised persons</i> ?	$\odot$	0
12.	Do y	ou and the <i>related person</i> share the same physical location?	0	$\odot$
1.	_	I Name of <i>Related Person</i> : GUARD INVESTMENTS UK, LIMITED		
	VAIN	TO THE TWEST WENT ON, LIWITED		
2.	Prim	ary Business Name of <i>Related Person</i> :		
		GUARD INVESTMENTS UK, LIMITED		
3.		ed Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	802	- 108191		
	or Otho	r		
	Othe			
4	Rela	red Person's		
.		CRD Number (if any):		
		283775		
	` ,	283775		
		CIK Number(s) (if any):		
		CIK Number(s) (if any):		

5.	Rela	ted Person is: (check all that apply)		
	` ,	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	` ,	other investment adviser (including financial planners)		
	` ,	registered municipal advisor		
	(d)			
	` ,	major security-based swap participant		
	` ,	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	10,	futures commission merchant		
		banking or thrift institution		
	• • •	trust company		
	0,	accountant or accounting firm		
		lawyer or law firm		
	(l) (m)	insurance company or agency		
	` ,	real estate broker or dealer  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
		sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(þ)		Yes	No
6	Do v	you control or are you controlled by the related person?		
0.	БО у	you control of are you controlled by the related person:	⊙	O
7	۸ro	you and the related person under common central?	_	_
7.	Are .	you and the <i>related person</i> under common <i>control</i> ?	0	⊚
0	(-)			
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	⊙
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the	$\circ$	$\circ$
		presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i>	0000	\tc.
	(c)	Number and Street 1:  Number and Street 2:	asse	:15.
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	•
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	0
	(b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is register		
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		United Kingdom - Financial Conduct Authority		
11.	Do v	you and the related person share any supervised persons?	•	0
	,		•	
12.	Do v	you and the <i>related person</i> share the same physical location?	0	•
	,			٠
1.	Lega	al Name of <i>Related Person</i> :		
	VAN	GUARD GLOBAL ADVISERS, LLC		
2.		nary Business Name of <i>Related Person</i> :		
	VAN	GUARD GLOBAL ADVISERS, LLC		
_				
3.		nted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
		- 76825		
	or Othe			
	Othic			
4.	Rela	ited Person's		
	(a)	CRD Number (if any):		
	. /	164593		
	(b)	CIK Number(s) (if any):		_
		CIK Number		
		1811242		
5.	Rela	nted Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		

	(d)	registered municipal advisor registered security-based swap dealer		
		major security-based swap participant  commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	• •	futures commission merchant		
	(h)	banking or thrift institution		
		trust company		
	•	accountant or accounting firm  lawyer or law firm		
		insurance company or agency		
	(m)	pension consultant		
	` ,	real estate broker or dealer		
		sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(μ)		/es	No
6.	Do y	ou control or are you controlled by the related person?	•	0
7.	Are y	you and the <i>related person</i> under common <i>control</i> ?	0	•
8.		Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?		•
		If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> Number and Street 1:  Number 2:	isse	ets:
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: $\square$	/es	Na
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	o	
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	0
	(b)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is register Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	∍d.	
		Ireland - Central Bank of Ireland		
11.	Do y	ou and the related person share any supervised persons?	•	0
12.	Do y	ou and the <i>related person</i> share the same physical location?	•	0
1	Lega	l Name of <i>Related Person</i> :		
	_	GUARD INVESTMENTS AUSTRALIA LIMITED		
2.		ary Business Name of <i>Related Person</i> :		
	VANC	GUARD INVESTMENTS AUSTRALIA LIMITED		
3.		ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 107761		
	or	- 107701		
	Othe			
4.	Rela	ted Person's		
	(a)	CRD Number (if any):		
	(b)	282933 CIK Number(s) (if any):		
	(D)	CIK Number		
		1550100		
5.		ted Person is: (check all that apply)  broker-dealer, municipal securities dealer, or government securities broker or dealer		
	` ,	other investment adviser (including financial planners)		
	` ,	registered municipal advisor		
	` ,	registered security-based swap dealer		
	(e)	major security-based swap participant		

	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	trust company		
	(j)	accountant or accounting firm		
	(k)	lawyer or law firm		
	(I)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No
6.	Do y	you control or are you controlled by the related person?	⊙	0
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	0	$\odot$
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not	0	0
		required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clien	ts' ass	ets:
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:  If this address is a private residence, check this box:		
		If this address is a private residence, check this box.	Ves	. No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?		•
				٠
	(b)	If the answer is yes, under what exemption?		
1∩	(a)	Is the related person registered with a foreign financial regulatory authority?	_	_
10.			_	0
	(a)	If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is regis Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	terea.	
		Australia - Australian Securities and Investments Commission		
	_			
11.	ро у	you and the related person share any supervised persons?	⊙	0
12.	Do y	you and the <i>related person</i> share the same physical location?	0	⊙
1.	Lega	al Name of <i>Related Person</i> :		
	_	GUARD INVESTMENTS HONG KONG LIMITED		
2.	Prim	pary Business Name of <i>Related Person</i> :		
		GUARD INVESTMENTS HONG KONG LIMITED		
3.	Rela	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or			
	Othe	er en		
4.		ted Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
	(D)	CIK Number		
		1818513		
		1010313		
5.	Polo	ted Person is: (check all that apply)		
J.	(a)			
	` '			
	(b)			
	(c)	registered municipal advisor registered security-based swap dealer		
	(d)	registered security-based swap dealer major security-based swap participant		
	(e)	major security-based swap participant  commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(f) (g)	futures commission merchant		
	(g) (h)	banking or thrift institution		
	マワ	— Samming of think motivation		

		(i) (j) (k)	<ul> <li>□ trust company</li> <li>□ accountant or accounting firm</li> <li>□ lawyer or law firm</li> </ul>		
Column   C		(1)	insurance company or agency		
(ii) F sponsar, general partner, managing member (or appropriate investment validates.  Yes No. C. D. you contrain a spoul controlled by the reseted person?  Are you and the instance process at a local life of customers common content.  Are you and the instance process at a local life of customers for your chert's in connection with advicery services you growthe to clean?  O (ii) If you are not appearing an implicated with this CC and you have removed "your" in quantion (b) allowers their appearance in the person of the person o					
Vision May be provided to are you controlled by the related person?  7. Are you and the related person under common costod?  8. (a) Does the collected person and are guidefined covered in the SEC and you never answered lyes. The quarter state person the provided in the SEC and you have answered lyes. The quarter state person the provided in the SEC and you have answered lyes. The quarter state of the second to detail a supprise examination for your cleant from an executities that are maintained at the evaluation and required to obtain a supprise examination for your cleants from an executities that are maintained at the evaluation exposured to the control on the related exercise?  8. (a) If the vertice of the entire is control as (a) access, provide the location of the related exercise of the control is control as (b) access, provided the location of the related exercise of the control is control as (b) access to the provided the location of the related exercise of the control is control as (b) access to the provided the location of the related exercise of the control is control as (b) access to the provided the location of the related exercise of the control is control as (b) and the contr					
A very poul and the related person under common control?  C Process that related persons are as purified accidanter for your relative in control on with related systems you provide in relative?  C Process are registering or registered with the SEC and you have an weeterd yea; "to causation 6 (a) above, have you overcome the processment that you earn of specified you have an executive of the control of the related person will be one and specified accordance on the processment of the your entered years are registered in the control process.  C Process are accorded years or quarter than the process and state of the control person and files to exceed years.  A process are accorded years or quarter than the process and state of the control person and state of the control person of control per				Yes	No
8. (a) Does the cretical personned as a qualified realization for your obtack in connection with substance special contents.  (b) Types are registering an registering shift that the 50°C and you have answered bytes. It is question 8.(a) above, there you concernments or presuments to the 20°C (10°C) for them the value of an observation of the your obtack funds or securified to the 20°C (10°C) for them the value deposing an time are not required to obtains a surprise recrimination for your obtack funds or securifies that are maintained at the related persons?  (a) If you have answered byte in question 8. (a) above, provided the business of the related persons office responsible for exactory of your obtach the securities and factors to the securities of the provided persons in an investment adviser, is it exempt from registration?  (b) If the related person is an investment adviser, is it exempt from registration?  (c) If the provided person is an investment adviser, is it exempt from registration?  (d) If the provided person is an investment adviser, is it exempt from registration?  (e) If the provided person is an investment adviser, is it exempt from registration?  (f) If the provided person is an investment adviser, is it exempt from registration?  (e) If the provided person is an investment adviser, is it exempt from registration?  (f) If the provided person is an investment adviser, is it exempt from registration?  (e) If the provided person is an investment adviser, is it exempt from registration?  (f) If the provided person is an investment adviser in the provided person in the related person in the related person into a securities and for person person into a security of the provided person into a security of the person person into a security of the person into a security of the person person into a security of the person into a security of the person person person into a security of the person	6.	Do y	ou control or are you controlled by the related person?	•	0
1.5   If you are depleting or repleting the project and with the ST and you have revenued for the Color ST and you have revenued for the Color ST and the presentation for the You depleting the your dep	7.	Are :	you and the <i>related person</i> under common <i>control</i> ?	0	•
presumption that you are not constructed yellowing independent (sursuant to rulo 2064-20(0)(5)) from the related passed and that are not constructed to obtain a surgicial examination for your delien's funds or excussive that the related passed and an examination of the related passed state of the related passed and street.  (3) If you have answered tyes to question 8 (a) answer, provide the location of the related passed state or captured or captured or captured to the captured of the captured of the captured or captured capt	8.			0	•
Number and Street 1: City State: City State: City State: If this address is a private residence, check this box.   Yes No.  (a) If the related posson is an investment advisor, is it exceept from registration?  (b) If the answer is yes, under what exemption? City India Analysis is a private residence, check this box.   If the answer is yes, under what exemption? City India Analysis is a private residence and country. In English of each devige frameout regulatory authenty with which the related posson is registered to each foreign frameout regulatory authenty with which the related posson is registered Name of Country/English Name of English of each devige frameout regulatory authenty with which the related posson is registered Name of Country English Name of English of each devige frameout regulatory authenty with which the related posson is registered Name of English Name of English of each devige frameout regulatory authenty with which the related posson is registered.   1. Logal Name of Related Parsons Valuable Name of Related Parsons ValuableD National, Trust Country in A.  2. Primary Business Name of Related Parsons ValuableD National, Trust Country in A.  3. Melated Person's SEC File Number (if any) (e.g., 801-, 8-, 86e-, 802-)  or Other  4. Related Person is (ineck all that apply) (a) CIK Number (if inry): (b) CIK Number (if inry): (c) CIK Number (if inry): (d) CIK Number (if inry): (e) Displaced municipal securities dealer: or government securities broker or dealer (e) Order investment auther passon anticipant (e) Order investment auther passon anticipa		(b)	presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not	0	0
Clty: State: It this address is a private residence, check this box.   Yes No.   9. (a) If the related person is an investment adviser, is it exempt from registration?  (b) If the answer is yes, under what exemption?  FOREIGN ADVISER EXEMPTION  10. (a) Is the related person registered with a <i>keeign financial regulatory authority</i> ?  (c) Clty:  (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Heng Kong - Securities and Fouriers Commission  11. Do you and the related person share the same physical location?  12. Do you and the related person share the same physical location?  13. Polyou and the related person share the same physical location?  14. Legal finance of skated Persons  VANCUARD NATIONAL TRUST COMPANY: N.A.  25. Primary Rusiness Name of Related Persons  VANCUARD NATIONAL TRUST COMPANY: N.A.  26. Primary Rusiness Name of Related Persons  VANCUARD NATIONAL TRUST COMPANY: N.A.  27. Primary Rusiness Name of Related Persons  VANCUARD NATIONAL TRUST COMPANY: N.A.  28. Related Person's SEC File Number (if any):  (b) CIK Number(if any):  (c) CIK Number(if any):  (d) Cregistered municipal securities dealer, or government securities broker or dealer  (e) Cregistered municipal advisor  (f) Commission municipal advisor  (e) Cregistered municipal advisor  (f) Commission mechant  (ii) Equitive commission mechant  (iii) Equation or accounting time  (iii) Function or accounting time  (iii) Function company  (iii) Rusing or thirli, institution  (iii) Function company		(c)		asse	ets:
Yes No.  (a) If the related person is un investment adviser, is it exempt from registration?  (b) If the answer is yes, under what exemption?  FOREIGN ADVISER EXEMPTION  10. (a) Is the related person registered with a foreign financial regulatory authority?  (c) If the answer is yes, list the name and country, in English of each foreign themselving pulsatory authority with which the related person is registered.  Name of Country/English Name of Foreign financial Regulatory Authority  Heng Kong - Securities and Futures Commission  11. Do you and the related person share any supervised persons?  (c) C  12. Do you and the related person share the same physical location?  (d) If the answer of Related Person  13. Logal Name of Related Person  14. English Name of Related Person  75. Related Person's SEC File Number (if any) (e.g., 801-, 8- 866-, 802-)  76. Or Other  17. Related Person's  (a) CRD Number (if any):  (b) CIK Number(s) (if any):  (c) Introduction Filed  18. Related Person is: (check all that apply)  (a) Introduce related, municipal securities dealer, or government securities broker or gealer  (b) Introduce invasional related (including financial planners)  (d) Introduce invasional related (including financial planners)  (e) Introduce invasional related (including financial planners)  (d) Integristered security-based swap dealer  (e) Integristered security-based swap barricipant  (e) Integristered security-based swap barricipant  (f) Introduced in the commission minister (including advisor (whether registered or exempt from registration)  (g) Introduced in reaccountering firm  (g) Introduced in accountering firm  (g) Integristered securities			City: State: Country: ZIP+4/Postal Code:		
9. (a) If the created person is an investment advisor, is it occupit from registration?  (b) If the univer is yes, under what exemption?  (c) If the univer is yes, under what exemption?  (d) Is the created person registered with a corego meancial cogulatory authority?  (e) C  (f) If the answer is yes, list the name and country. In English of each foreign financial regulatory authority with which the related person is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Horn Kong. Securities and Fouriers Commission  11. Do you and the related person share any supervised persons?  (c) C  12. Do you and the related person share the same physical location?  (d) English Name of Related Person.  VANGUARD NATIONAL TRUST COMPANY, N.A.  Primary Husiness Name at Anstard Person.  VANGUARD NATIONAL TRUST COMPANY  3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  or  Other  4. Related Person's SEC File Number (if any):  (e) CIK Number (if any):  (b) CIK Number (if any):  No Information Filed  5. Related Person's SEC File Number (including financial planners)  (c) In professor, municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (e) Indicates commission municipal securities dealer, or government securities broker or dealer  (f) Indicates commission municipal securities dealer, or gov			If this address is a private residence, check this box:	Yes	No
FOREIGN ADVISER EXEMPTION  10. (a) Is the related person registered with a foreign financial regulatory authority?  (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.    Name of Country/English Name of Persons Principles	9.	(a)	If the related person is an investment adviser, is it exempt from registration?		
(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.    Name of Country/English Name of Foreign Financial Regulatory Authority		(b)			
Name of Country/English Name of Foreign Financial Regulatory Authority   Hong Kong - Securities and Futures Commission	10.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	0
Hong Kong - Securities and Futures Commission  11. Do you and the related person share any supervised persons?  © C  12. Do you and the related person share the same physical location?  13. Legal Name of Related Person: VANGUARD NATIONAL TRUST COMPANY, N.A.  24. Primary Business Name of Related Person: VANGUARD NATIONAL TRUST COMPANY  35. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  or Other  46. Related Person's (a) GRO Number (if any): (b) CIK Number (s) (if any):  No Information Filed  57. Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer (b) or their investment adviser (including financial planners) (c) registered municipal advisor (d) registered security-based swap dealer (e) major security-based swap participant (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) futures commending institution (g) sharing or thrift institution (g) anking or thrift institution (g) association to accounting firm (g) accountant or accounting firm (g) lawyer or law firm		(b)		ed.	
12. Do you and the related person share the same physical location?  1. Legal Name of Related Person: VANCUARD NATIONAL TRUST COMPANY, N.A.  2. Primary Business Name of Related Person: VANCUARD NATIONAL TRUST COMPANY  3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 864-, 802-)  or or Other  4. Related Person's  (a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply)  (a) broker-dealor, municipal securities dealer, or government securities broker or dealer  other investment adviser (including financial planners)  (c) registered municipal advisor  (d) registered security-based swap doaler  (e) major security-based swap participant  (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) futures commission merchant  (h) Possing or thrill institution  (i) Introduce the same physical location?  Introduce the same					
1. Legal Name of Related Person: VANSUARD NATIONAL TRUST COMPANY, N.A.  2. Primary Business Name of Related Person: VANGUARD NATIONAL TRUST COMPANY  3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  or Other  4. Related Person's (a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer of the rivestment advisor (including financial planners) (c) registered municipal advisor (d) registered security-based swap dealer (e) major security-based swap participant (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) trust company (h) trust company (i) accountant or accounting firm (k) leavyer or law firm	11.	Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
VANGUARD NATIONAL TRUST COMPANY, N.A.  2. Primary Business Name of <i>Related Person</i> : VANCUARD NATIONAL TRUST COMPANY  3. <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	12.	Do y	you and the related person share the same physical location?	0	0
VANGUARD NATIONAL TRUST COMPANY  3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	1.	_			
or Other  4. Related Person's (a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer (b) other investment adviser (including financial planners) (c) registered municipal advisor (d) registered municipal advisor (e) major security-based swap participant (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) futures commission merchant (h) sanking or thrift institution (f) trust company (g) accountant or accounting firm (k) lawyer or law firm	2.				
Other  4. Related Person's  (a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply)  (a) broker-dealer, municipal securities dealer, or government securities broker or dealer  (b) other investment adviser (including financial planners)  (c) registered municipal advisor  (d) registered security-based swap dealer  (e) major security-based swap participant  (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) futures commission merchant  (h) banking or thrift institution  (i) trust company  (j) accountant or accounting firm  (k) lawyer or law firm	3.	Rela -	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
(a) CRD Number (if any):  (b) CIK Number(s) (if any):  No Information Filed  5. Related Person is: (check all that apply)  (a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer  (b) □ other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) □ futures commission merchant  (h) ▼ banking or thrift institution  (i) ▼ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm			er er		
No Information Filed  5. Related Person is: (check all that apply)  (a)	4.				
5. Related Person is: (check all that apply)  (a)		(b)			
(a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer  (b) □ other investment adviser (including financial planners)  (c) □ registered municipal advisor  (d) □ registered security-based swap dealer  (e) □ major security-based swap participant  (f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) □ futures commission merchant  (h) ☑ banking or thrift institution  (i) ☑ trust company  (j) □ accountant or accounting firm  (k) □ lawyer or law firm			No Information Filed		
(b) ☐ other investment adviser (including financial planners)  (c) ☐ registered municipal advisor  (d) ☐ registered security-based swap dealer  (e) ☐ major security-based swap participant  (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (g) ☐ futures commission merchant  (h) ☑ banking or thrift institution  (i) ☑ trust company  (j) ☐ accountant or accounting firm  (k) ☐ lawyer or law firm	5.	Rela	ted Person is: (check all that apply)		
(c) ☐ registered municipal advisor (d) ☐ registered security-based swap dealer (e) ☐ major security-based swap participant (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) ☐ futures commission merchant (h) ☑ banking or thrift institution (i) ☑ trust company (j) ☐ accountant or accounting firm (k) ☐ lawyer or law firm		` '			
<ul> <li>(e) ☐ major security-based swap participant</li> <li>(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li> <li>(g) ☐ futures commission merchant</li> <li>(h) ☑ banking or thrift institution</li> <li>(i) ☑ trust company</li> <li>(j) ☐ accountant or accounting firm</li> <li>(k) ☐ lawyer or law firm</li> </ul>		` ,			
<ul> <li>(f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li> <li>(g) □ futures commission merchant</li> <li>(h) ☑ banking or thrift institution</li> <li>(i) ☑ trust company</li> <li>(j) □ accountant or accounting firm</li> <li>(k) □ lawyer or law firm</li> </ul>		` '			
<ul> <li>(g) ☐ futures commission merchant</li> <li>(h) ☑ banking or thrift institution</li> <li>(i) ☑ trust company</li> <li>(j) ☐ accountant or accounting firm</li> <li>(k) ☐ lawyer or law firm</li> </ul>					
<ul> <li>(i) ✓ trust company</li> <li>(j) ☐ accountant or accounting firm</li> <li>(k) ☐ lawyer or law firm</li> </ul>		(g)	futures commission merchant		
(j) accountant or accounting firm  (k) lawyer or law firm					
		(j)			
			<ul><li>□ lawyer or law firm</li><li>□ insurance company or agency</li></ul>		

	(m) pension consultant		
	(n) real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) $\square$ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	s No
6.	Do you control or are you controlled by the related person?	•	0
7.	Are you and the related person under common control?	0	•
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the	0	0
	presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are n		_
	required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of y	your <i>clients'</i> as:	sets:
	Number and Street 1: Number and Street 2:		
	City: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: $\square$		
		Ye	s No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related perso	_	_
	No Information Filed	II is registered.	•
11	Do you and the related person share any supervised persons?	_	_
' ' '	bo you and the related person share any supervised persons:	•	0
10	Do you and the related margar share the same whysical leastion?	_	_
12.	Do you and the <i>related person</i> share the same physical location?	•	0
1	Local Names of Polated Paragra		
1.	Legal Name of <i>Related Person</i> :  VANGUARD PERSONALIZED INDEXING MANAGMENT, LLC		
	VANOUARD I ERSONALIZED INDEXTING INAVAGINENT, LEG		
2	Primary Business Name of <i>Related Person</i> :		
2.	VANGUARD PERSONALIZED INDEXING MANAGMENT, LLC		
	WANGOARD LEAGONALIZED INDEXTING INMINIONERY, LEG		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
0.	801 - 114487		
	or		
	Other		
4.	Related Person's		
	(a) CRD Number (if any):		
	285366		
	(b) CIK Number(s) (if any):		
	No Information Filed		
5.	Related Person is: (check all that apply)		
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) ✓ other investment adviser (including financial planners)		
	(c) registered municipal advisor		
	(d) registered security-based swap dealer		
	(e) major security-based swap participant		
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)  futures commission merchant		
	(k) lawyer or law firm		
	(I) insurance company or agency		
	(m) pension consultant		
	(n) real estate broker or dealer  (a) spensor or syndicator of limited partnerships (or equivalent), evaluding peoled investment vehicles		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) $\square$ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		c N
4	Do you control or are you controlled by the related person?		s No
6.	Do you control or are you controlled by the related person?	•	0

7.	Are you and the related person under common control?	0	$\odot$
8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your of Number and Street 1:  Number and Street 2:	·lients' ass	ets:
	City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box: $\square$		
0	(a) If the related person is an investment advisor, is it exempt from registration?		No -
9.	<ul><li>(a) If the related person is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>	0	•
10			
10.	<ul><li>(a) Is the related person registered with a foreign financial regulatory authority?</li><li>(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is reach the No Information Filed</li></ul>	<b>C</b> egistered.	•
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	0	•
Iter	n 7 <i>Private Fund</i> Reporting		
		Yes	s No
В. А	Are you an adviser to any <i>private fund</i> ?	•	0
(	In either case, if you seek to preserve the anonymity of a private fund client by maintaining its identity in your books and records in numerical or all code, or similar designation, pursuant to rule 204-2(d), you may identify the private fund in Section 7.B.(1) or 7.B.(2) of Schedule D using the same designation in place of the fund's name.  TION 7.B.(1) Private Fund Reporting		
	Funds per Page: 15 Total Funds: 2		
A.	PRIVATE FUND		
<u>Ir</u>	formation About the Private Fund		
1	. (a) Name of the <i>private fund</i> :  ASF PRIVATE FUND		
	(b) Private fund identification number:		
	(include the "805-" prefix also)		
	805-9892811178		
2	. Under the laws of what state or country is the <i>private fund</i> organized:  State:  Country:		
	Cayman Islands		
2	(a) Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar capacity):		
	Name of General Partner, Manager, Trustee, or Director		
	VGMF I (CAYMAN) LIMITED		
	(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.		
H	No Information Filed		1 1

4.	The <i>private fund</i> (check all that apply; you must check at least one):  ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940		
5.	List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.		
٥.	Name of Country/English Name of Foreign Financial Regulatory Authority		
	Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS		
		Yes	NI.
6.	(a) Is this a "master fund" in a master-feeder arrangement?		
0.	(b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?	0	٠
	No Information Filed		
		Yes	N
	(c) Is this a "feeder fund" in a master-feeder arrangement?	0	0
	(d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests?  Name of <i>private fund</i> :		
	Private fund identification number: (include the "805-" prefix also)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section for the master-feeder arrangement or reporting on the funds separately.	7.B.(	1)
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for the feeder funds answer the following questions:	· each	ס ר
	No Information Filed		
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.		d
8.	(a) Is this <i>private fund</i> a "fund of funds"?		
0.	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.	0	٠
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	C
		Yes	No
9.	During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	0	•
10.	What type of fund is the <i>private fund</i> ?		
	• hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private	te fun	ıd:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gross asset value of the <i>private fund</i> : \$ 13,479,535		
<u>Ow</u>	<u>vnership</u>		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :  \$ 1		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund).		

13. Approximate number of the *private fund's* beneficial owners:

14.	Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :		
15.	(a) 0%	What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
			Yes	No
		If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	0	0
16.	Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
You	ır Ad	dvisory Services		
17	(0)	Are you a subadyiser to this private fund	Yes	No
1 / .		Are you a subadviser to this <i>private fund</i> ?	0	⊙
		If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.	TO	
		No Information Filed		
			Yes	No
18.		Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	$\circ$	$\odot$
		If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the to question 18.(a) is "no," leave this question blank.	answ	er
		No Information Filed		
			Yes	No
19.	Are	your <i>clients</i> solicited to invest in the <i>private fund</i> ?	$\circ$	$\odot$
	NO7	TE: For purposes of this question, do not consider feeder funds of the private fund.		
	1%			
Pri	<u>/ate</u>	<u>Offering</u>	Yes	No
21.	Has	the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	0	•
22.	If ye	es, provide the <i>private fund's</i> Form D file number (if any):		
		No Information Filed		
3. SI	ERVI(	CE PROVIDERS		
Aud	ditors			
00			Yes	No
23.	(a)	(1) Are the <i>private fund's</i> financial statements subject to an annual audit?	0	•
		(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	0	⊙
		If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing you must complete questions (b) through (f) separately for each auditing firm.	g firm	1,
		No Information Filed		
		Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i>	Yes	No
		investors?	de!	-0
	(h)	Do all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified op	inions	5/
		O Yes O No O Report Not Yet Received		
		If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is	availa	ible.

1

Prime Broker

24. (a) Does the <i>private fund</i> use one or more prime brokers?	0 0
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	private
No Information Filed	
No filloffilation Flied	
Custodian	
	Yes No
25. (a) Does the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets?  If the answer to question 25. (a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	<b>⊙</b> C ivate
Additional Custodian Information : 1 Record(s) Filed.	
Additional odstodian micrimation. T Record(3) Thea.	
If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	rivate
(b) Legal name of custodian: STATE STREET BANK AND TRUST	
(c) Primary business name of custodian: STATE STREET BANK AND TRUST	
(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):	
City: State: Country:  BOSTON Massachusetts United States	
	es No
(e) Is the custodian a related person of your firm?	•
(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):	
CRD Number (if any):	
(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entitidentifier</i> (if any)	/
<u>Administrator</u>	Yes No
26. (a) Does the <i>private fund</i> use an administrator other than your firm?	0 0
If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administra must complete questions (b) through (f) separately for each administrator.	or, you
No Information Filed	
27. During your last fiscal year, what percentage of the <i>private fund's</i> assets (by value) was valued by a <i>person</i> , such as an administrator, that	c not
your related person?  0%	3 1101
Include only those assets where (i) such <i>person</i> carried out the valuation procedure established for that asset, if any, including obtaining ar relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (includations) was the valuation determined by such <i>person</i> .	9
Marketers	

28. (a) Does the *private fund* use the services of someone other than you or your *employees* for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or

Yes No

Yes No

 $\circ$ 

	No Information Filed	
A. PI	RIVATE FUND	
l nfo	ormation About the <i>Private Fund</i>	
1.	(a) Name of the <i>private fund</i> :	
	CSF PRIVATE FUND	
	(b) Private fund identification number:  (include the "805-" prefix also)	
	805-1178567505	
2.	Under the laws of what state or country is the <i>private fund</i> organized:	
	State: Country: Cayman Islands	
3.	(a) Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar capacity):	
	Name of General Partner, Manager, Trustee, or Director	
	VGMF I (CAYMAN) LIMITED	
	(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.	
	No Information Filed	
4.		
	The <i>private fund</i> (check all that apply; you must check at least one):  ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940	
	The <i>private fund</i> (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.	
	The <i>private fund</i> (check all that apply; you must check at least one):  ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940	
<b>4</b> . 5.	The <i>private fund</i> (check all that apply; you must check at least one):  ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	Yes N
	The <i>private fund</i> (check all that apply; you must check at least one):  ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	Yes f
5.	The <i>private fund</i> (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i> Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS	
5.	The <i>private fund</i> (check all that apply; you must check at least one):  ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?	
5.	The <i>private fund</i> (check all that apply: you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?	
5.	The <i>private fund</i> (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i> Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?  No Information Filed	O Yes N
5.	The private fund (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940  List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?  No Information Filed  (c) Is this a "feeder fund" in a master-feeder arrangement?	0
5.	The <i>private fund</i> (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940  List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.  Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i> Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?  No Information Filed	O Yes N
5.	The private fund (check all that apply: you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940  List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?  No Information Filed  (c) Is this a "feeder fund" in a master-feeder arrangement?  (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?	O Yes N
5.	The private fund (check all that apply; you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940  List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?  No Information Filed  (c) Is this a "feeder fund" in a master-feeder arrangement?  (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests? Name of private fund:  Private fund identification number:	Yes N
5.	The private fund (check all that apply: you must check at least one):  (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940  (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940  List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.  Name of Country/English Name of Foreign Financial Regulatory Authority  Other - CAYMAN ISLANDS REGISTRAR OF TRUSTS  (a) Is this a "master fund" in a master-feeder arrangement?  (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?  No Information Filed  (c) Is this a "feeder fund" in a master-feeder arrangement?  (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?  Name of private fund:  Private fund identification number:  (include the "805-" prefix also)	Yes N

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their

	assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	issue	ed
		Yes	No
8.	(a) Is this private fund a "fund of funds"?	0	•
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.		
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	0
		Yes	No
9.	During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	0	•
10.	What type of fund is the <i>private fund</i> ?		
	• hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private	te fur	าd:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gross asset value of the <i>private fund</i> : \$ 13,479,535		
<u>Ow</u>	nership_		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :  \$ 1		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund).		
13.	Approximate number of the <i>private fund's</i> beneficial owners:  1		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 100%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 0%		
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	Yes	No
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :  0%		
You	ur Advisory Services		
17.		Yes	(O)
	(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.	_	
	No Information Filed		
		Yes	No
18.	(a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	0	•
	(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the ato question 18.(a) is "no," leave this question blank.	answ	er
	No Information Filed		
		Yes	No
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	$\circ$	$\odot$
	NOTE: For purposes of this question, do not consider feeder funds of the private fund.		
20.	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?  1%		

	as the <i>private fund</i> ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	Yes	No ©
			•
22. If y	yes, provide the <i>private fund's</i> Form D file number (if any):  No Information Filed		
B. SERV	VICE PROVIDERS		
Audito	u <u>rs</u>		
22 (2)	) (1) Are the private fund's financial statements subject to an appual audit?	Yes	_
23. (a)	) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?  (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	0	⊙ ⊙
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing you must complete questions (b) through (f) separately for each auditing firm.		
	No Information Filed		
		Yes	No
(g)	) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> investors?	0	0
(h)	) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified o	pinions	;?
	C Yes No Report Not Yet Received		
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is	s availa	ble.
<u>Prime</u>	<u>Broker</u>		
24. (a)	) Does the <i>private fund</i> use one or more prime brokers?	Yes	No
	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.		
	No Information Filed		
Custod	<u>lian</u>	Yes	Nο
25. (a)	) Does the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets?	·	0
	If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> uses. If the <i>p</i> fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	orivate	
	Additional Custodian Information : 1 Record(s) Filed.		
	If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If the <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	private	
	(b) Legal name of custodian: STATE STREET BANK & TRUST COMPANY		
	(c) Primary business name of custodian: STATE STREET BANK & TRUST COMPANY		
	(d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country):		
	City: State: Country: BOSTON Massachusetts United States		
		Yes N	lo
	(e) Is the custodian a related person of your firm?	0 6	5
	(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):		

	CRD Number (if any):	
	(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entitientifier</i> (if any)	у
Adm	<u>nistrator</u>	Waa Nia
26 (	a) Does the <i>private fund</i> use an administrator other than your firm?	Yes No
20. (	If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administra	O O
	must complete questions (b) through (f) separately for each administrator.	tor, you
	No Information Filed	
27 1		
7	Ouring your last fiscal year, what percentage of the <i>private fund's</i> assets (by value) was valued by a <i>person</i> , such as an administrator, that your <i>related person</i> ?  19%	s not
r	nclude only those assets where (i) such <i>person</i> carried out the valuation procedure established for that asset, if any, including obtaining ar elevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (includ llocations) was the valuation determined by such <i>person</i> .	•
Mark	<u>eters</u>	
		Yes No
28. (	a) Does the <i>private fund</i> use the services of someone other than you or your <i>employees</i> for marketing purposes?	0 0
	You must answer "yes" whether the <i>person</i> acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicito similar <i>person</i> . If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the <i>private</i> uses. If the <i>private fund</i> uses more than one marketer you must complete questions (b) through (g) separately for each marketer.	
	No Information Filed	
	Funds per Page: 15 Total Funds: 2	
ECTIO	N 7.B.(2) <i>Private Fund</i> Reporting	
	No Information Filed	
em 8	Participation or Interest in <i>Client</i> Transactions	
	tem, we request information about your participation and interest in your clients' transactions. This information identifies additional areas i	n which
	s of interest may occur between you and your <i>clients</i> . Newly-formed advisers should base responses to these questions on the types of pa	
nd inte	erest that you expect to engage in during the next year.	
ke Ite	m 7, Item 8 requires you to provide information about you and your related persons, including foreign affiliates.	
roprie	tary Interest in <i>Client</i> Transactions	
. Do	you or any related person:	Yes No
(1)	buy securities for yourself from advisory clients, or sell securities you own to advisory clients (principal transactions)?	0 0
(2)	buy or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory clients?	0 0
(3)	recommend securities (or other investment products) to advisory <i>clients</i> in which you or any <i>related person</i> has some other proprietary (ownership) interest (other than those mentioned in Items 8.A.(1) or (2))?	0 0
ales I	nterest in <i>Client</i> Transactions	
. Do	you or any related person:	Yes No
(1)	as a broker-dealer or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory client securities are sold to or bought from the brokerage customer (agency cross transactions)?	0 0
(2)	recommend to advisory <i>clients</i> , or act as a purchaser representative for advisory <i>clients</i> with respect to, the purchase of securities for which you or any <i>related person</i> serves as underwriter or general or managing partner?	⊙ ○

	(3)	the receipt of sales commissions as a broker or registered representative of a broker-dealer)?	•	0
In	vestn	nent or Brokerage Discretion		
C.	Do	you or any related person have discretionary authority to determine the:	Yes	No
	(1)	securities to be bought or sold for a <i>client's</i> account?	$\odot$	0
	(2)	amount of securities to be bought or sold for a client's account?	$\odot$	0
	(3)	broker or dealer to be used for a purchase or sale of securities for a client's account?	$\odot$	0
	(4)	commission rates to be paid to a broker or dealer for a <i>client's</i> securities transactions?	•	0
D.	If y	ou answer "yes" to C.(3) above, are any of the brokers or dealers related persons?	0	•
E.	Do	you or any <i>related person</i> recommend brokers or dealers to <i>clients</i> ?	•	0
F.	If y	ou answer "yes" to E. above, are any of the brokers or dealers related persons?	•	0
G.	(1)	Do you or any <i>related person</i> receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with <i>client</i> securities transactions?	•	0
	(2)	If "yes" to G.(1) above, are all the "soft dollar benefits" you or any <i>related persons</i> receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act of 1934?	•	0
Н.	(1)		0	•
	(2)	Do you or any <i>related person</i> , directly or indirectly, provide any <i>employee</i> compensation that is specifically related to obtaining <i>clients</i> for the firm (cash or non-cash compensation in addition to the <i>employee's</i> regular salary)?		O
I.		you or any related person, including any employee, directly or indirectly, receive compensation from any person (other than you or any related son) for client referrals?	0	•
	In y	your response to Item 8.I., do not include the regular salary you pay to an employee.		
	fror	responding to Items 8.H. and 8.I., consider all cash and non-cash compensation that you or a related person gave to (in answering Item 8.H.) or re on (in answering Item 8.I.) any person in exchange for client referrals, including any bonus that is based, at least in part, on the number or amount perrals.		
		Custody		
		tem, we ask you whether you or a <i>related person</i> has <i>custody</i> of <i>client</i> (other than <i>clients</i> that are investment companies registered under the ent Company Act of 1940) assets and about your custodial practices.	ž	
A.	(1)	Do you have <i>custody</i> of any advisory <i>clients'</i> :	Yes	No
		(a) cash or bank accounts?	0	$\odot$
		(b) securities?	0	•
	dire	rou are registering or registered with the SEC, answer "No" to Item 9.A.(1)(a) and (b) if you have custody solely because (i) you deduct your advison ectly from your clients' accounts, or (ii) a related person has custody of client assets in connection with advisory services you provide to clients, but we overcome the presumption that you are not operationally independent (pursuant to Advisers Act rule 206(4)-2(d)(5)) from the related person.	-	'S
	(2)	If you checked "yes" to Item 9.A.(1)(a) or (b), what is the approximate amount of <i>client</i> funds and securities and total number of <i>clients</i> for you have <i>custody</i> :	which	า
		U.S. Dollar Amount Total Number of <i>Clients</i>		
		(a) \$ (b)		
	incl con	rou are registering or registered with the SEC and you have custody solely because you deduct your advisory fees directly from your clients' account lude the amount of those assets and the number of those clients in your response to Item 9.A.(2). If your related person has custody of client asse Inection with advisory services you provide to clients, do not include the amount of those assets and number of those clients in your response to 9. Itead, include that information in your response to Item 9.B.(2).	ets in	
В.	(1)	In connection with advisory services you provide to clients, do any of your related persons have custody of any of your advisory clients':	Yes	No
		(a) cash or bank accounts?	$\circ$	$\odot$
		(b) securities?	0	•
	You	are required to answer this item regardless of how you answered Item 9.A.(1)(a) or (b).		
	(2)	If you checked "yes" to Item 9.B.(1)(a) or (b), what is the approximate amount of <i>client</i> funds and securities and total number of <i>clients</i> for your <i>related persons</i> have <i>custody</i> :	whicł	า

	0.3. Dollar Amount	Total Number of Chefts	
	(a) \$	(b)	
C.	If you or your <i>related persons</i> have <i>cust</i> that apply:	ody of client funds or securities in connection with advisory services you provide to	o clients, check all the following
		ount statements at least quarterly to the investors in the pooled investment vehic	ele(s) you manage.
	(2) An <i>independent public accountant</i> a are distributed to the investors in	udits annually the pooled investment vehicle(s) that you manage and the audited the pools.	financial statements
	(3) An independent public accountant of	onducts an annual surprise examination of client funds and securities.	
	(4) An <i>independent public accountant</i> p are qualified custodians for <i>client</i> f	repares an internal control report with respect to custodial services when you or younger and securities.	your related persons
	an internal control report. (If you checke	1), list in Section 9.C. of Schedule D the accountants that are engaged to perform the d Item 9.C.(2), you do not have to list auditor information in Section 9.C. of Schedule ands you advise in Section 7.B.(1) of Schedule D).	
D.	Do you or your <i>related person(s)</i> act as (1) you act as a qualified custodian	qualified custodians for your clients in connection with advisory services you provi	de to <i>clients</i> ? Yes No
	(2) your related person(s) act as qualif	ed custodian(s)	0 0
		related persons that act as qualified custodians (other than any mutual fund transfer tion 7.A. of Schedule D, regardless of whether you have determined the related perso	
E.	If you are filing your annual updating an fiscal year, provide the date (MM/YYYY)	nendment and you were subject to a surprise examination by an independent publithe examination commenced:	c accountant during your last
F.	,	ody of client funds or securities, how many persons, including, but not limited to, y n connection with advisory services you provide to clients?	ou and your <i>related persons,</i> act
SEC	TION 9.C. Independent Public Accoun	tant	
		No Information Filed	
	n 10 Control Persons		and the defendent in the second
	nis item, we ask you to identify every <i>pe</i> uld be provided for the <i>filing adviser</i> only	erson that, directly or indirectly, controls you. If you are filing an umbrella registration.	n, the information in Item 10
and	executive officers. Schedule B asks for	report, you must complete Schedule A and Schedule B. Schedule A asks for information about your indirect owners. If this is an amendment and you are updated that you filed with your initial application or report, you must complete Schedule	iting information you reported C.
^	December 1		Yes No
Α.	Does any <i>person</i> not named in Item 1.	or Schedules A, B, or C, directly or indirectly, <i>control</i> your management or policies	s?
	If yes, complete Section 10.A. of Schedul	e <i>D.</i>	
В.	If any <i>person</i> named in Schedules A, B, Exchange Act of 1934, please complete	or C or in Section 10.A. of Schedule D is a public reporting company under Section Section 10.B. of Schedule D.	s 12 or 15(d) of the Securities
SEC	TION 10.A. Control Persons		
		N. J. C	
		No Information Filed	
SEC	TION 10.B. <i>Control Person</i> Public Rep	orting Companies	
		No Information Filed	
ten	n 11 Disclosure Information		

In this Item, we ask for information about your disciplinary history and the disciplinary history of all your advisory affiliates. We use this information to

determine whether to grant your application for registration, to decide whether to revoke your registration or to place limitations on your activities as an investment adviser, and to identify potential problem areas to focus on during our on-site examinations. One event may result in "yes" answers to more than one of the questions below. In accordance with General Instruction 5 to Form ADV, "you" and "your" include the filing adviser and all relying advisers under an umbrella registration. Your advisory affiliates are: (1) all of your current employees (other than employees performing only clerical, administrative, support or similar functions); (2) all of your officers, partners, or directors (or any person performing similar functions); and (3) all persons directly or indirectly controlling you or controlled by you. If you are a "separately identifiable department or division" (SID) of a bank, see the Glossary of Terms to determine who your advisory affiliates are. If you are registered or registering with the SEC or if you are an exempt reporting adviser, you may limit your disclosure of any event listed in Item 11 to ten years following the date of the event. If you are registered or registering with a state, you must respond to the questions as posed; you may, therefore, limit your disclosure to ten years following the date of an event only in responding to Items 11.A.(1), 11.A.(2), 11.B.(1), 11.B.(2), 11.D.(4), and 11.H.(1)(a). For purposes of calculating this ten-year period, the date of an event is the date the final order, judgment, or decree was entered, or the date any rights of appeal from preliminary orders, judgments, or decrees lapsed. You must complete the appropriate Disclosure Reporting Page ("DRP") for "yes" answers to the questions in this Item 11. Yes No Do any of the events below involve you or any of your supervised persons?  $\odot$  $\circ$ For "yes" answers to the following questions, complete a Criminal Action DRP: A. In the past ten years, have you or any advisory affiliate: Yes No (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?  $\circ$ (2) been charged with any felony?

If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.A.(2) to charges that are currently pending. In the past ten years, have you or any advisory affiliate: (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a misdemeanor involving:  $\circ$ investments or an investment-related business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? (2) been charged with a misdemeanor listed in Item 11.B.(1)? If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.B.(2) to charges that are currently pending. For "yes" answers to the following questions, complete a Regulatory Action DRP: Has the SEC or the Commodity Futures Trading Commission (CFTC) ever: Yes No (1) found you or any advisory affiliate to have made a false statement or omission?  $\circ$  $\odot$ (2) found you or any advisory affiliate to have been involved in a violation of SEC or CFTC regulations or statutes? **②** (3) found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied,  $\odot$ 0 suspended, revoked, or restricted? (4) entered an order against you or any advisory affiliate in connection with investment-related activity?  $\circ$  $\odot$ (5) imposed a civil money penalty on you or any advisory affiliate, or ordered you or any advisory affiliate to cease and desist from any activity?  $\odot$ Has any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority: (1) ever found you or any advisory affiliate to have made a false statement or omission, or been dishonest, unfair, or unethical?  $\odot$  $\circ$ (2) ever found you or any advisory affiliate to have been involved in a violation of investment-related regulations or statutes?  $\circ$ (3) ever found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business  $\circ$ **(** denied, suspended, revoked, or restricted? (4) in the past ten years, entered an order against you or any advisory affiliate in connection with an investment-related activity? ② 0 (5) ever denied, suspended, or revoked your or any advisory affiliate's registration or license, or otherwise prevented you or any advisory  $\odot$ affiliate, by order, from associating with an investment-related business or restricted your or any advisory affiliate's activity? Has any self-regulatory organization or commodities exchange ever: (1) found you or any advisory affiliate to have made a false statement or omission? **©** (2) found you or any advisory affiliate to have been involved in a violation of its rules (other than a violation designated as a "minor rule 0 violation" under a plan approved by the SEC)? (3) found you or any advisory affiliate to have been the cause of an investment-related business having its authorization to do business denied,  $\odot$ suspended, revoked, or restricted? (4) disciplined you or any advisory affiliate by expelling or suspending you or the advisory affiliate from membership, barring or suspending you or the advisory affiliate from association with other members, or otherwise restricting your or the advisory affiliate's activities? Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any advisory affiliate ever been revoked or

suspended?

For "yes" answe	ers to the following questions, complete a Civil Judicial Action DRP:		
H. (1) Has ar	y domestic or foreign court:	Yes	No
(a) in	the past ten years, enjoined you or any advisory affiliate in connection with any investment-related activity?	0	•
(b) ev	er found that you or any advisory affiliate were involved in a violation of investment-related statutes or regulations?	0	•
, ,	er dismissed, pursuant to a settlement agreement, an <i>investment-related</i> civil action brought against you or any <i>advisory affiliate</i> by state or <i>foreign financial regulatory authority</i> ?	0	•
(2) Are yo	u or any advisory affiliate now the subject of any civil proceeding that could result in a "yes" answer to any part of Item 11.H.(1)?	0	•

Are you or any advisory affiliate now the subject of any regulatory proceeding that could result in a "yes" answer to any part of Item 11.C.,

#### Item 12 Small Businesses

The SEC is required by the Regulatory Flexibility Act to consider the effect of its regulations on small entities. In order to do this, we need to determine whether you meet the definition of "small business" or "small organization" under rule 0-7.

Answer this Item 12 only if you are registered or registering with the SEC **and** you indicated in response to Item 5.F.(2)(c) that you have regulatory assets under management of less than \$25 million. You are not required to answer this Item 12 if you are filing for initial registration as a state adviser, amending a current state registration, or switching from SEC to state registration.

For purposes of this Item 12 only:

- Total Assets refers to the total assets of a firm, rather than the assets managed on behalf of *clients*. In determining your or another *person's* total assets, you may use the total assets shown on a current balance sheet (but use total assets reported on a consolidated balance sheet with subsidiaries included, if that amount is larger).
- Control means the power to direct or cause the direction of the management or policies of a person, whether through ownership of securities, by contract, or otherwise. Any person that directly or indirectly has the right to vote 25 percent or more of the voting securities, or is entitled to 25 percent or more of the profits, of another person is presumed to control the other person.

Yes No

Α.	Did you have total assets of \$5 million or more on the last day of your most recent fiscal year?	0	0
If "	'yes," you do not need to answer Items 12.B. and 12.C.		
В.	Do you:		
	(1) control another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?	0	0
	(2) control another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	0	0
C.	Are you:		
	(1) controlled by or under common control with another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?	0	0
	(2) controlled by or under common control with another person (other than a natural person) that had total assets of \$5 million or more on the	0	0

# Schedule A

# **Direct Owners and Executive Officers**

- 1. Complete Schedule A only if you are submitting an initial application or report. Schedule A asks for information about your direct owners and executive officers. Use Schedule C to amend this information.
- 2. Direct Owners and Executive Officers. List below the names of:

last day of its most recent fiscal year?

- (a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer (Chief Compliance Officer is required if you are registered or applying for registration and cannot be more than one individual), director, and any other individuals with similar status or functions;
- (b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your voting securities, unless you are a public reporting company (a company subject to Section 12 or 15(d) of the Exchange Act);

  Direct owners include any *person* that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of your voting securities. For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.
- (c) if you are organized as a partnership, <u>all</u> general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of your capital;
- (d) in the case of a trust that directly owns 5% or more of a class of your voting securities, or that has the right to receive upon dissolution, or has contributed, 5% or more of your capital, the trust and each trustee; and
- (e) if you are organized as a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 5% or more of your capital, and (ii) if managed by elected managers, all elected managers.
- 3. Do you have any indirect owners to be reported on Schedule B? OYes No

- 4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner or executive officer is an individual.
- 5. Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
- B 10% but less than 25% D 50% but less than 75% 6. Ownership codes are: NA - less than 5%
- 7. (a) In the Control Person column, enter "Yes" if the person has control as defined in the Glossary of Terms to Form ADV, and enter "No" if the person does not have control. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are control persons.
  - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.

(c) Complete each column.							
FULL LEGAL NAME (Individuals:	DE/FE/I	Title or Status	Date Title or			PR	CRD No. If None: S.S. No. and
Last Name, First Name, Middle			Status Acquired	Code	Person		Date of Birth, IRS Tax No. or
Name)			MM/YYYY				Employer ID No.
VANGUARD ADMIRAL FUNDS	DE	STOCKHOLDER	12/1992	NA	N	N	
VANGUARD OHIO TAX-FREE FUNDS	DE	STOCKHOLDER	06/1990	NA	N	N	
VANGUARD VALLEY FORGE FUNDS	DE	STOCKHOLDER	11/1992	NA	N	N	
VANGUARD TAX-MANAGED FUNDS	DE	STOCKHOLDER	09/1994	NA	N	N	
VANGUARD WHITEHALL FUNDS	DE	STOCKHOLDER	02/1996	NA	N	N	
VANGUARD HORIZON FUNDS	DE	STOCKHOLDER	06/1995	NA	N	N	
VANGUARD SCOTTSDALE FUNDS	DE	STOCKHOLDER	11/2009	NA	N	N	
VANGUARD NEW JERSEY TAX-FREE FUNDS	DE	STOCKHOLDER	09/1987	NA	N	N	
VANGUARD CALIFORNIA TAX-FREE FUNDS	DE	STOCKHOLDER	10/1985	NA	N	N	
VANGUARD NEW YORK TAX-FREE FUNDS	DE	STOCKHOLDER	01/1986	NA	N	N	
VANGUARD PENNSYLVANIA TAX- FREE FUNDS	DE	STOCKHOLDER	01/1986	NA	N	N	
VANGUARD CONVERTIBLE SECURITIES FUND	DE	STOCKHOLDER	04/1986	NA	N	N	
VANGUARD QUANTITATIVE FUNDS	DE	STOCKHOLDER	08/1986	NA	N	N	
VANGUARD VARIABLE INSURANCE FUNDS	DE	STOCKHOLDER	04/1991	NA	N	N	
VANGUARD MASSACHUSETTS TAX- EXEMPT FUNDS	DE	STOCKHOLDER	07/1992	NA	N	N	
VANGUARD WELLINGTON FUND	DE	STOCKHOLDER	05/1975	NA	N	N	
VANGUARD WINDSOR FUNDS	DE	STOCKHOLDER	05/1975		N	N	
VANGUARD WORLD FUND	DE	STOCKHOLDER	05/1975	NA	N	N	
VANGUARD TRUSTEES' EQUITY FUND		STOCKHOLDER	02/1980	NA	N	N	
VANGUARD EXPLORER FUND	DE	STOCKHOLDER	12/1975	NA	N	N	
VANGUARD WELLESLEY INCOME	DE	STOCKHOLDER	05/1975	NA	N	N	
FUND	_					•	
VANGUARD INDEX FUNDS	DE	STOCKHOLDER	08/1976	С	Υ	N	
VANGUARD BOND INDEX FUNDS	DE	STOCKHOLDER	12/1986	Α	N	N	
VANGUARD FENWAY FUNDS	DE	STOCKHOLDER	11/1987	NA	N	N	
VANGUARD MALVERN FUNDS	DE	STOCKHOLDER	11/1988	NA	N	N	
VANGUARD INTERNATIONAL EQUITY INDEX FUNDS	DE	STOCKHOLDER	04/1990	NA	N	N	
VANGUARD FIXED INCOME SECURITIES FUNDS	DE	STOCKHOLDER	05/1975	NA	N	N	
VANGUARD MONEY MARKET RESERVES	DE	STOCKHOLDER	05/1975	A	N	N	
VANGUARD MUNICIPAL BOND FUNDS	DE	STOCKHOLDER	09/1977	NA	N	N	
VANGUARD SPECIALIZED FUNDS	DE	STOCKHOLDER	10/1983	NA	N	N	
VANGUARD CHESTER FUNDS	DE	STOCKHOLDER	08/1984	NA	N	N	
BUCKLEY, MORTIMER, JOSEPH	I	CHAIRMAN OF THE BOARD, CHIEF EXECUTIVE OFFICER, AND PRESIDENT		NA	Υ	N	2167630
PEROLD, ANDRE, FRANCOIS	I	DIRECTOR	12/2004	NA	Υ	N	4660204
VANGUARD MONTGOMERY FUNDS	DE	STOCKHOLDER	11/2007	NA	N	N	
FULLWOOD, EMERSON, U	I	DIRECTOR	01/2008	NA	Υ	N	5511592
VOLANAKIS, PETER, FREDERICK	I	DIRECTOR	12/2008	NA	Υ	N	5648569
LOUGHREY, FRANCIS, JOSEPH	I	DIRECTOR	10/2009	NA	Υ	N	5755253
VANGUARD STAR FUNDS	DE	STOCKHOLDER	03/2009	А	N	N	
VANGUARD CHARLOTTE FUNDS	DE	STOCKHOLDER	10/2011	NA	N	N	
MCISAAC, CHRISTOPHER, DAVIS	1	MANAGING DIRECTOR	03/2012	NA	Υ	N	2928259
1	i		† 	1			i

MALPASS, SCOTT, CHARLES	I	DIRECTOR	03/2012	NA	Υ	N	2532347
LOUGHRIDGE, MARK	I	DIRECTOR	03/2012	NA	Υ	N	6048361
RAMPULLA, THOMAS, MARK	I	MANAGING DIRECTOR	07/2015	NA	Υ	N	1816948
RISI, KARIN, ANN	I	MANAGING DIRECTOR	07/2015	NA	Υ	N	3209445
ROLLINGS, MICHAEL, THOMAS	I	MANAGING DIRECTOR AND CHIEF FINANCIAL OFFICER	06/2016	NA	Y	N	1592402
ROBINSON, ANNE, ELIZABETH	I	GENERAL COUNSEL, MANAGING DIRECTOR, AND SECRETARY	09/2016	NA	Y	N	6706699
JAMES, JOHN, MARK	I	MANAGING DIRECTOR	12/2016	NA	Υ	N	5594356
MULLIGAN, DEANNA, MARIE	I	DIRECTOR	07/2017	NA	Υ	N	4562715
RASKIN, SARAH, BLOOM	I	DIRECTOR	07/2017	NA	Υ	N	6844984
DAVIS, GREGORY	I	MANAGING DIRECTOR AND CHIEF INVESTMENT OFFICER	07/2017	NA	Υ	N	2416369
VANGUARD INSTITUTIONAL INDEX FUNDS	DE	STOCKHOLDER	02/2018	А	N	N	
SCHADL, JOHN	I	CHIEF COMPLIANCE OFFICER	03/2019	NA	Υ	N	6931790
BRENNAN, JOSEPH, PATRICK	I	MANAGING DIRECTOR AND CHIEF RISK OFFICER	09/2018	NA	Υ	N	2193881
VALENTE, LAUREN, MARIE	I	MANAGING DIRECTOR	09/2020	NA	Υ	N	6119944
BENCHENER, MATTHEW, JOHN	I	MANAGING DIRECTOR	12/2020	NA	Υ	N	5569805
Thomas, David, Anthony	I	DIRECTOR	07/2021	NA	Υ	N	7423571
BUNCH, TARA, LYNN	I	DIRECTOR	11/2021	NA	Υ	N	7470785
Tandon, Nitin	I	MANAGING DIRECTOR AND CHIEF INFORMATION OFFICER	11/2021	NA	Y	N	7482798

#### Schedule B

#### **Indirect Owners**

- 1. Complete Schedule B only if you are submitting an initial application or report. Schedule B asks for information about your indirect owners; you must first complete Schedule A, which asks for information about your direct owners. Use Schedule C to amend this information.
- 2. Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:
  - (a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;

For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.

- (b) in the case of an owner that is a partnership, <u>all</u> general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 25% or more of the partnership's capital;
- (c) in the case of an owner that is a trust, the trust and each trustee; and
- (d) in the case of an owner that is a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.
- 3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Exchange Act) is reached, no further ownership information need be given.
- 4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner is an individual.
- 5. Complete the Status column by entering the owner's status as partner, trustee, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
- 6. Ownership codes are: C 25% but less than 50% E 75% or more
  - D 50% but less than 75% F Other (general partner, trustee, or elected manager)
- 7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.
  - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.
  - (c) Complete each column.

No Information Filed

# Schedule D - Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

Section 7. We have affiliates that are not listed having met one or more of the exceptions of the SEC's guidance regarding related persons. A list of affiliates can be provided upon request. Please note that two individuals in Schedule A, Amy Gutmann and Mark Loughridge, do not have middle names.

ORP Pages						
CRIMINAL DISC	LOSURE REPORTING PAGE (ADV)					
No Information F	iled					
REGULATORY A	CTION DISCLOSURE REPORTING	PAGE (ADV)				
This Disclosure F	Paparting Page (DDD ADV) is an	GENERAL INSTRUC		irmative responses to Items 11 C 11 D		
	I.G. of Form ADV.	OR OR MILITAL DESPOI	se used to report details for all	irmative responses to Items 11.C., 11.D.,		
11.L., 11.1. Of 1	1.G. 01101111716V.					
Check item(s) be	eing responded to:	Regulatory Ac	tion			
□ 11.C(1)	☐ 11.C(2)	<b>□</b> 11.C(3)	□ 11.C(4)	□ 11.C(5)		
□ 11.D(1)	□ 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)		
□ 11.E(1)	<b>☑</b> 11.E(2)	□ 11.E(3)	□ 11.E(4)	. ,		
□ 11.F.	□ 11.G.		• •			
•	DRP for each event or <i>proceeding</i> . T d Execution Page.	he same event or <i>proceeding</i> ma	ay be reported for more than or	ne <i>person</i> or entity using one DRP. File		
•	result in more than one affirmative a n event gives rise to actions by mor		· ·	e DRP to report details related to the trace DRP.		
PART I						
	(s) or entity(ies) for whom this DRP i	is being filed is (are):				
O You (the	e advisory firm)					
C You and	one or more of your advisory affiliat	too				
		les				
• One or i	more of your advisory affiliates					
	is being filed for an <i>advisory affiliate</i> , <i>ory affiliate</i> has a <i>CRD</i> number, provi	•	•	, Last name, First name, Middle name). he appropriate box.		
ADV DRP -	ADVISORY AFFILIATE					
CRD	7452 <sub>T</sub>	his <i>advisory affiliate</i> is <b>©</b> a Firm	C an Individual			
Number:		The davicery arriage is a rain.	arr marriada.			
Registere	d: 👩 Yes 🤼 No					
Name:	VANGUARD MARKETING					
	CORPORATION					
	(For individuals, Last, First,					
	Middle)					
This DR	P should be removed from the ADV in the ADV	record because: (1) the event of	r <i>proceeding</i> occurred more thar	ten years ago or (2) the adviser is		
•	ed or applying for registration with a sor advisory affiliate's favor.	the SEC or reporting as an <i>exer</i>	<i>mpt reporting adviser</i> with the SE	EC and the event was resolved in the		
11.D(4), aı	registered or registering with a <i>state</i> nd only if that event occurred more t d in Item 11 that occurred more tha	than ten years ago. If you are r		reported only in response to Item e SEC, you may remove a DRP for any		
This DR circums	P should be removed from the ADV r tances:	record because it was filed in er	ror, such as due to a clerical or	data-entry mistake. Explain the		
	If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.					

• Yes • No

	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.						
PAR	ГІІ						
1.	Regulatory Action initiated by:  OSEC Other Federal OState SRO OF Foreign  (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)  FINRA						
2.	Principal Sanction: Other Other Sanctions: NA						
3.	Date Initiated (MM/DD/YYYY):						
	03/06/2016 Exact Explanation  If not exact, provide explanation:						
4.	Docket/Case Number: 2013038325801						
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):						
6.	Principal Product Type:  No Product  Other Product Types:  NA						
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT FAILED TO ESTABLISH AND MAINTAIN AN ADEQUATE SUPERVISORY SYSTEM, INCLUDING WRITTEN PROCEDURES, TO ENSURE THAT IT DISCLOSE UNSATISFIED JUDGMENTS AND LIENS OF REGISTERED REPRESENTATIVES ON UNIFORM APPLICATIONS FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER ("FORM U4S"), IN INSTANCES WHERE THE FIRMS' PAYROLL DEPARTMENT HAD NOTICE OF SUCH LIENS AND JUDGMENTS AS A RESULT OF GARNISHMENT ORDERS IT HAD RECEIVED. THE FINDINGS STATED THAT THE FIRM DID NOT HAVE ANY SUPERVISORY PROCEDURES IN PLACE TO ENSURE THAT THE PAYROLL DEPARTMENT NOTIFIED THE COMPLIANCE DEPARTMENT OF GARNISHMENTS, AND THE FIRM DID NOT REVIEW THE GARNISHMENTS TO DETERMINE WHETHER THEY TRIGGERED A REPORTABLE EVENT FOR REGISTERED REPRESENTATIVES. AS A RESULT, THE FIRM FAILED TO DISCLOSE OR TIMELY DISCLOSE UNSATISFIED JUDGMENTS AND LIENS OF WHICH IT HAD NOTICE BY REASON OF THE GARNISHMENT ORDERS. ALSO THE FIRM BECAME AWARE OF THE DEFICIENCY IN ITS SUPERVISORY SYSTEM AND VOLUNTARILY UNDERTOOK STEPS TO AMEND ITS WRITTEN SUPERVISORY PROCEDURES AND PUT A PROCESS IN PLACE FOR ITS PAYROLL DEPARTMENT TO NOTIFY ITS COMPLIANCE DEPARTMENT OF GARNISHMENT ORDERS. HOWEVER, THE FIRM FAILED TO PROPERLY IMPLEMENT THE AMENDED PROCEDURES. AS A RESULT, THE FIRM CONTINUED TO NOT DISCLOSE OR TIMELY DISCLOSE JUDGMENTS AND LIENS OF WHICH IT HAD RECEIVED NOTICE. IN TOTAL THE FIRM RECEIVED 80 GARNISHMENT ORDERS THAT TRIGGERED REPORTABLE EVENTS ON THE FORM U4. IT FAILED TO FILE AMENDMENTS TO ITS REGISTERED REPRESENTATIVES' FORM U4S FOR 60 OF THESE REPORTABLE EVENTS AND FAILED TO TIMELY FILE FORM U4 AMENDMENTS FOR 20 REPORTABLE EVENTS.						
8.	Current Status? Pending On Appeal Final						
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:						
If F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.						
10.	How was matter resolved: Consent						
11.	Resolution Date (MM/DD/YYYY):						
	03/06/2016 © Exact C Explanation						
	If not exact, provide explanation:						
12.	Resolution Detail:  A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?   Monetary/Fine Amount: \$ 350,000.00  Revocation/Expulsion/Denial  Censure Bar  Cease and Desist/Injunction Suspension  B. Other Sanctions <i>Ordered</i> :						

#### UNDERTAKING.

circumstances:

Sanction detail: if suspended, *enjoined* or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an *advisory affiliate*, date paid and if any portion of penalty was waived:

THE FIRM WAS CENSURED, FINED \$350,000 AND REQUIRED TO RETAIN AN INDEPENDENT CONSULTANT TO REVIEW AND SUGGEST REVISIONS TO ITS POLICIES, PROCEDURES, AND INTERNAL CONTROLS RELATING TO REPORTING DISCLOSURES ON FORM U4S FOR ITS REGISTERED REPRESENTATIVES. FINE PAID IN FULL ON MARCH 23, 2015.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OR FINDINGS, VMC (AFFILIATE) AGREED TO THE IMPOSITION OF A CENSURE, A FINE IN THE AMOUNT OF \$350,000, THE PRODUCTION OF A VMC RETAINED INDEPENDENT CONSULTANT'S REPORT, AND THE CERTIFICATION OF VMC'S IMPLEMENTATION OF THE IMPROVEMENTS OUTLINED IN THE INDEPENDENT CONSULTANT'S REPORT. VMC'S LETTER OF ACCEPTANCE, WAIVER AND CONSENT WAS ACCEPTED BY FINRA ON MARCH 6, 2015.

		GENERAL INSTR	RUCTIONS		
This Disclos	ure Reporting Page (DRP ADV) i	is an 👩 INITIAL 🗽 🕟 AMENDED resp	onse used to report details for aff	Firmative responses to Items 11.C., 11	D
11.E., 11.F.	or 11.G. of Form ADV.				
		Dogulatory	Action		
Check item(	(s) being responded to:	Regulatory <i>i</i>	ACTION		
□ 11.C(1)	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	☐ 11.C(5)	
□ 11.D(1)	<b>☑</b> 11.D(2)	□ 11.D(3)	<b>☑</b> 11.D(4)	☐ 11.D(5)	
□ 11.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)		
□ 11.F.	□ 11.G.				
•	rate DRP for each event or <i>proce</i> oleted Execution Page.	reeding . The same event or proceeding i	may be reported for more than or	ne <i>person</i> or entity using one DRP. File	
	•	irmative answer to Items 11.C., 11.D., ns by more than one regulator, provide	-	•	
PART I					
·	erson(s) or entity(ies) for whom u (the advisory firm)	this DRP is being filed is (are):			
O You	u and one or more of your advis	sory affiliatos			
<b>⊚</b> Oπ	e or more of your advisory affilia	ates			
		ry affiliate, give the full name of the adv ber, provide that number. If not, indica	•		
	DRP - <i>ADVISORY AFFILIATE</i>				
ADV L					
<i>CRD</i> Numb		This <i>advisory affiliate</i> is 🤨 a Fi	rm C an Individual		
<i>CRD</i> Numb		This <i>advisory affiliate</i> is 🤨 a Fi.	rm C an Individual		
<i>CRD</i> Numb	ber: stered: ⊙ <sub>Yes</sub> O No	NC	rm C an Individual		
CRD Numb Regis Name Thi Thi reg adv If you 11.D(4	ber: stered:  Yes  No e: VANGUARD ADVISERS IN   (For individuals, Last, Fil   Middle)  is DRP should be removed from is DRP should be removed from gistered or applying for registrativiser's or advisory affiliate's favor	the ADV record because the <i>advisory a</i> the ADV record because: (1) the event tion with the SEC or reporting as an <i>ex</i> or.  with a <i>state securities authority</i> , you mared more than ten years ago. If you are	offiliate(s) is no longer associated we have that we have the second of	ten years ago or (2) the adviser is EC and the event was resolved in the reported only in response to Item	

If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to

	• Yes • No
	NOTE: The completion of this form does not relieve the <i>advisory affiliate</i> of its obligation to update its IARD or <i>CRD</i> records.
PAR	ГІІ
1.	Regulatory Action initiated by:  O SEC Other Federal State O SRO O Foreign
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) COMMONWEALTH OF PENNSYLVANIA, DEPARTMENT OF BANKING AND SECURITIES
2.	Principal Sanction: Other Other Sanctions:
	ADMINISTRATIVE ASSESSMENT
3.	Date Initiated (MM/DD/YYYY):
	10/10/2017 © Exact © Explanation  If not exact, provide explanation:  DATE INITIAL INQUIRY RELATED TO THIS MATTER WAS RECEIVED.
4.	Docket/Case Number: 17-0077
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Product Type: No Product
	Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  FROM FEBRUARY 2017 UNTIL DECEMBER 2017, VANGUARD ADVISERS, INC., DUE TO ADMINISTRATIVE ERROR, EMPLOYED AN INVESTMENT ADVISER REPRESENTATIVE WHO, ALTHOUGH REGISTERED AS AN INVESTMENT ADVISER REPRESENTATIVE IN ARIZONA, WAS NOT REGISTERED AS AN INVESTMENT ADVISER REPRESENTATIVE IN PENNSYLVANIA.
8.	Current Status? C Pending C On Appeal Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
lf F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved: Consent
11.	Resolution Date (MM/DD/YYYY):
	12/20/2017 © Exact © Explanation  If not exact, provide explanation:
12.	Resolution Detail:
	A. Were any of the following Sanctions Ordered (check all appropriate items)?
	Monetary/Fine Amount: \$ 23,480.00
	☐ Revocation/Expulsion/Denial ☐ Disgorgement/Restitution
	☐ Censure ☐ Cease and Desist/Injunction
	□ Bar □ Suspension
	B. Other Sanctions Ordered:
	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an <i>advisory affiliate</i> , date paid and if any portion

the IARD or  $\it{CRD}$  for the event? If the answer is "Yes," no other information on this DRP must be provided.

of penalty was waived:
AN ADMINISTRATIVE ASSESSMENT OF \$23,480 WAS LEVIED AGAINST VAI. PAYMENT WAS MADE JANUARY 9, 2018.

13.	Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your respons must fit within the space provided).	е
	AN INVESTMENT ADVISER REPRESENTATIVE ("IAR") CHANGED HIS PERSONAL RESIDENCE FROM ARIZONA TO PENNSYLVANIA. AS A RESULT OF AN ADMINISTRATIVE ERROR, VANGUARD ADVISERS, INC. DID NOT IMMEDIATELY UPDATE HIS REGISTRATION TO REFLECT PENNSYLVANIA AS HIS NEW PLACE OF EMPLOYMENT. VANGUARD ADVISERS, INC. SELF IDENTIFIED THE ISSUE.	
	GENERAL INSTRUCTIONS	
	Disclosure Reporting Page (DRP ADV) is an 💍 INITIAL $_{\it OR}$ . AMENDED response used to report details for affirmative responses to Items 11.C., 11	.D.,
Cho	Regulatory Action	
	k item(s) being responded to:  1.C(1)	
	1.D(1)	
	1.E(1)	
	1.F. □ 11.G.	
with One	a separate DRP for each event or <i>proceeding</i> . The same event or <i>proceeding</i> may be reported for more than one <i>person</i> or entity using one DRP. File a completed Execution Page.  event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.	:
PAR <sup>1</sup>		
Α.	The person(s) or entity(ies) for whom this DRP is being filed is (are):  You (the advisory firm)	
	O You and one or more of your advisory affiliates	
	One or more of your advisory affiliates	
	If this DRP is being filed for an <i>advisory affiliate</i> , give the full name of the <i>advisory affiliate</i> below (for individuals, Last name, First name, Middle name If the <i>advisory affiliate</i> has a <i>CRD</i> number, provide that number. If not, indicate "non-registered" by checking the appropriate box.	•).
	ADV DRP - ADVISORY AFFILIATE	
	No Information Filed	
	This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser.  This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.	
	If you are registered or registering with a <i>state securities authority</i> , you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.	/
	This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:	
B.	If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.	0
	O Yes O No	
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.	
PAR <sup>*</sup>		
1.	Regulatory Action initiated by:  O SEC Other Federal O State O SRO Foreign	
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) FINANCIAL SUPERVISORY SERVICE ("FSS"), SOUTH KOREA	
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	

	NONE
3.	Date Initiated (MM/DD/YYYY):
	06/18/2020 © Exact © Explanation  If not exact, provide explanation:
4.	Docket/Case Number: CAPITAL MARKET INVESTIGATION DEPARTMENT, INVESTIGATION TEAM 3 - 1076
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable): N/A
6.	Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  THE SOUTH KOREAN FINANCIAL SUPERVISORY SERVICE CLAIMED THAT ON THREE OCCASIONS FROM 2018 TO 2019 THE VANGUARD GROUP, INC.  ("VGI"), ENGAGED IN THE SALE OF TWO KOREAN-LISTED SECURITIES WITHOUT CORRESPONDING OWNERSHIP OF THE POSITIONS, A PRACTICE WHICH IS PROHIBITED UNDER SOUTH KOREAN LAW.
8.	Current Status? Pending On Appeal Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
lf F	Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved:
	Decision & Order of Offer of Settlement
11.	Resolution Date (MM/DD/YYYY):
	09/24/2020 © Exact C Explanation
	If not exact, provide explanation:
12.	Resolution Detail:
	A. Were any of the following Sanctions Ordered (check all appropriate items)?
	✓ Monetary/Fine Amount: \$ 104,575.00
	Revocation/Expulsion/Denial Disgorgement/Restitution
	Censure Cease and Desist/Injunction
	☐ Bar ☐ Suspension
	B. Other Sanctions <i>Ordered:</i>
	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an <i>advisory affiliate</i> , date paid and if any portion of penalty was waived:
	ON OCTOBER 12, 2020, \$83,660 (KRW 96 MILLION) WAS ACCEPTED AS PAYMENT, WHICH REFLECTS A DISCOUNT FROM THE \$104,575 (KRW 120 MILLION) ORIGINALLY SOUGHT.
13.	Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).
	ON SEPTEMBER 24, 2020, THE SOUTH KOREAN FINANCIAL SERVICES COMMISSION IMPOSED AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$104,575 (KRW 120 MILLION) ON VGI, IN CONNECTION WITH THREE INSTANCES DURING 2018 AND 2019 IN WHICH VGI SOLD TWO KOREAN-LISTED SECURITIES WITHOUT CORRESPONDING OWNERSHIP OF THE POSITION, A PRACTICE WHICH IS PROHIBITED UNDER SOUTH KOREAN LAW.
TL!-	GENERAL INSTRUCTIONS  Disclosure Reporting Page (DRP ADV) is an INITIAL OR A AMENDED response used to report details for affirmative responses to Items 11.C., 11.D
11115	י שואביישים אפסינוווע במעב לשתר אשע) וא מוד 🔼 וועדדואב 🔼 🏲 Mivilian שיי אפסינוווע במעב לשתר אשע אוווווווע במעב איישיא ווישטע באיישים ווישטע איישיא אוווווווע במעב לשתר אשע איישי איישי אווווווע במעב איישיאיישי איישיאיישי איישיאיישי איישיאיישי איישיאיישיאיישי איישיאישיאיישיאיישיאיישיאיישיאיישיאיישיאיישיאיישיאיישיאיישיאיישיאיישיאישיאי

Regulatory Action

11.E., 11.F. or 11.G. of Form ADV.

, ne	ck itelli(s) being respo	nueu to.			
	11.C(1)	■ 11.C(2)	■ 11.C(3)	□ 11.C(4)	□ 11.C(5)
	11.D(1)	<b>☑</b> 11.D(2)	□ 11.D(3)	<b>☑</b> 11.D(4)	□ 11.D(5)
	11.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	
	11.F.	<b>□</b> 11.G.	. ,	. ,	
	11.1.	E 11.0.			
vith	a completed Executio	n Page.			ne <i>person</i> or entity using one DRP. File e DRP to report details related to the
	•		re than one regulator, provide d		·
PAR	ΤΙ				
A.	You (the advisory				
		ore of your <i>advisory affilia</i>	tes		
	One or more of you	our advisory affiliates			
	_	_	give the full name of the <i>adviso</i> ide that number. If not, indicate	-	s, Last name, First name, Middle name). the appropriate box.
	ADV DRP - ADVISOR	Y AFFILIATE			
			No Informatio	on Filed	
	This DRP should b registered or appl	e removed from the ADV		proceeding occurred more that	with the adviser. In ten years ago or (2) the adviser is EC and the event was resolved in the
	11.D(4), and only if t	0	than ten years ago. If you are re	3	reported only in response to Item e SEC, you may remove a DRP for any
	☐ This DRP should b circumstances:	e removed from the ADV I	record because it was filed in err	ror, such as due to a clerical or	data-entry mistake. Explain the
B.	•	-	e IARD system or <i>CRD</i> system, has "Yes," no other information on	-	ed a DRP (with Form ADV, BD or U-4) to
	C Yes C No				
	NOTE: The completio	n of this form does not rel	lieve the <i>advisory affiliate</i> of its o	bligation to update its IARD or	CRD records.
PAR	TII				
1.	Regulatory Action init	iated by: eral OState OSRO	က Foreign		
	(Full name of regulate		ory authority, federal, state, or S	SRO)	
2.	Principal Sanction: Civil and Administrati Other Sanctions:	ve Penalt(ies) /Fine(s)			
3.	Date Initiated (MM/DE	D/YYYY):			
	02/03/2021 © Exact If not exact, provide	'			
4.	Docket/Case Number CAPITAL MARKET INV		, INVESTIGATION TEAM 3 - 116		
5.	Advisory Affiliate Empl	loying Firm when activity o	occurred which led to the regulat	cory action (if applicable):	
6.	Principal Product Type Equity Listed (Commo				

Other Product Types:

7.	THE SOUTH KORE	AN FINANCIAL S NE KOREAN-LIS	UPERVISORY SER	RVICE (FSS) CLAIMED THA		: ANGUARD GROUP, INC. ("VGI"), ENGAGED A PRACTICE WHICH IS PROHIBITED
8.	Current Status?	O Pending	On Appeal	<b>⊙</b> Final		
9.	If on appeal, regu	llatory action ap	pealed to (SEC,	<i>SRO,</i> Federal or State Cou	rt) and Date Appeal Filed:	
If F	inal or On Appeal, o	complete all iten	ns below. For Per	nding Actions, complete It	em 13 only.	
10.	How was matter r		ement			
11.	Resolution Date (M	MM/DD/YYYY):				
	12/22/2021 <b>©</b> E	•	nation			
12.	Resolution Detail:					
	A. Were any of	the following Sa	anctions <i>Ordered</i>	(check all appropriate iter	ms)?	
	Monetary	y/Fine Amount:	\$ 15,409.00			
		on/Expulsion/De	enial		☐ Disgorgement/Restitution	
	Censure				Cease and Desist/Injunction	on
	☐ Bar				Suspension	
	B. Other Sancti	ons <i>Ordered:</i>				
13.	disgorgemer of penalty w ON DECEMBE	nt or monetary of as waived: ER 22, 2021 \$15	ompensation, pr ,409 (KRW 18 MI	covide total amount, portion	on levied against you or an <i>advis</i> AS PAYMENT.	ed in a fine, penalty, restitution, cory affiliate, date paid and if any portion and constitutions and dates (your response
10.	must fit within the	•		action states and (or) disp	osition and moiddo rolovant torr	ns, conditions and dates (Jean response
	(KRW 18 MILLION	) ON VGI, IN CO	NNECTION WITH	ONE INCIDENT DURING 2	SSION IMPOSED AN ADMINISTRA 019 IN WHICH VGI SOLD A KORE HIBITED UNDER SOUTH KOREAN	
				GENERAL INST	RUCTIONS	
Γhis	Disclosure Reportin	ng Page (DRP AD	DV) is an 👩 INIT			affirmative responses to Items 11.C., 11.D.,
	, 11.F. or 11.G. of					
				Danulatanu	0 -4:	
Ched	ck item(s) being re	sponded to:		Regulatory	Action	
	11.C(1)	□ 11.C	(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)
	I1.D(1)	<b>☑</b> 11.□		□ 11.D(3)	<b>☑</b> 11.D(4)	□ 11.D(5)
	I1.E(1)	<b>□</b> 11.E	•	□ 11.E(3)	□ 11.E(4)	
	11.F.	■ 11.G	•	• •	. ,	
with	a completed Execu	ution Page.	-			one <i>person</i> or entity using one DRP. File
	-				11.E., 11.F. or 11.G. Use only on the details for each action on a se	one DRP to report details related to the parate DRP.
PAR <sup>-</sup>	ТІ					
Α.	The person(s) or e	entity(ies) for wh	nom this DRP is b	peing filed is (are):		
	You (the advisor	ory firm)				

	O You and one or more of your advisory affiliates
	One or more of your advisory affiliates
	If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name). If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.
	ADV DRP - ADVISORY AFFILIATE
	No Information Filed
	☐ This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser. ☐ This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.
	If you are registered or registering with a <i>state securities authority</i> , you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.
	This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:
B.	If the <i>advisory affiliate</i> is registered through the IARD system or <i>CRD</i> system, has the <i>advisory affiliate</i> submitted a DRP (with Form ADV, BD or U-4) to the IARD or <i>CRD</i> for the event? If the answer is "Yes," no other information on this DRP must be provided.  O Yes O No
	Yes V No
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.
PAR	T II
1.	Regulatory Action initiated by:  OSEC Other Federal OState OSRO Foreign
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)  GERMAN FEDERAL FINANCIAL SUPERVISORY AUTHORITY ("BAFIN")
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:
3.	Date Initiated (MM/DD/YYYY):
	05/11/2021 © Exact © Explanation  If not exact, provide explanation:
4.	Docket/Case Number: WA 17-WP 3120-2021/0030
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Product Type: Mutual Fund(s) Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  BAFIN CLAIMED THAT THE VANGUARD GROUP, INC. ("VGI") ERRED IN PERFORMING A TECHNICAL PROCESS FROM 2017 TO 2019, WHICH LED TO UNTIMELY VOTING RIGHTS NOTIFICATIONS FOR THREE POSITIONS IN CONNECTION WITH SECURITIES LENDING ARRANGEMENTS.
8.	Current Status? Pending On Appeal Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
lf F	Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved:  Decision & Order of Offer of Settlement

12/07/2021 🧿	Exact C Explanation			
If not exact, pro	ovide explanation:			
2. Resolution Deta	iil:			
A. Were any	of the following Sanctions Orc	dered (check all appropriate item	s)?	
_	ary/Fine Amount: \$ 376,996.0			
	ation/Expulsion/Denial		☐ Disgorgement/Restitution	
Censu	re		Cease and Desist/Injunction	n
☐ Bar			Suspension	
B. Other San	ctions <i>Ordered:</i>			
Financial C requalify/r disgorgem of penalty	Operations Principal, etc.). If reetrain, type of exam required tent or monetary compensation was waived:	equalification by exam/retraining and whether condition has been	was a condition of the sanction a satisfied. If disposition resulted levied against you or an advisor	ffected (General Securities Principal, n, provide length of time given to d in a fine, penalty, restitution, ory affiliate, date paid and if any portion
must fit within t	the space provided).			ns, conditions and dates (your response 00) ON VGI, RELATED TO A TECHNICAL
				HREE POSITIONS FROM 2017 THRU 2019
pis Disclosuro Popo	rting Page (DPD ADV) is an	GENERAL INSTR		ffirmative responses to Itams 11 C 11 [
1.E., 11.F. or 11.G. (		OR OR AWILINDED TESPE	inse used to report details for all	ffirmative responses to Items 11.C., 11.[
.L., 11.1. OF 11.G. (	OF FORM ADV.			
		Regulatory A	ction	
neck item(s) being 11.C(1)	responded to:	<b>□</b> 11.C(3)	<b>□</b> 11.C(4)	□ 11.C(5)
11.D(1)	☑ 11.C(2) ☑ 11.D(2)	□ 11.C(3) □ 11.D(3)	☑ 11.C(4) ☑ 11.D(4)	□ 11.C(5) □ 11.D(5)
11.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	E 11.D(3)
_ II.L(I)	□ 11.G.	E 11.E(3)	L 11.L(4)	
11.F.				
11.F.				
se a separate DRP tith a completed Exe	ecution Page.	,		ne <i>person</i> or entity using one DRP. File
se a separate DRP t ith a completed Exe ne event may resul	ecution Page.	e answer to Items 11.C., 11.D.,		ne DRP to report details related to the
se a separate DRP to the a completed Exe ne event may result nme event. If an ev ART I	ecution Page. t in more than one affirmative ent gives rise to actions by m	e answer to Items 11.C., 11.D., ore than one regulator, provide	11.E., 11.F. or 11.G. Use only or	ne DRP to report details related to the
se a separate DRP to the a completed Exe ne event may result nme event. If an ev ART I	ecution Page.  t in more than one affirmative ent gives rise to actions by m  r entity(ies) for whom this DRI	e answer to Items 11.C., 11.D., ore than one regulator, provide	11.E., 11.F. or 11.G. Use only or	ne DRP to report details related to the
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se a separate DRP fith a completed Exemple event may resultance event. If an event are event. If an event are event are event are event. If an event are eve	t in more than one affirmative ent gives rise to actions by more entity(ies) for whom this DRI visory firm)  or more of your advisory affiliates  eing filed for an advisory affiliate	e answer to Items 11.C., 11.D., ore than one regulator, provide P is being filed is (are):  diates  e, give the full name of the advice.	11.E., 11.F. or 11.G. Use only or details for each action on a sep	ne DRP to report details related to the arate DRP.
se a separate DRP to the acompleted Exemple event may result the event. If an event are event. If an event are event. If an event are event are event are event. If an event are event are event are event. If the person(s) or and one or more are one or more are advisory are event.	t in more than one affirmative ent gives rise to actions by more entity(ies) for whom this DRI visory firm)  or more of your advisory affiliates  eing filed for an advisory affiliate	e answer to Items 11.C., 11.D., ore than one regulator, provide P is being filed is (are):  diates  e, give the full name of the advice.	11.E., 11.F. or 11.G. Use only or details for each action on a sep	ne DRP to report details related to the arate DRP.
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se a separate DRP to the acompleted Exemple event may result the event. If an event are event. If an event are event. If an event are event are event are event. If an event are event are event are event. If an event are event	t in more than one affirmative ent gives rise to actions by more entity(ies) for whom this DRI visory firm)  or more of your advisory affiliate of your advisory affiliate has a CRD number, profitsory AFFILIATE	e answer to Items 11.C., 11.D., ore than one regulator, provide P is being filed is (are):  iates  e, give the full name of the advitoride that number. If not, indications	11.E., 11.F. or 11.G. Use only or details for each action on a sep	ne DRP to report details related to the arate DRP.
se a separate DRP to the acompleted Exemple event may result the event. If an event. If an event. If an event. If an event. The person(s) or a You (the advolute of the advisory and one of the advisory and the a	t in more than one affirmative ent gives rise to actions by more entity(ies) for whom this DRI visory firm)  or more of your advisory affiliate of your advisory affiliate has a CRD number, profits of Yes No ANGUARD GLOBAL ADVISERS, LC	e answer to Items 11.C., 11.D., ore than one regulator, provide P is being filed is (are):  iates  e, give the full name of the advitoride that number. If not, indications	11.E., 11.F. or 11.G. Use only or details for each action on a sep	ne DRP to report details related to the arate DRP.
se a separate DRP to the acompleted Exemple event may result the event. If an event are event are event are event. If an event are event	t in more than one affirmative ent gives rise to actions by more entity(ies) for whom this DRIVISORY firm)  or more of your advisory affiliates  eing filed for an advisory affiliate has a CRD number, profiled for an advisory affiliate.  Or MORE ONO ANGUARD GLOBAL ADVISERS,	e answer to Items 11.C., 11.D., ore than one regulator, provide P is being filed is (are):  iates  e, give the full name of the advitoride that number. If not, indications	11.E., 11.F. or 11.G. Use only or details for each action on a sep	ne DRP to report details related to the arate DRP.

	registered or applying for registration with the SEC or reporting as an <i>ex</i> adviser's or <i>advisory affiliate's</i> favor.	empt reporting adviser with the SEC and the event was resolved in the
	If you are registered or registering with a <i>state securities authority</i> , you ma 11.D(4), and only if that event occurred more than ten years ago. If you are event listed in Item 11 that occurred more than ten years ago.	
	☐ This DRP should be removed from the ADV record because it was filed in circumstances:	error, such as due to a clerical or data-entry mistake. Explain the
B.	If the <i>advisory affiliate</i> is registered through the IARD system or <i>CRD</i> system, the IARD or <i>CRD</i> for the event? If the answer is "Yes," no other information of	
	• Yes • No	
	NOTE: The completion of this form does not relieve the advisory affiliate of its	s obligation to update its IARD or <i>CRD</i> records.
PAR	т II	
1.	Regulatory Action initiated by:  OSEC Other Federal OState OSRO Foreign	
	(Full name of regulator, foreign financial regulatory authority, federal, state, of FINANCIAL SUPERVISORY SERVICE ("FSS"), SOUTH KOREA	r <i>SRO</i> )
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	
3.	Date Initiated (MM/DD/YYYY):	
	02/03/2021 © Exact C Explanation	
	If not exact, provide explanation:	
4.	Docket/Case Number: CAPITAL MARKET INVESTIGATION DEPARTMENT, INVESTIGATION TEAM 3 - 11	6
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regu	latory action (if applicable):
6.	Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:	
7.	Describe the allegations related to this regulatory action (your response mu THE SOUTH KOREAN FINANCIAL SUPERVISORY SERVICE CLAIMED THAT ON MATHE SALE OF ONE KOREAN-LISTED SECURITY WITHOUT CORRESPONDING OV SOUTH KOREAN LAW.	ARCH 18, 2020 VANGUARD GLOBAL ADVISERS, LLC ("VGA"), ENGAGED IN
8.	Current Status? Pending On Appeal Final	
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Cour	rt) and Date Appeal Filed:
If F	inal or On Appeal, complete all items below. For Pending Actions, complete Ite	em 13 only.
10.	How was matter resolved: Decision & Order of Offer of Settlement	
11	Resolution Date (MM/DD/YYYY):	
	12/22/2021 © Exact C Explanation	
	If not exact, provide explanation:	
12.	Resolution Detail:	
	A. Were any of the following Sanctions Ordered (check all appropriate item	ns)?
	✓ Monetary/Fine Amount: \$ 19,177.00	_
	<ul><li>Revocation/Expulsion/Denial</li><li>Censure</li></ul>	☐ Disgorgement/Restitution ☐ Coase and Desict/Universitien
	☐ Censure	☐ Cease and Desist/Injunction ☐ Suspension

B. Other Sanctions Ordered: Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived: ON DECEMBER 22, 2021, \$19,177 (KRW 22.5 MILLION) WAS SUBMITTED AS PAYMENT. 13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided). ON NOVEMBER 12, 2021, THE SOUTH KOREAN FINANCIAL SERVICES COMMISSION IMPOSED AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$19,177 (KRW 22.5 MILLION) ON VGA, IN CONNECTION WITH ONE INCIDENT DURING 2020 IN WHICH VGA SOLD A KOREAN-LISTED SECURITY WITHOUT CORRESPONDING OWNERSHIP OF THE POSITION, WHICH IS A PRACTICE THAT IS PROHIBITED UNDER SOUTH KOREAN LAW. GENERAL INSTRUCTIONS This Disclosure Reporting Page (DRP ADV) is an [O INITIAL OR [O AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV. Regulatory Action Check item(s) being responded to: □ 11.C(1) □ 11.C(3) □ 11.C(4) 11.C(5) □ 11.C(2) □ 11.D(5) □ 11.D(1) □ 11.D(3) **☑** 11.D(4) **☑** 11.D(2) 11.E(1) 11.E(2) 11.E(3) 11.E(4) □ 11.F. □ 11.G. Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page. One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP. PART I The person(s) or entity(ies) for whom this DRP is being filed is (are): You (the advisory firm) O You and one or more of your advisory affiliates One or more of your advisory affiliates If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name). If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD 282933 This advisory affiliate is • a Firm • an Individual Number: Registered: • Yes O No **VANGUARD INVESTMENTS** Name: **AUSTRALIA LIMITED** (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser's or advisory affiliate's favor. If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago. This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to

	• Yes • No
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.
PAR1	- 11
	Regulatory Action initiated by:
1.	OSEC Other Federal OState O SRO Storeign
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) FINANCIAL SUPERVISORY SERVICE ("FSS"), SOUTH KOREA
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:
3.	Date Initiated (MM/DD/YYYY):
	02/24/2022 © Exact C Explanation
	If not exact, provide explanation:
4.	Docket/Case Number: CAPITAL MARKET INVESTIGATION DEPARTMENT, INVESTIGATION TEAM 3 - 116
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):  THE SOUTH KOREAN FINANCIAL SUPERVISORY SERVICE CLAIMED THAT ON MARCH 31, 2020 VANGUARD INVESTMENTS AUSTRALIA LIMITED ("VIA"), ENGAGED IN THE SALE OF TWO KOREAN-LISTED SECURITIES WITHOUT CORRESPONDING OWNERSHIP OF THE POSITIONS, A PRACTICE WHICH IS PROHIBITED UNDER SOUTH KOREAN LAW.
8.	Current Status? Pending On Appeal Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
If F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved:  Decision & Order of Offer of Settlement
11.	Resolution Date (MM/DD/YYYY):
-	02/24/2022 © Exact C Explanation
	If not exact, provide explanation:
12.	Resolution Detail:
	A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?
	✓ Monetary/Fine Amount: \$ 19,821.00
	☐ Revocation/Expulsion/Denial ☐ Disgorgement/Restitution
	☐ Censure ☐ Cease and Desist/Injunction
	☐ Bar ☐ Suspension
	B. Other Sanctions <i>Ordered</i> :
	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an <i>advisory affiliate</i> , date paid and if any portion of penalty was waived:

ON FEBRUARY 02/24/2022 ~ \$ 19821 (KRW 24 MILLION) WAS SUBMITTED AS VOLUNTARY PAYMENT, A DISCOUNT FROM THE KRW 30 MILLION

ORIGINALLY SOUGHT.

the IARD or *CRD* for the event? If the answer is "Yes," no other information on this DRP must be provided.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

ON FEBRUARY 24, 2022, THE FINANCIAL SERVICES COMMISSION IMPOSED AN ADMINISTRATIVE FINE IN THE AMOUNT OF ~\$ 19821 (KRW 24 MILLION) ON VIA, (A DISCOUNT FROM KRW 30 MILLION FOR VOLUNTARY PAYMENT) IN CONNECTION WITH ONE INCIDENT DURING 2020 IN WHICH VIA SOLD TWO KOREAN-LISTED SECURITIES WITHOUT CORRESPONDING OWNERSHIP OF THE POSITIONS, WHICH IS A PRACTICE THAT IS PROHIBITED UNDER SOUTH KOREAN LAW.

### CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

#### Part 2

#### Exemption from brochure delivery requirements for SEC-registered advisers

SEC rules exempt SEC-registered advisers from delivering a firm brochure to some kinds of clients. If these exemptions excuse you from delivering a brochure to *all* of your advisory clients, you do not have to prepare a brochure.

Yes No

⊙

Are you exempt from delivering a brochure to all of your clients under these rules?

If no, complete the ADV Part 2 filing below.

Amend, retire or file new brochures:

#### Part 3

CRS Type(s) Affiliate Info Retire

There are no CRS filings to display.

#### **Execution Pages**

#### DOMESTIC INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

#### Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint the Secretary of State or other legally designated officer, of the state in which you maintain your *principal office and place of business* and any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such *persons* may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding*, or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which you maintain your *principal office and place of business* or of any state in which you are submitting a *notice filing*.

#### Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: JOHN E. SCHADL Date: MM/DD/YYYY 07/06/2022

JOHN L. JCHADL

0770072022

Printed Name: JOHN E. SCHADL Title: CHIEF COMPLIANCE OFFICER, PRINCIPAL

Adviser CRD Number:

105958

#### NON-RESIDENT INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

#### 1. Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State or other legally designated officer, of any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding* or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of any state in which you are submitting a *notice filing*.

#### 2. Appointment and Consent: Effect on Partnerships

If you are organized as a partnership, this irrevocable power of attorney and consent to service of process will continue in effect if any partner withdraws from or is admitted to the partnership, provided that the admission or withdrawal does not create a new partnership. If the partnership dissolves, this irrevocable power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

3. Non-Resident Investment Adviser Undertaking Regarding Books and Records

By signing this Form ADV, you also agree to provide, at your own expense, to the U.S. Securities and Exchange Commission at its principal office in Washington D.C., at any Regional or District Office of the Commission, or at any one of its offices in the United States, as specified by the Commission, correct, current, and complete copies of any or all records that you are required to maintain under Rule 204-2 under the Investment Advisers Act of 1940. This undertaking shall be binding upon you, your heirs, successors and assigns, and any *person* subject to your written irrevocable consents or powers of attorney or any of your general partners and *managing agents*.

#### Signature

105958

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the *non-resident* investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature:	Date: MM/DD/YYYY
Printed Name:	Title:
Adviser CRD Number:	

## AFFIDAVIT OF COMMITMENT TO COMMUNITY REINVESTMENT, RESPONSIBILITY AND TRANSPARENCY CITY OF CHICAGO OFFICE OF THE COMPTROLLER

1, Todd Sholoun	a duly authorized representative of Fifth Third TSaws represent and
say as follows:	

That for the purpose of becoming an eligible depository for active deposits of the City of Chicago, the undersigned Affiant states that it will use reasonable efforts to provide lending, financing, and banking opportunities as a commitment of community reinvestment to Chicago's low and moderate income (LMI) communities; Affiant states that such reasonable efforts shall include, but are not limited to:

- A. Assignment of identifiable personnel to answer and respond to questions, concerns and inquiries by the citizens of Chicago, City Treasurer, City Comptroller, and the City Council regarding financial services, investment and lending products, services and related issues, including the Community Reinvestment Act (CRA) of 1977;
- B. Cooperate with and support non-profit neighborhood development/redevelopment organizations in the implementation of "neighborhood economic development" strategies that focus on revitalization of communities that are more locally focused where an institution has a branch or market presence;
- C. Commit to affirmatively market and make available banking services throughout Chicago's low and moderate income communities, by not meeting this commitment only through the installation of ATM distribution centers, but also by opening and/or maintaining branch locations within those communities;
- D. Prepare an annual report of CRA activities, presented to the Comptroller, the Treasurer, and the City Council, that is made publicly available, demonstrating investment in all Chicago Communities, as well as reinvestment in LMI communities of Chicago, by community area that includes the number of loans and amount of loans in the following (6) categories:
  - 1. Home Purchase within LMI communities;
  - 2. Refinancing within LMI communities;
  - 3. Home Improvement;
  - 4. Small Business Loans (to companies with revenues under \$1 Million);
  - 5. Community Development Loans including multi-family lending; and
  - 6. Community Development Investments to eligible Community Development Financial Institutions (CDFI) and other community intermediaries to further the goals of an institution to meet its obligations to the Community Reinvestment Act of 1977 and this Affidavit.

Such a Municipal Depository annual CRA report will include, by community area, the number of mortgage loans originated and other strategies to minimize the impact of foreclosure and neighborhood instability.

E. An institution acknowledges that failure to comply with this Affidavit may result in discontinued status as a municipal depository.

Dated: 10/24/2022

Print Name: Todd Shdun

Title: Vica Prasident



November 14, 2022

City Comptroller City Hall Department of Finance – 7<sup>th</sup> Floor Attention Steve Sakai 121 N. LaSalle Street Chicago IL 60602-1246

City Treasurer City Hall Treasurer's Office - Room 106 Attention Mauricio Banuelos 121 N. LaSalle Street Chicago IL 60602-1242

#### Dear Steve and Mauricio:

On behalf of Fifth Third Bank, N.A, thank you for the opportunity to respond to the 2022 Request for Proposal ("RFP") for designation as a 2023 Municipal Depository for the City of Chicago and Chicago Board of Education Funds. Fifth Third Bank, N.A. acknowledges receipt of Addendums #1, #2, #3, #4, and #5. No information in the original version was deemed to be required for redaction, so no redacted version shall be submitted. We know how important it is for the City to select a financial team that understands your unique requirements and exhibits sound leadership and stability.

As your relationship team, we are committed to leveraging Fifth Third Bank, N.A.'s vast resources and extensive expertise to aid the City in pursuing its strategies to move forward with the City's top priorities. Fifth Third Bank, N.A. strives to be the leading provider of financial solutions and services for tax-exempt entities:

#### Commitment:

- The Government and Institutional Banking Group is located in Chicago and is dedicated exclusively to working with tax-exempt entities including governmental entities, educational institutions, social service organizations, and cultural institutions.
- Fifth Third Bank, NA offers innovative, data-driven solutions that help tax-exempt entities reduce costs, improve operational efficiencies, and mitigate risk.

#### Competitive Advantages:

- Government and Institutional segment focus
- Industry-focused client team in Chicago: experience, knowledge, and credibility

Thank you for the opportunity to present our solutions and capabilities. We look forward to hearing your feedback and discussing any questions you may have.

Sincerely,

Todd Sholeen, Vice President Senior Relationship Manager 6111 N River Road, 4th Floor Rosemont, IL 60018 (312) 802-2227 Todd.Sholeen@53.com

Taylor Rike, Associate Commercial Middle Market LP 222 South Riverside Plaza, 31st Floor Chicago, IL 60606 (415) 271-5924

Taylor.Rike@53.com

Tuyber Mill





## **CITY OF CHICAGO**

# REQUEST FOR PROPOSAL FOR DESIGNATION AS A 2023 MUNICIPAL DEPOSITORY FOR CITY OF CHICAGO AND CHICAGO BOARD OF EDUCATION FUNDS



# FIFTH THIRD BANK, NATIONAL ASSOCIATION PROPOSAL

NOVEMBER 14, 2022

PRESENTED BY:

TODD SHOLEEN SENIOR RELATIONSHIP MANAGER

&

TAYLOR RIKE COMMERCIAL MIDDLE MARKETLP





#### **Contents of Proposal:**

The following sections are labeled in accordance with the City of Chicago's 2023 Municipal Depository RFP.

#### Fillable Excel Workbook Forms ("Fifth Third Bank, N.A. Forms A-H")

Section 1	Form A (1) Residential Loans
Section 2	Form A (2) Construction Loans
Section 3	Form B Residential Lending Loan Foreclosures, 1-4 Units, Condominium or Cooperative Units,
	(Including loans for properties located in Chicago only)
Section 4 Form C Commercial Lending	
Section 5	Form D Consumer Lending
Section 6	Form E Savings Account Data
Section 7	Form F Checking Account Data
Section 8	Form G Depository Information – by Census Track and Address
Section 9	Form H Summary Residential Lending (1-4 Units)

#### PDF Forms

Section 10a	Economic Disclosure Statement and Affidavit – Fifth Third Bank, National Association
10b	Economic Disclosure Statement and Affidavit – Fifth Third Financial Corporation
10c	Economic Disclosure Statement and Affidavit – Fifth Third Bancorp
10d	Form ADV – The Vanguard Group, Inc.
10e	Form ADV – Blackrock, Inc.
Section 11	Anti-Predatory Lending Pledge for Municipal Deposits
Section 12	Loan Policy Pledge for Municipal Deposits

#### Fillable Excel Sheets

Section13	EEOC Enterprise-wide and Chicago Diversity Data
Section 14	Community Reinvestment Commitment Affidavit

#### **Applicant Provided Documents List**

Section 15a	Cover Letter (this document)
15b	Executive Summary
Section 16a	Sworn Statements (6/30/2022)
16b	Sworn Statements (3/30/2022)
Section 17	FDIC Coverage Rate
Section 18	Statement of Community Involvement
Section 19	Community Reinvestment Act
Section 20	Form 10-K for Fiscal Year Ended December 31, 2021
Section 21a	Secretary's Certificate – Authorizing Todd Sholeen to sign on behalf of Fifth Third Bank, National
	Association
21b	Secretary's Certificate – Authorizing H. Samuel Lind to sign on behalf of Fifth Third, National
	Association, Fifth Third Financial Corporation, and Fifth Third Bancorp





### **Executive Summary**

Fifth Third Bank greatly appreciates the opportunity to respond to the 2022 City of Chicago Request for Proposal and application for designation as a Municipal Depository in fiscal year 2023. The entire Fifth Third team looks forward to continuing to work with the City of Chicago and provide outstanding service while further strengthening our commitment to do so in equitable, diverse, and inclusive ways.

#### **OUR BACKGROUND**

Fifth Third Bank develops and maintains relationships with business, government, and professional clients through customized financial solutions. Our comprehensive and competitive offerings span from traditional lending, depository and treasury management products to global cash management, foreign exchange and international trade finance, derivatives and capital markets services, asset-based lending, real estate finance, public finance, commercial leasing, and syndicated finance.

#### Fifth Third Bancorp

Fifth Third's growth and innovation reflects the economic strength, vitality, and can-do attitude of the markets we serve. The Fifth Third brand began in 1908; however, our company's roots extend back over 160 years when our original institution, The Bank of the Ohio Valley, was founded in 1858. The bank expanded into Chicago and Northern Indiana in 2001, acquiring market share through investment in the best people, outstanding client service, and an unwavering commitment to the community.

#### Fifth Third Bank, Chicago

Unlike most in our industry, Fifth Third manages growth through an organizational structure that accentuates regional banks in each of our major metropolitan areas. Our emphasis is on local rather than central decision-making, executing on operational tasks efficiently, and planning thoroughly. We believe that local banking structures delivering the products and expertise of a large institution represent the best long run formula for financial success and customer satisfaction. However, while we market ourselves with a local organizational structure, Fifth Third Bank operates all of its systems at the Bancorp level. We have one depository platform for all of the regions with same day posting of transactions no matter where they are performed.

Our Fifth Third Bank, Chicago Affiliate (FTCH), is based in Chicago, Illinois with Mark Hoppe as our Regional Market President. Fifth Third Bank's regional business model features local leadership with decision making authority, innovative customer-centric solutions and national resources from one of the strongest banks in the country. Our "One Bank" approach allows us to leverage the expertise of every area of the bank to deliver comprehensive solutions to each client.

Fifth Third has the financial strength and demonstrates the thought leadership that you should demand from your bank partner. Our length in business is testimony to our adherence to the principles of hard work and our commitment to follow disciplined and sound business practices. Our reputation for excellent service and financial strength stems from an unwavering practice of listening to our clients and building financial products and delivery models that solve increasingly complex financial needs.

Classification: Internal Use

#### SPECIALIZED APPROACH WITH GOVERNMENTAL ENTITIES

- Our Government and Institutional Banking Group provides experienced Relationship Managers and Treasury Management Officers who serve the unique needs of governmental entities, non-profit organizations, and educational institutions.
- This group is knowledgeable in determining the most valuable solutions for governmental entities, including deposit accounts, treasury management services, investments, and financing.
- The Fifth Third approach provides a dedicated relationship team that works closely with clients to provide valuable solutions and consultative services for current and future growth objectives.
- Dedicated Client Advisors and a highly skilled Premier Commercial Support Center offer special service for day-to-day operational issues and contact.

We appreciate this opportunity to present Fifth Third's capabilities. We welcome your feedback and look forward to discussing any questions you may have regarding any information included in our response.

Classification: Internal Use



## Consolidated Reports of Condition and Income for A Bank With Domestic and Foreign Offices - FFIEC 031

Institution Name FIFTH THIRD BANK, NATIONAL ASSOCIATION

City CINCINNATI

State OH

Zip Code **45263** 

Call Report Report Date 6/30/2022

Report Type 031

RSSD-ID **723112** 

FDIC Certificate Number 6672

OCC Charter Number 25190

ABA Routing Number 42000314

Last updated on 7/29/2022



## Consolidated Reports of Condition and Income for A Bank With Domestic and Foreign Offices - FFIEC 031

#### Report at the close of business June 30, 2022

# This report is required by law: 12 U.S.C. §324 (State member banks); 12 U.S.C. §1817 (State non member banks); 12 U.S.C. §161 (National banks); and 12 U.S.C. §1464 (Savings associations).

(20220630)

(RCON 9999)

Unless the context indicates otherwise, the term "bank" in this report form refers to both banks and savings associations.

NOTE: Each bank's board of directors and senior management are responsible for establishing and maintaining an effective system of internal control, including controls over the Reports of Condition and Income. The Reports of Condition and Income are to be prepared in accordance with federal regulatory authority instructions. The Reports of Condition and Income must be signed by the Chief Financial Officer (CFO) of the reporting bank (or by the individual performing an equivalent function) and attested to by not less than two directors (trustees) for state non member banks and three directors for state member banks, national banks, and savings associations.

I, the undersigned CFO (or equivalent) of the named bank, attest that the Reports of Condition and Income (including the supporting

Signature of Chief Financial Officer (or Equivalent)

Date of Signature

schedules) for this report date have been prepared in conformance with the instructions issued by the appropriate Federal regulatory authority and are true and correct to the best of my knowledge and belief.

We, the undersigned directors (trustees), attest to the correctness of the Reports of Condition and Income (including the supporting schedules) for this report date and declare that the Reports of Condition and Income have been examined by us and to the best of our knowledge and belief have been prepared in conformance with the instructions issued by the appropriate Federal regulatory authority and are true and correct.

Director (Trustee)

Director (Trustee)

Director (Trustee)

#### **Submission of Reports**

Each bank must file its Reports of Condition and Income (Call Report) data by either:

- (a) Using computer software to prepare its Call Report and then submitting the report data directly to the FFIEC's Central Data Repository (CDR), an Internet-based system for datacollection (https://cdr.ffiec.gov/cdr/), or
- (b) Completing its Call Report in paper form and arranging with a software vendor or another party to convert the data in to the electronic format that can be processed by the CDR. The software vendor or other party then must electronically submit the bank's data file to the CDR.

For technical assistance with submissions to the CDR, please contact the CDR Help Desk by telephone at (888) CDR-3111, by fax at (703) 774-3946, or by e-mail at CDR.Help@cdr.ffiec.gov.

#### FDIC Certificate Number 6672 (RSSD 9050)

To fulfill the signature and attestation requirement for the Reports of Condition and Income for this report date, attach your bank's completed signature page (or a photocopy or a computer generated version of this page) to the hard-copy record of the data file submitted to the CDR that your bank must place in its files.

The appearance of your bank's hard-copy record of the submitted data file need not match exactly the appearance of the FFIEC's sample report forms, but should show at least the caption of each Call Report item and the reported amount.

#### FIFTH THIRD BANK, NATIONAL ASSOCIATION

Legal Title of Bank (RSSD 9017)

#### **CINCINNATI**

City (RSSD 9130)

45263

OH
State Abbreviation (RSSD 9200)

Zip Code (RSSD 9220)

The estimated average burden associated with this information collection is 50.4 hours per respondent and is estimated to vary from 20 to 775 hours per response, depending on individual circumstances. Burden estimates include the time for reviewing instructions, gathering and maintaining data in the required form, and completing the information collection, but exclude the time for compiling and maintaining business records in the normal course of a respondent's activities. A Federal agency may not conduct or sponsor, and an organization (or a person) is not required to respond to a collection of information, unless it displays a currently valid OMB control number. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503, and to one of the following: Secretary, Board of Governors of the Federal Reserve System, 20th and C Streets, NW, Washington, DC 20551; Legislative and Regulatory Analysis Division, Office of the Comptroller of the Currency, Washington, DC 20219; Assistant Executive Secretary, Federal Deposit Insurance Corporation, Washington, DC 20429.

## Consolidated Reports of Condition and Income for A Bank With Domestic and Foreign Offices - FFIEC 031

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For information or assistance, national banks, state nonmember banks, and savings associations should contact the FDIC's Data Collection and Analysis Section, 550 17th Street, NW, Washington, DC 20429, toll free on (800) 688-FDIC(3342), Monday through Friday between 8:00 a.m. and 5:00 p.m., Eastern Time. State member banks should contact their Federal Reserve District Bank.

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For information or assistance, national banks, state nonmember banks, and savings associations should contact the FDIC's Data Collection and Analysis Section, 550 17th Street, NW, Washington, DC 20429, toll free on (800) 688-FDIC(3342), Monday through Friday between 8:00 a.m. and 5:00 p.m., Eastern Time. State member banks should contact their Federal Reserve District Bank.

#### **Contact Information for the Reports of Condition and Income**

To facilitate communication between the Agencies and the bank concerning the Reports of Condition and Income, please provide contact information for (1) the Chief Financial Officer (or equivalent) of the bank signing the reports for this quarter, and (2) the person at the bank—other than the Chief Financial Officer (or equivalent)—to whom questions about the reports should be directed. If the Chief Financial Officer (or equivalent) is the primary contact for questions about the reports, please provide contact information for another person at the bank who will serve as a secondary contact for communications between the Agencies and the bank concerning the Reports of Condition and Income. Enter "none" for the contact's e-mail address or fax number if not available. Contact information for the Reports of Condition and Income is for the confidential use of the Agencies and will not be released to the public.

Chief Financial Officer (or Equivalent) Signing the Reports	Other Person to Whom Questions about the Reports Should be Directed
CONF Name (TEXT C490)	CONF Name (TEXT C495)
Name (TEXT C490)	Name (TEXT C493)
CONF	CONF
Title (TEXT C491)	Title (TEXT C496)
CONF	CONF
E-mail Address (TEXT C492)	E-mail Address (TEXT 4086)
CONF	CONF
Area Code / Phone Number / Extension (TEXT C493)	Area Code / Phone Number / Extension (TEXT 8902)
CONF	CONF
Area Code / FAX Number (TEXT C494)	Area Code / FAX Number (TEXT 9116)

#### **Emergency Contact Information**

This information is being requested so the Agencies can distribute critical, time-sensitive information to emergency contacts at banks. Please provide primary contact information for a senior official of the bank who has decision-making authority. Also provide information for a secondary contact if available. Enter "none" for the contact's e-mail address or fax number if not available. Emergency contact information is for the confidential use of the Agencies and will not be released to the public.

Primary Contact	Secondary Contact	
CONF	CONF	
Name (TEXT C366)	Name (TEXT C371)	
CONF	CONF	
Title (TEXT C367)	Title (TEXT C372)	
CONF	CONF	
E-mail Address (TEXT C368)	E-mail Address (TEXT C373)	
CONF	CONF	
Area Code / Phone Number / Extension (TEXT C369)	Area Code / Phone Number / Extension (TEXT C374)	
CONF	CONF	
Area Code / EAV Number /TEVT C370)	Area Code / EAX Number (TEXT C375)	

### **USA PATRIOT Act Section 314(a) Anti-Money Laundering**

#### **Contact Information**

This information is being requested to identify points-of-contact who are in charge of your bank's USA PATRIOT Act Section 314(a) information requests. Bank personnel listed could be contacted by law enforcement officers or the Financial Crimes Enforcement Network (FinCEN) for additional information related to specific Section 314(a) search requests or other anti-terrorist financing and anti- money laundering matters. Communications sent by FinCEN to the bank for purposes other than Section 314(a) notifications will state the intended purpose and should be directed to the appropriate bank personnel for review. Any disclosure of customer records to law enforcement officers or FinCEN must be done in compliance with applicable law, including the Right to Financial Privacy Act (12 U.S.C. 3401 et seq.).

Please provide information for a primary and secondary contact. Information for a third and fourth contact may be provided at the bank's option. Enter "none" for the contact's e-mail address if not available. This contact information is for the confidential use of the Agencies, FinCEN, and law enforcement officers and will not be released to the public.

Primary Contact	Third Contact
CONF	CONF
Name (TEXT C437)	Name (TEXT C870)
CONF	CONF
Title (TEXT C438)	Title (TEXT C871)
CONF	CONF
E-mail Address (TEXT C439)	E-mail Address (TEXT C368)
CONF	CONF
Area Code / Phone Number / Extension (TEXT C440)	Area Code / Phone Number / Extension (TEXT C873)
Secondary Contact	Fourth Contact
CONF	CONF
Name (TEXT C442)	Name (TEXT C875)
CONF	CONF
Title (TEXT C443)	Title (TEXT C876)
CONF	CONF
E-mail Address (TEXT C444)	E-mail Address (TEXT C877)
CONF	CONF
Area Code / Phone Number / Extension (TEXT 8902)	Area Code / Phone Number / Extension (TEXT C878)

## **Bank Demographic Information(Form Type - 031)**

#### Dollar amounts in thousands

1. Reporting date	RCON9999	20220630	1.
2. FDIC certificate number	RSSD9050	6672	2.
3. Legal title of bank	RSSD9017	Click here for value	3.
4. City	RSSD9130	Cincinnati	4.
5. State abbreviation	RSSD9200	ОН	5.
6. Zip code	RSSD9220	45263	6.
7. Legal Entity Identifier (LEI) (Report only if your institution already has an LEI.)	RCON9224	Click here for value	7.

(RCON9224) QFROUN1UWUYU0DVIWD51

(RSSD9017) Fifth Third Bank, National Association

## Contact Information(Form Type - 031)

Dollar amounts in thousa	<u> </u>		
1. Contact Information for the Reports of Condition and Income		1	1.
a. Chief Financial Officer (or Equivalent) Signing the Reports		1	1.a.
1. Name	TEXTC490	CONF	1.a.
2. Title	TEXTC491	CONF	1.a.
3. E-mail Address	TEXTC492	CONF	1.a.
4. Telephone	TEXTC493	CONF	1.a.
5. FAX	TEXTC494	CONF	1.a.
b. Other Person to Whom Questions about the Reports Should be Directed		1	1.b.
1. Name	TEXTC495	CONF	1.b.
2. Title	TEXTC496	CONF	1.b.:
3. E-mail Address	TEXT4086	CONF	1.b.3
4. Telephone	TEXT8902	CONF	1.b.4
5. FAX	TEXT9116	CONF	1.b.
2. Person to whom questions about Schedule RC-T - Fiduciary and Related Services should be directed		2	2.
a. Name and Title	TEXTB962	CONF	2.a.
b. E-mail Address	TEXTB926	CONF	2.b.
c. Telephone	TEXTB963	CONF	2.c.
d. FAX	TEXTB964	CONF	2.d.
3. Emergency Contact Information		3	3.
a. Primary Contact		3	3.a.
1. Name	TEXTC366	CONF	3.a.
2. Title	TEXTC367	CONF	3.a.:
3. E-mail Address	TEXTC368	CONF	3.a.:
4. Telephone	TEXTC369	CONF	3.a.
5. FAX	TEXTC370	CONF	3.a.
b. Secondary Contact		3	3.b.
1. Name	TEXTC371	CONF	3.b.
2. Title	TEXTC372	CONF	3.b.:
3. E-mail Address	TEXTC373	CONF	3.b.:
4. Telephone	TEXTC374	CONF	3.b.4
5. FAX	TEXTC375	CONF	3.b.
4. USA PATRIOT Act Section 314(a) Anti-Money Laundering Contact Information		4	4.
a. Primary Contact		4	4.a.

Di	oliar amounts in thousands		
1. Name	TEXTC437	CONF	4.a.1.
2. Title	TEXTC438	CONF	4.a.2.
3. E-mail Address	TEXTC439	CONF	4.a.3.
4. Telephone	TEXTC440	CONF	4.a.4.
b. Secondary Contact			4.b.
1. Name	TEXTC442	CONF	4.b.1.
2. Title	TEXTC443	CONF	4.b.2.
3. E-mail Address	TEXTC444	CONF	4.b.3.
4. Telephone	TEXTC445	CONF	4.b.4.
c. Third Contact			4.c.
1. Name	TEXTC870	CONF	4.c.1.
2. Title	TEXTC871	CONF	4.c.2.
3. E-mail Address	TEXTC872	CONF	4.c.3.
4. Telephone	TEXTC873	CONF	4.c.4.
d. Fourth Contact			4.d.
1. Name	TEXTC875	CONF	4.d.1.
2. Title	TEXTC876	CONF	4.d.2.
3. E-mail Address	TEXTC877	CONF	4.d.3.
4. Telephone	TEXTC878	CONF	4.d.4.
5. Chief Executive Officer Contact Information			5.
a. Chief Executive Officer			5.a.
1. Name	TEXTFT42	CONF	5.a.1.
2. E-mail Address	TEXTFT44	CONF	5.a.2.
3. Telephone	TEXTFT43	CONF	5.a.3
4. FAX	TEXTFT45	CONF	5.a.4

## Schedule RI - Income Statement(Form Type - 031)

All Report of Income schedules are to be reported on a calendar year-to-date basis in thousands of dollars.

Dollar amounts in thousands		
1. Interest income:		
a. Interest and fee income on loans:		
1. In domestic offices:		
a. Loans secured by real estate:		
1. Loans secured by 1-4 family residential properties	RIAD4435	378,059
2. All other loans secured by real estate	RIAD4436	253,142
b. Loans to finance agricultural production and other loans to farmers	RIAD4024	358
c. Commercial and industrial loans	RIAD4012	865,902
d. Loans to individuals for household, family, and other personal expenditures:		
1. Credit cards	RIADB485	112,370
Other (includes revolving credit plans other than credit cards, automobile loans, and other consumer loans)	RIADB486	361,506
e. Loans to foreign governments and official institutions	RIAD4056	0
f. All other loans in domestic offices	RIADB487	61,318
2. In foreign offices, Edge and Agreement subsidiaries, and IBFs	RIAD4059	7,025
3. Total interest and fee income on loans (sum of items 1.a.(1)(a) through 1.a.(2))	RIAD4010	2,039,680
b. Income from lease financing receivables	RIAD4065	41,467
c. Interest income on balances due from depository institutions <sup>1</sup>	RIAD4115	26,445
d. Interest and dividend income on securities:		
1. U.S. Treasury securities and U.S. Government agency obligations (excluding mortgage-backed securities).	RIADB488	15,055
Mortgage-backed securities	RIADB489	574,410
3. All other securities (includes securities issued by states and political subdivisions in the U.S.)	RIAD4060	62,302
e. Interest income from trading assets	RIAD4069	2,289
f. Interest income on federal funds sold and securities purchased under agreements to resell	RIAD4020	2
g. Other interest income	RIAD4518	7,776
h. Total interest income (sum of items 1.a.(3) through 1.g)	RIAD4107	2,769,426
. Interest expense:		
a. Interest on deposits:		
1. Interest on deposits in domestic offices:		
a. Transaction accounts (interest-bearing demand deposits, NOW accounts, ATS accounts, and telephone and preauthorized transfer accounts)	RIAD4508	24,333
b. Nontransaction accounts:		
1. Savings deposits (includes MMDAs)	RIAD0093	9,333
2. Time deposits of \$250,000 or less	RIADHK03	3,301
3. Time deposits of more than \$250,000	RIADHK04	202
2. Interest on deposits in foreign offices, Edge and Agreement subsidiaries, and IBFs	RIAD4172	58
b. Expense of federal funds purchased and securities sold under agreements to repurchase	RIAD4180	1,012
c. Interest on trading liabilities and other borrowed money	RIAD4185	39,926
d. Interest on subordinated notes and debentures	RIAD4200	18,176
e. Total interest expense (sum of items 2.a through 2.d)	RIAD4073	96,341
Net interest income (item 1.h minus 2.e)	RIAD4074	2,673,085
Provision for loan and lease losses <sup>1</sup>	RIADJJ33	224,240
5. Noninterest income:		
a. Income from fiduciary activities <sup>2</sup>	RIAD4070	188,031
b. Service charges on deposit accounts in domestic offices	RIAD4080	313,051

Includes interest income on time certificates of deposit not held for trading.

<sup>1.</sup> Institutions that have adopted ASU 2016-13 should report in item 4, the provisions for credit losses for all financial assets and off-balance-sheet credit exposures that fall within the scope of the standard.

<sup>2.</sup> For banks required to complete Schedule RC-T, items 14 through 22, income from fiduciary activities reported in Schedule RI, item 5.a, must equal the amount reported in Schedule RC-T, item 22.

Dollar amounts in thousands		
c. Trading revenue <sup>3</sup>	RIADA220	96,207
d. Income from securities-related and insurance activities:		
1. Fees and commissions from securities brokerage	RIADC886	15,720
2. Investment banking, advisory, and underwriting fees and commissions	RIADC888	113,929
3. Fees and commissions from annuity sales	RIADC887	17,097
4. Underwriting income from insurance and reinsurance activities	RIADC386	0
5. Income from other insurance activities	RIADC387	7,800
e. Venture capital revenue	RIADB491	9,526
f. Net servicing fees	RIADB492	318,834
g. Net securitization income	RIADB493	0
h. Not applicable		
i. Net gains (losses) on sales of loans and leases	RIAD5416	81,604
j. Net gains (losses) on sales of other real estate owned	RIAD5415	13,377
k. Net gains (losses) on sales of other assets <sup>4</sup>	RIADB496	10,889
I. Other noninterest income *	RIADB497	153,616
m. Total noninterest income (sum of items 5.a through 5.l)	RIAD4079	1,339,681
6. Not available		
a. Realized gains (losses) on held-to-maturity securities	RIAD3521	0
b. Realized gains (losses) on available-for-sale debt securities	RIAD3196	2,420
7. Noninterest expense:		
a. Salaries and employee benefits	RIAD4135	1,306,831
b. Expenses of premises and fixed assets (net of rental income) (excluding salaries and employee benefits and mortgage interest)	RIAD4217	223,546
c. Not available		
1. Goodwill impairment losses	RIADC216	0
2. Amortization expense and impairment losses for other intangible assets	RIADC232	22,113
d. Other noninterest expense *	RIAD4092	784,335
e. Total noninterest expense (sum of items 7.a through 7.d)	RIAD4093	2,336,825
8. Not available		
a. Income (loss) before change in net unrealized holding gains (losses) on equity securities not held for trading, applicable income taxes, and discontinued operations (item 3 plus or minus items 4, 5.m, 6.a, 6.b, and 7.e)	RIADHT69	1,454,121
b. Change in net unrealized holding gains (losses) on equity securities not held for trading <sup>5</sup>	RIADHT70	-1,938
c. Income (loss) before applicable income taxes and discontinued operations (sum of items 8.a and 8.b)	RIAD4301	1,452,183
9. Applicable income taxes (on item 8.c)	RIAD4302	307,069
10. Income (loss) before discontinued operations (item 8.c minus item 9)	RIAD4300	1,145,114
11. Discontinued operations, net of applicable income taxes (Describe on Schedule RI-E - Explanations)*	RIADFT28	0
12. Net income (loss) attributable to bank and noncontrolling (minority) interests (sum of items 10 and 11)	RIADG104	1,145,114
13. LESS: Net income (loss) attributable to noncontrolling (minority) interests (if net income, report as a positive value; if net loss, report as a negative value)	RIADG103	0
14. Net income (loss) attributable to bank (item 12 minus item 13)	RIAD4340	1,145,114
1. Interest expense incurred to carry tax-exempt securities, loans, and leases acquired after August 7, 1986, that is not deductible for federal income tax purposes	RIAD4513	0
Memorandum item 2 is to be completed by banks with \$1 billion or more in total assets  2. Income from the sale and servicing of mutual funds and annuities in domestic offices (included in Schedule RI, item  3)	RIAD8431	28,416
3. Income on tax-exempt loans and leases to states and political subdivisions in the U.S. (included in Schedule RI, items 1.a and 1.b)	RIAD4313	15,262
4. Income on tax-exempt securities issued by states and political subdivisions in the U.S. (included in Schedule RI, item 1.d.(3))	RIAD4507	9,874
5. Number of full-time equivalent employees at end of current period (round to nearest whole number)	RIAD4150	19094
6. Not applicable		

<sup>3.</sup> For banks required to complete Schedule RI, Memorandum item 8, trading revenue reported in Schedule RI, item 5.c, must equal the sum of Memorandum items 8.a through 8.e.

<sup>4.</sup> Exclude net gains (losses) on sales of trading assets and held-to-maturity and available-for-sale debt securities.

<sup>.</sup> Describe on Schedule RI-E—Explanations.

<sup>5.</sup> Item 8.b is to be completed by all institutions. See the instructions this item and the Glossary entry for "Securities Activities" for further detail on accounting for investments in equity securities.

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7. If the reporting institution has applied pushdown accounting this calendar year, report the date of the institution's acquisition (see instructions) <sup>2</sup>	RIAD9106	0	M.7.
3. Trading revenue (from cash instruments and derivative instruments) (sum of Memorandum items 8.a through 8.e nust equal Schedule RI, item 5.c):			M.8.
Memorandum items 8.a through 8.e are to be completed by banks that reported average trading assets (Schedule RC-K, item 7) of \$2 million or more for any quarter of the preceding calendar year.	RIAD8757	76,968	M.8
a. Interest rate exposures	RIAD8758	33,921	МО
b. Foreign exchange exposures	RIAD8759	-32,649	
c. Equity security and index exposures	RIAD8760		ł
d. Commodity and other exposures	RIADF186	16,794 1,173	ł
e. Credit exposures	NIADE 100	1,173	IVI.O
Schedule RI, Memorandum items 8.a through 8.e, above.			M.8.
f. Impact on trading revenue of changes in the creditworthiness of the bank's derivatives counterparties on the bank's derivative assets (year-to-date changes) (included in Memorandum items 8.a through 8.e above):			IVI.6.
1. Gross credit valuation adjustment (CVA)	RIADFT36	4,546	M.8
2. CVA hedge	RIADFT37	0	M.8.
g. Impact on trading revenue of changes in the creditworthiness of the bank on the bank's derivative liabilities (year-to-date changes) (included in Memorandum items 8.a through 8.e above):			М.8
1. Gross debit valuation adjustment (DVA)	RIADFT38	0	M.8.
2. DVA hedge	RIADFT39	0	M.8
h. Gross trading revenue, before including positive or negative net CVA and net DVA	RIADFT40	91,661	M.8
Net gains (losses) recognized in earnings on credit derivatives that economically hedge credit exposures held outside he trading account:			М.9
a. Net gains (losses) on credit derivatives held for trading	RIADC889	0	М.9
b. Net gains (losses) on credit derivatives held for purposes other than trading	RIADC890	0	М.9
Credit losses on derivatives (see instructions)	RIADA251	0	M.1
1. Does the reporting bank have a Subchapter S election in effect for federal income tax purposes for the current tax ear?	RIADA530	No	M.1
Memorandum item 12 is to be completed by banks that are required to complete Schedule RC-C, Part I, Memorandum items 8.b and 8.c and is to be completed semiannually in the June and December reports only.	RIADF228	NR	M.1
2. Noncash income from negative amortization on closed-end loans secured by 1-4 family residential properties included in Schedule RI, item 1.a.(1)(a)(1))	11,1,1,21,220		
Memorandum item 13 is to be completed by banks that have elected to account for assets and liabilities under a fair value option.			
3. Net gains (losses) recognized in earnings on assets and liabilities that are reported at fair value under a fair value option:			M.1
a. Net gains (losses) on assets	RIADF551	-91,427	M.1
1. Estimated net gains (losses) on loans attributable to changes in instrument-specific credit risk	RIADF552	185	ł
b. Net gains (losses) on liabilities	RIADF553		M.1
1. Estimated net gains (losses) on liabilities attributable to changes in instrument-specific credit risk	RIADF554		M.1
	RIADJ321	NR	Į
4. Other-than-temporary impairment losses on held-to-maturity and available-for-sale debt securities	NAD0321	IAIX	171. 1
nemorandum item 15 is to be completed by institutions with \$1 billion or more in total assets that answered "res" to Schedule RC-E, Part Memorandum item 5.  5. Components of service charges on deposit accounts in domestic offices (sum of Memorandum items 15.a through			M.1
5.d must equal Schedule RI, item 5.b):			
a. Consumer overdraft-related service charges levied on those transaction account and nontransaction savings account deposit products intended primarily for individuals for personal, household, or family use	RIADH032	54,202	M.1
b. Consumer account periodic maintenance charges levied on those transaction account and nontransaction savings account deposit products intended primarily for individuals for personal, household, or family use	RIADH033	9,996	M.1
c. Consumer customer automated teller machine (ATM) fees levied on those transaction account and nontransaction savings account deposit products intended primarily for individuals for personal, household, or family use	RIADH034	13,277	M.1
d. All other service charges on deposit accounts.	RIADH035	235,576	M.1

<sup>2.</sup> Report the date in YYYYMMDD format. For example, a bank acquired on March 1, 2022, would report 20220301.

<sup>2.</sup> Memorandum item 14 is to be completed only by institutions that have not adopted ASU 2016-13.

## Schedule RI-A - Changes in Bank Equity Capital(Form Type - 031)

Total bank equity capital most recently reported for the December 31, 2021, Reports of Condition and Income (i.e. after adjustments from amended Reports of Income)		22,964,184
2. Cumulative effect of changes in accounting principles and corrections of material accounting errors *	RIADB507	0
3. Balance end of previous calendar year as restated (sum of items 1 and 2)	. RIADB508	22,964,184
4. Net income (loss) attributable to bank (must equal Schedule RI, item 14)	. RIAD4340	1,145,114
5. Sale, conversion, acquisition, or retirement of capital stock, net (excluding treasury stock transactions)	RIADB509	106,713
6. Treasury stock transactions, net	RIADB510	0
7. Changes incident to business combinations, net	. RIAD4356	0
8. LESS: Cash dividends declared on preferred stock	RIAD4470	0
9. LESS: Cash dividends declared on common stock	. RIAD4460	0
10. Other comprehensive income <sup>1</sup>	RIADB511	-3,851,380
11. Other transactions with stockholders (including a parent holding company) (not included in items 5, 6, 8, or 9 above) **	RIAD4415	0
12. Total bank equity capital end of current period (sum of items 3 through 11) (must equal Schedule RC, item 27.a).	. RIAD3210	20,364,631

<sup>\*.</sup> Describe on Schedule RI-E—Explanations

Includes, but is not limited to, changes in net unrealized holding gains (losses) on available-for-sale debt securities, changes in accumulated net gains (losses) on cash flow hedges, foreign currency translation adjustments, and pension and other postretirement plan-related changes other than net periodic benefit cost.

## Schedule RI-B Part I - Charge-offs and Recoveries on Loans and Leases(Form Type - 031)

Part I includes charge-offs and recoveries through the allocated transfer risk reserve.

Dollar amounts in thousands		) Charge-offs year-to-date	(Column B) Reco year-to		
1. Loans secured by real estate:					1.
a. Construction, land development, and other land loans in domestic offices:					1.a.
1. 1-4 family residential construction loans	RIADC891	39	RIADC892	183	1.a.1
2. Other construction loans and all land development and other land loans	RIADC893	123	RIADC894	208	1.a.2
b. Secured by farmland in domestic offices	RIAD3584	39	RIAD3585	1	1.b.
c. Secured by 1-4 family residential properties in domestic offices:					1.c.
Revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit	RIAD5411	3,843	RIAD5412	3,733	1.c.1
2. Closed-end loans secured by 1-4 family residential properties:					1.c.2
a. Secured by first liens	RIADC234	1,447	RIADC217	3,046	1.c.2
b. Secured by junior liens	RIADC235	213	RIADC218	1,285	1.c.2
d. Secured by multifamily (5 or more) residential properties in domestic offices	RIAD3588	0	RIAD3589	20	1.d.
e. Secured by nonfarm nonresidential properties in domestic offices:					1.e.
1. Loans secured by owner-occupied nonfarm nonresidential properties	RIADC895	78	RIADC896	680	1.e.1
2. Loans secured by other nonfarm nonresidential properties	RIADC897	0	RIADC898	1	1.e.2
f. In foreign offices	RIADB512	0	RIADB513	0	1.f.
2. Not applicable					2.
3. Loans to finance agricultural production and other loans to farmers	RIAD4655	0	RIAD4665	13	3.
4. Commercial and industrial loans:					4.
a. To U.S. addressees (domicile)	RIAD4645	40,833	RIAD4617	3,113	4.a.
b. To non-U.S. addressees (domicile)	RIAD4646	0	RIAD4618	0	4.b.
5. Loans to individuals for household, family, and other personal expenditures:					5.
a. Credit cards	RIADB514	35,382	RIADB515	8,491	5.a.
b. Automobile loans	RIADK129	29,899	RIADK133	16,634	5.b.
c. Other (includes revolving credit plans other than credit cards and other consumer loans)	RIADK205	35,663	RIADK206	21,093	5.c.
6. Loans to foreign governments and official institutions	RIAD4643	0	RIAD4627	0	6.
7. All other loans	RIAD4644	6,773	RIAD4628	121	7.
8. Lease financing receivables:					8.
a. Leases to individuals for household, family, and other personal expenditures	RIADF185	0	RIADF187	0	8.a.
b. All other leases	RIADC880	0	RIADF188	0	8.b.
9. Total (sum of items 1 through 8)	RIAD4635	154,332	RIAD4605	58,622	9.
1. Loans to finance commercial real estate, construction, and land development activities (not secured by real estate) included in Schedule RI-B, part I, items 4 and 7, above	RIAD5409	3,014	RIAD5410	8	M.1.
2. Loans secured by real estate to non-U.S. addressees (domicile) (included in Schedule RI-B, part I, item 1, above)	RIAD4652	0	RIAD4662	0	M.2.
3. Not applicable					М.З.

#### Dollar amounts in thousands

Memorandum item 4 is to be completed by banks that (1) together with affiliated institutions, have outstanding credit card receivables (as defined in the instructions) that exceed \$500 million as of the report date, or (2) are credit card specialty banks as defined for Uniform Bank Performance Report purposes.

4. Uncollectible retail credit card fees and finance charges reversed against income (i.e., not included in charge-offs against the allowance for loan and lease losses)<sup>2</sup>......

RIADC388	5,149	M.
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<sup>2.</sup> Institutions that have adopted ASU 2016-13 should report in Memorandum item 4 uncollectible retail credit card fees and finance charges reversed against income (i.e. not included in charge-offs against the allowance for credit losses on loans and leases).

## Schedule RI-B Part II - Changes in Allowances for Credit Losses(Form Type - 031)

Dollar amounts in thousands	(Column A) Loans and Leases Held for Investment		Held-to-m	umn B) aturity Debt urities	Available-f	mn C) or-sale Debt ırities
Balance most recently reported for the December 31, 2021, Reports of Condition and Income (i.e., after adjustments from amended Reports of Income)	RIADB522	1,892,292	RIADJH88	0	RIADJH94	0 1.
2. Recoveries (column A must equal Part I, item 9, column B, above)	RIAD4605	58,622	RIADJH89	0	RIADJH95	0 2.
3. LESS: Charge-offs (column A must equal Part I, item 9, column A, above less Schedule RI-B, Part II, item 4, column A)	RIADC079	154,332	RIADJH92	0	RIADJH98	<b>0</b> 3.
4. LESS: Write-downs arising from transfers of financial assets <sup>3</sup>	RIAD5523	0	RIADJJ00	0	RIADJJ01	0 4.
5. Provisions for credit losses <sup>4</sup>	RIAD4230	217,550	RIADJH90	0	RIADJH96	<b>0</b> 5.
6. Adjustments* (see instructions for this schedule)*	RIADC233	0	RIADJH91	0	RIADJH97	<b>0</b> 6.
7. Balance end of current period (sum of items 1, 2, 5, and 6, less items 3 and 4) (column A must equal Schedule RC, item 4.c)	RIAD3123	2,014,132	RIADJH93	0	RIADJH99	<b>0</b> 7.

Allocated transfer risk reserve included in Schedule RI-B, Part II, item 7, column A, above	RIADC435	0	М.
Memorandum items 2 and 3 are to be completed by banks that (1) together with affiliated institutions, have outstanding credit card receivables (as defined in the instructions) that exceed \$500 million as of the report date, or (2) are credit card specialty banks as defined for Uniform Bank Performance Report purposes.	RIADC389	0	) м.
Separate valuation allowance for uncollectible retail credit card fees and finance charges			4
3. Amount of allowance for loan and lease losses attributable to retail credit card fees and finance charges <sup>1</sup>	RIADC390	1,989	) M.
4. Amount of allowance for post-acquisition credit losses on purchased credit-impaired loans accounted for in accordance with FASB ASC 310-30 (former AICPA Statement of Position 03-3) (included in Schedule RI-B, Part II, item 7, column A, above) <sup>2</sup>	RIADC781	NR	М.
5. Provisions for credit losses on other financial assets measured at amortized cost (not included in item 5, above) <sup>3</sup>	RIADJJ02	0	М.
6. Allowance for credit losses on other financial assets measured at amortized cost (not included in item 7, above) <sup>3</sup>	RCFDJJ03	0	М.
7. Provisions for credit losses on off-balance-sheet credit exposures <sup>3</sup>	RIADMG93	6,690	М.
8. Estimated amount of expected recoveries of amounts previously written off included within the allowance for credit losses on loans and leases held for investment (included in item 7, column A, "Balance end of current period," above) <sup>3</sup>	RIADMG94	53,958	М.

<sup>3.</sup> Institutions that have not yet adopted ASU 2016-13 should report write-downs arising from transfers of loans to a held-for-sale account in item 4, column A.

<sup>4.</sup> Institutions that have not yet adopted ASU 2016-13 should report the provision for loan and lease losses in item 5, column A and the amount reported must equal Schedule RI, item 4.

Describe on Schedule RI-E - Explanations.

<sup>1.</sup> Institutions that have adopted ASU 2016-13 should report in Memorandum item 3 the amount of allowance for credit losses on loans and leases attributable to retail credit card fees and finance charges.

<sup>2.</sup> Memorandum item 4 is to be completed only by institutions that have not yet adopted ASU 2016-13.

Memorandum items 5, 6, 7, and 8 are to be completed only by institutions that have adopted ASU 2016-13.

<sup>3.</sup> Memorandum items 5, 6, 7, and 8 are to be completed only by institutions that have adopted ASU 2016-13.

<sup>3.</sup> Memorandum items 5, 6, 7, and 8 are to be completed only by institutions that have adopted ASU 2016-13.

<sup>3.</sup> Memorandum items 5, 6, 7, and 8 are to be completed only by institutions that have adopted ASU 2016-13.

### Schedule RI-C Part I - Disaggregated Data on the Allowance for Loan and Lease Losses(Form Type - 031)

Schedule RI-C is to be completed by institutions with \$1 billion or more in total assets.

Dollar amounts in thousands	(Column A) Recorded Investment: Individually Evaluated for Impairment and Determined to be Impaired (ASC 310-10-35)	(Column B) Allowance Balance: Individually Evaluated for Impairment and Determined to be Impaired (ASC 310-10-35)	(Column C) Recorded Investment: Collectively Evaluated for Impairment (ASC 450-20)	(Column D) Allowance Balance: Collectively Evaluated for Impairment (ASC 450-20)	(Column E) Recorded Investment: Purchased Credit-Impaired Loans (ASC 310-30)	(Column F) Allowance Balance: Purchased Credit-Impaired Loans (ASC 310-30)	
1. Real estate loans:							1.
a. Construction loans	RCFDM708 NR	RCFDM709 NR	RCFDM710 NR	RCFDM711 NR	RCFDM712 NR	RCFDM713 NR	1.a.
b. Commercial real estate loans	RCFDM714 NR	RCFDM715 NR	RCFDM716 NR	RCFDM717 NR	RCFDM719 NR	RCFDM720 NR	1.b.
c. Residential real estate loans	RCFDM721 NR	RCFDM722 NR	RCFDM723 NR	RCFDM724 NR	RCFDM725 NR	RCFDM726 NR	1.c.
2. Commercial loans <sup>3</sup>	RCFDM727 NR	RCFDM728 NR	RCFDM729 NR	RCFDM730 NR	RCFDM731 NR	RCFDM732 NR	2.
3. Credit cards	RCFDM733 NR	RCFDM734 NR	RCFDM735 NR	RCFDM736 NR	RCFDM737 NR	RCFDM738 NR	3.
4. Other consumer loans	RCFDM739 NR	RCFDM740 NR	RCFDM741 NR	RCFDM742 NR	RCFDM743 NR	RCFDM744 NR	4.
5. Unallocated, if any				RCFDM745 NR			5.
6. Total (for each column, sum of items 1.a through 5) <sup>4</sup>	RCFDM746 NR	RCFDM747 NR	RCFDM748 NR	RCFDM749 NR	RCFDM750 NR	RCFDM751 NR	6.

<sup>3.</sup> Include all loans and leases not reported as real estate loans, credit cards, or other consumer loans in items 1, 3, or 4 of Schedule RI-C.

<sup>4.</sup> The sum of item 6, columns B, D, and F, must equal Schedule RC, item 4.c. Item 6, column E, must equal Schedule RC-C, Part I, Memorandum item 7.b. Item 6, column F, must equal Schedule RI-B, Part II, Memorandum item 4.

## Schedule RI-C Part II - Disaggregated Data on the Allowances for Credit Losses(Form Type - 031)

Dollar amounts in thousands	(Column A) Amortized Cost		(Column B) Al	lowance Balance	
1. Real estate loans:					1.
a. Construction loans	RCFDJJ04	5,115,773	RCFDJJ12	99,794	1.a.
b. Commercial real estate loans	RCFDJJ05	10,263,239	RCFDJJ13	260,591	1.b.
c. Residential real estate loans	RCFDJJ06	20,504,273	RCFDJJ14	362,901	1.c.
2. Commercial loans <sup>3</sup>	RCFDJJ07	60,424,408	RCFDJJ15	804,235	2.
3. Credit cards	RCFDJJ08	1,762,569	RCFDJJ16	214,567	3.
4. Other consumer loans	RCFDJJ09	20,619,838	RCFDJJ17	272,044	4.
5. Unallocated, if any			RCFDJJ18	0	5.
6. Total (sum of items 1.a. through 5) <sup>4</sup>	RCFDJJ11	118,690,100	RCFDJJ19	2,014,132	6.

#### Dollar amounts in thousands

7. Securities issued by states and political subdivisions in the U.S	RCFDJJ20	0	7.
8. Mortgage-backed securities (MBS) (including CMOs, REMICs, and stripped MBS)	RCFDJJ21	0	8.
9. Asset-backed securities and structured financial products	RCFDJJ23	0	9.
10. Other debt securities	RCFDJJ24	0	10.
11. Total (sum of items 7 through 10) <sup>5</sup>	RCFDJJ25	0	11.

### Schedule RI-D - Income from Foreign Offices(Form Type - 031)

For all banks with foreign offices (including Edge or Agreement subsidiaries and IBFs) and total foreign office assets of \$10 billion or more where foreign office revenues, assets, or net income exceed 10 percent of consolidated total revenues, total assets, or net income.

Total interest income in foreign offices	RIADC899	0	1.
2. Total interest expense in foreign offices	RIADC900	0	2.
3. Provision for loan and lease losses in foreign offices <sup>1</sup>	RIADKW02	0	3.
4. Noninterest income in foreign offices:			4.
a. Trading revenue	RIADC902	0	4.a.
b. Investment banking, advisory, brokerage, and underwriting fees and commissions	RIADC903	0	4.b.
c. Net securitization income	RIADC904	0	4.c.
d. Other noninterest income	RIADC905	0	4.d.
5. Realized gains (losses) on held-to-maturity and available-for-sale debt securities and change in net unrealized holding gains (losses) on equity securities not held for trading in foreign offices	RIADJA28	0	5.
6. Total noninterest expense in foreign offices	RIADC907	0	6.
7. Adjustments to pretax income in foreign offices for internal allocations to foreign offices to reflect the effects of equity capital on overall bank funding costs	RIADC908	0	7.
8. Applicable income taxes (on items 1 through 7)	RIADC909	0	8.
9. Discontinued operations, net of applicable income taxes, in foreign offices	RIADGW64	0	9.
10. Net income attributable to foreign offices before internal allocations of income and expense (item 1 plus or minus items 2 through 9)	RIADC911	0	10.
11. Not applicable			11.
12. Eliminations arising from the consolidation of foreign offices with domestic offices	RIADC913	0	12.
13. Consolidated net income attributable to foreign offices (sum of items 10 and 12)	RIADC914	0	13.

<sup>3.</sup> Include all loans and leases not reported as real estate loans, credit cards, or other consumer loans in item 1, 3, or 4 of Schedule RI-C, Part II.

<sup>4.</sup> Item 6, column B must equal schedule RC, item 4.c.

<sup>5.</sup> Item 11 must equal Schedule RI-B, Part II, item 7, column B.

<sup>.</sup> Institutions that have adopted ASU 2016-13 should report the provisions for credit losses in foreign offices for all financial assets and off-balance-sheet credit exposures that fall within the scope of the standard in item 3.

## Schedule RI-E - Explanations (Form Type - 031)

Schedule RI-E is to be completed each quarter on a calendar year-to-date basis.

Detail all adjustments in Schedule RI-A and RI-B, all extraordinary items and other adjustments in Schedule RI, and all significant items of other noninterest income and other noninterest expense in Schedule RI. (See instructions for details.)

Dollar amounts in thousands		
1. Other noninterest income (from Schedule RI, item 5.I) Itemize and describe amounts greater than \$100,000 that exceed 7 percent of Schedule RI, item 5.I:		
a. Income and fees from the printing and sale of checks	RIADC013	0
b. Earnings on/increase in value of cash surrender value of life insurance	RIADC014	32,966
c. Income and fees from automated teller machines (ATMs)	RIADC016	14,271
d. Rent and other income from other real estate owned	RIAD4042	0
e. Safe deposit box rent	RIADC015	0
f. Bank card and credit card interchange fees	RIADF555	173,890
g. Income and fees from wire transfers	RIADT047	0
h. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT4461	Click here for value
2. Amount of component	RIAD4461	72,001
i. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT4462	Click here for value
2. Amount of component	RIAD4462	60,506
j. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT4463	See Line 7
2. Amount of component	RIAD4463	-253,424
Other noninterest expense (from Schedule RI, item 7.d) Itemize and describe amounts greater than \$100,000 that xceed 7 percent of Schedule RI, item 7.d:		
a. Data processing expenses	RIADC017	0
b. Advertising and marketing expenses	RIAD0497	0
c. Directors' fees	RIAD4136	0
d. Printing, stationery, and supplies	RIADC018	0
e. Postage	RIAD8403	0
f. Legal fees and expenses	RIAD4141	0
g. FDIC deposit insurance assessments	RIAD4146	CONF
h. Accounting and auditing expenses	RIADF556	0
i. Consulting and advisory expenses	RIADF557	0
j. Automated teller machine (ATM) and interchange expenses	RIADF558	0
k. Telecommunications expenses	RIADF559	0
I. Other real estate owned expenses	RIADY923	0
m. Insurance expenses (not included in employee expenses, premises and fixed asset expenses, and other real estate owned expenses)	RIADY924	0
n. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT4464	Click here for value
2. Amount of component	RIAD4464	183,745
o. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT4467	Click here for value
2. Amount of component	RIAD4467	86,764
p. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT4468	Click here for value
2. Amount of component	RIAD4468	62,740
Discontinued operations and applicable income tax effect (from Schedule RI, item 11) (itemize and describe each iscontinued operation):		
a. Disclose component, the gross dollar amount of that component, and its related income tax:		
1. Describe component	TEXTFT29	NR
2. Amount of component	RIADFT29	0

Donar amounts in thousands			
3. Applicable income tax effect	RIADFT30	0	3.a.3
b. Disclose component, the gross dollar amount of that component, and its related income tax:			3.b.
1. Describe component	TEXTFT31	NR	3.b.1
2. Amount of component	RIADFT31	0	3.b.2
3. Applicable income tax effect	RIADFT32	0	3.b.3
4. Cumulative effect of changes in accounting principles and corrections of material accounting errors (from Schedule RI-A, item 2) (itemize and describe all such effects):			4.
a. Effect of adoption of Current Expected Credit Losses Methodology - ASU 2016-13 <sup>1</sup>	RIADJJ26	NR	4.a.
b. Effect of adoption of lease accounting standard - ASC Topic 842	RIADKW17	NR	4.b.
c. Disclose component and the dollar amount of that component:			4.c.
1. Describe component	TEXTB526	NR	4.c.1
2. Amount of component	RIADB526	0	4.c.2
d. Disclose component and the dollar amount of that component:			4.d.
1. Describe component	TEXTB527	NR	4.d.
2. Amount of component	RIADB527	0	4.d.2
5. Other transactions with stockholders (including a parent holding company) (from Schedule RI-A, item 11) (itemize and describe all such transactions):			5.
a. Disclose component and the dollar amount of that component:			5.a.
1. Describe component	TEXT4498	NR	5.a.
2. Amount of component	RIAD4498	0	5.a.2
b. Disclose component and the dollar amount of that component:			5.b.
1. Describe component	TEXT4499	NR	5.b.1
2. Amount of component	RIAD4499	0	5.b.2
6. Adjustments to allowances for credit losses (from Schedule RI-B, part II, item 6) (itemize and describe all adjustments): <sup>3</sup>			6.
a. Initial allowances for credit losses recognized upon the acquisition of purchased credit-deteriorated assets on or after the effective date of ASU 2016-13 <sup>1</sup>	RIADJJ27	0	6.a.
b. Effect of adoption of current expected credit losses methodology on allowances for credit losses 1	RIADJJ28	NR	6.b.
c. Disclose component and the dollar amount of that component:			6.c.
1. Describe component	TEXT4521	NR	6.c.1
2. Amount of component	RIAD4521	0	6.c.2
d. Disclose component and the dollar amount of that component:			6.d.
1. Describe component	TEXT4522	NR	6.d. <sup>2</sup>
2. Amount of component	RIAD4522	0	6.d.2
7. Other explanations (the space below is provided for the bank to briefly describe, at its option, any other significant items affecting the Report of Income):			7.
a. Comments?	RIAD4769	Yes	7.a.
b. Other explanations	TEXT4769	Click here for value	7.b.

(TEXT4461) Operating lease income

(TEXT4462) Commercial commitment fees

(TEXT4464) Software expense

(TEXT4467) Loan and lease expense

(TEXT4468) Operating lease expense

<sup>1.</sup> Only institutions that have adopted ASU 2016-13 should report amounts in items 4.a, 6.a and 6.b, if applicable.

<sup>3.</sup> Institutions that have not adopted ASU 2016-13 should report the allowance for loan and lease losses in item 6, where applicable.

<sup>1.</sup> Only institutions that have adopted ASU 2016-13 should report amounts in items 4.a, 6.a and 6.b, if applicable.

<sup>1.</sup> Only institutions that have adopted ASU 2016-13 should report amounts in items 4.a, 6.a and 6.b, if applicable.

FIFTH THIRD BANK, NATIONAL ASSOCIATION RSSD-ID 723112 Last Updated on 7/29/2022 FFIEC 031 Report Date 6/30/2022

(TEXT4769) Commercial syndication fees \$41MM, International income \$18MM, Merchant fees \$16MM, Gain on equity method investments \$16MM, Extension fees \$13MM, Net change in valuation of loans measured under the fair value option (\$13MM), Mark-to-market free-standing equity derivatives (\$29MM), Mortgage loan fees net of broker premiums (\$31MM), and Loss on MSR derivative hedges (\$284MM)

## Schedule RC - Balance Sheet(Form Type - 031)

All schedules are to be reported in thousands of dollars. Unless otherwise indicated, report the amount outstanding as of the last business day of the quarter.

Dollar amounts in thousands			
Cash and balances due from depository institutions (from Schedule RC-A):			1.
a. Noninterest-bearing balances and currency and coin <sup>1</sup>	RCFD0081	3,425,591	1.a
b. Interest-bearing balances <sup>2</sup>	RCFD0071	7,314,927	1.b
2. Securities:			2.
a. Held-to-maturity securities (from Schedule RC-B, column A) <sup>3</sup>	RCFDJJ34	3,789	2.a
b. Available-for-sale debt securities (from Schedule RC-B, column D)	RCFD1773	52,016,289	2.t
c. Equity securities with readily determinable fair values not held for trading <sup>4</sup>	RCFDJA22	29,045	2.0
3. Federal funds sold and securities purchased under agreements to resell:			3.
a. Federal funds sold in domestic offices	RCONB987	500	3.6
b. Securities purchased under agreements to resell <sup>5</sup>	RCFDB989	0	3.t
4. Loans and lease financing receivables (from Schedule RC-C):			4.
a. Loans and leases held for sale	RCFD5369	2,542,387	4.8
b. Loans and leases held for investment	RCFDB528	118,823,486	4.t
c. LESS: Allowance for loan and lease losses <sup>7</sup>	RCFD3123	2,014,132	4.0
d. Loans and leases held for investment, net of allowance (item 4.b minus 4.c)	RCFDB529	116,809,354	4.0
5. Trading assets (from Schedule RC-D)	RCFD3545	4,328,284	5.
6. Premises and fixed assets (including capitalized leases)	RCFD2145	2,352,196	6.
7. Other real estate owned (from Schedule RC-M)	RCFD2150	14,828	7.
8. Investments in unconsolidated subsidiaries and associated companies	RCFD2130	0	8.
Direct and indirect investments in real estate ventures	RCFD3656	1,133,787	9.
10. Intangible assets (from Schedule RC-M)	RCFD2143	6,599,049	10
11. Other assets (from Schedule RC-F) <sup>6</sup>	RCFD2160	8,976,110	11
12. Total assets (sum of items 1 through 11)	RCFD2170	205,546,136	12
13. Deposits:			13
a. In domestic offices (sum of totals of columns A and C from Schedule RC-E, part I)	RCON2200	166,576,958	13
1. Noninterest-bearing <sup>8</sup>	RCON6631	60,977,937	13
2. Interest-bearing	RCON6636	105,599,021	13
b. In foreign offices, Edge and Agreement subsidiaries, and IBFs (from Schedule RC-E, part II)	RCFN2200	176,754	13
1. Noninterest-bearing	RCFN6631	0	13
2. Interest-bearing	RCFN6636	176,754	13
14. Federal funds purchased and securities sold under agreements to repurchase:			14
a. Federal funds purchased in domestic offices <sup>9</sup>	RCONB993	710,677	14
b. Securities sold under agreements to repurchase 10	RCFDB995	448,454	. 14
15. Trading liabilities (from Schedule RC-D)	RCFD3548	4,268,677	15
16. Other borrowed money (includes mortgage indebtedness and obligations under capitalized leases) (from Schedule RC-M)	RCFD3190	8,930,493	16
17. Not applicable			17
18. Not applicable			18
19. Subordinated notes and debentures <sup>1</sup>	RCFD3200	921,001	19

<sup>1.</sup> Includes cash items in process of collection and unposted debits.

<sup>2.</sup> Includes time certificates of deposit not held for trading.

<sup>3.</sup> Institutions that have adopted ASU 2016-13 should report in item 2.a, amounts net of any applicable allowance for credit losses, and should equal to Schedule RC-B, item 8, column A less Schedule RI-B, Part II, item 7, column B.

<sup>4.</sup> Item 2.c is to be completed by all institutions. See the instructions for this item and the Glossary entry for "Securities Activities" for further detail on accounting for investments in equity securities.

<sup>5.</sup> Includes all securities resale agreements, regardless of maturity.

Institutions that have adopted ASU 2016-13 should report in item 4.c the allowance for credit losses on loans and leases.

<sup>6.</sup> Institutions that have adopted ASU 2016-13 should report in items 3.b and 11 amounts net of any applicable allowance for credit losses.

<sup>8.</sup> Includes noninterest-bearing demand, time, and savings deposits.

<sup>9.</sup> Report overnight Federal Home Loan Bank advances in Schedule RC, item 16, "Other borrowed money."

<sup>10.</sup> Includes all securities repurchase agreements, regardless of maturity.

Includes limited-life preferred stock and related surplus.

20. Other liabilities (from Schedule RC-G)	RCFD2930	3,148,387	20.
21. Total liabilities (sum of items 13 through 20)	RCFD2948	185,181,401	21.
22. Not applicable			22.
23. Perpetual preferred stock and related surplus	RCFD3838	0	23.
24. Common stock	RCFD3230	4,540	24.
25. Surplus (exclude all surplus related to preferred stock)	RCFD3839	16,317,720	25.
26. Not available			26.
a. Retained earnings	RCFD3632	6,682,701	26.a.
b. Accumulated other comprehensive income <sup>2</sup>	RCFDB530	-2,640,330	26.b.
c. Other equity capital components <sup>3</sup>	RCFDA130	0	26.c.
27. Not available			27.
a. Total bank equity capital (sum of items 23 through 26.c)	RCFD3210	20,364,631	27.a.
b. Noncontrolling (minority) interests in consolidated subsidiaries	RCFD3000	104	27.b.
28. Total equity capital (sum of items 27.a and 27.b)	RCFDG105	20,364,735	28.
29. Total liabilities and equity capital (sum of items 21 and 28)	RCFD3300	205,546,136	29.
1. Indicate in the box at the right the number of the statement below that best describes the most comprehensive level of auditing work performed for the bank by independent external auditors as of any date during 2021	RCFD6724	NR	M.1.
2. Bank's fiscal year-end date (report the date in MMDD format)	RCON8678	NR	M.2.

## Schedule RC-A - Cash and Balances Due From Depository Institutions(Form Type - 031)

Exclude assets held for trading.

Dollar amounts in thousands	(Column A) Consolidated Bank		Bank (Column B) Domestic Offices		
Cash items in process of collection, unposted debits, and currency and coin	RCFD0022	3,060,523			1.
a. Cash items in process of collection and unposted debits			RCON0020	1,064,652	1.a.
b. Currency and coin			RCON0080	1,995,871	1.b.
2. Balances due from depository institutions in the U.S	RCFD0082	1,931,945	RCON0082	1,931,945	2.
3. Balances due from banks in foreign countries and foreign central banks	RCFD0070	354,625	RCON0070	160,530	3.
4. Balances due from Federal Reserve Banks	RCFD0090	5,393,425	RCON0090	5,393,425	4.
5. Total	RCFD0010	10,740,518	RCON0010	10,546,423	5.

<sup>2.</sup> Includes, but is not limited to, net unrealized holding gains (losses) on available-for-sale securities, accumulated net gains (losses) on cash flow hedges, cumulative foreign currency translation adjustments, and accumulated defined benefit pension and other postretirement plan adjustments.

<sup>3.</sup> Includes treasury stock and unearned Employee Stock Ownership Plan shares.

## Schedule RC-B - Securities(Form Type - 031)

Exclude assets held for trading.

Dollar amounts in thousands			Held-to-m	ımn B) naturity Fair alue	Availab	umn C) le-for-sale zed Cost	Available-	ımn D) for-sale Fair alue	
U.S. Treasury securities	RCFD0211	0	RCFD0213	0	RCFD1286	2,184,942	RCFD1287	2,093,132	1.
2. U.S. Government agency and sponsored agency obligations (exclude mortgage-backed securities) <sup>1</sup>	RCFDHT50	0	RCFDHT51	0	RCFDHT52	0	RCFDHT53	0	2.
Securities issued by states and political subdivisions in the U.S	RCFD8496	3,789	RCFD8497	3,789	RCFD8498	2,755	RCFD8499	2,643	3.
4. Mortgage-backed securities (MBS):									4.
a. Residential mortgage pass-through securities:									4.a.
1. Guaranteed by GNMA	RCFDG300	0	RCFDG301	0	RCFDG302	4,201,748	RCFDG303	3,992,281	4.a.1.
2. Issued by FNMA and FHLMC	RCFDG304	0	RCFDG305	0	RCFDG306	2,191,143	RCFDG307	2,089,897	4.a.2.
3. Other pass-through securities	RCFDG308	0	RCFDG309	0	RCFDG310	83	RCFDG311	83	4.a.3.
b. Other residential mortgage-backed securities (include CMOs, REMICs, and stripped MBS):									4.b.
Issued or guaranteed by U.S. Government agencies or sponsored agencies	RCFDG312	0	RCFDG313	0	RCFDG314	6,210,002	RCFDG315	5,856,788	4.b.1.
Collateralized by MBS issued or guaranteed by U.S.  Government agencies or sponsored agencies	RCFDG316	0	RCFDG317	0	RCFDG318	0	RCFDG319	0	4.b.2.
3. All other residential MBS	RCFDG320	0	RCFDG321	0	RCFDG322	1	RCFDG323	1	4.b.3.
c. Commercial MBS:									4.c.
Commercial mortgage pass-through securities:									4.c.1.
a. Issued or guaranteed by FNMA, FHLMC, or GNMA	RCFDK142	0	RCFDK143	0	RCFDK144	28,742,711	RCFDK145	26,873,867	4c1a
b. Other pass-through securities	RCFDK146	0	RCFDK147	0	RCFDK148	0	RCFDK149	0	4c1b
2. Other commercial MBS:									4.c.2.
a. Issued or guaranteed by U.S. Government     agencies or sponsored agencies <sup>1</sup>	RCFDK150	0	RCFDK151	0	RCFDK152	0	RCFDK153	0	4c2a
b. All other commercial MBS	RCFDK154	0	RCFDK155	0	RCFDK156	5,110,842	RCFDK157	4,769,948	4c2b
5. Asset-backed securities and structured financial products:									5.
a. Asset-backed securities (ABS)	RCFDC026	0	RCFDC988	0	RCFDC989	6,672,828	RCFDC027	6,335,704	5.a.
	RCFDHT58	0	RCFDHT59	0	RCFDHT60	0	RCFDHT61	0	5.b.
6. Other debt securities:									6.
a. Other domestic debt securities	RCFD1737	0	RCFD1738	0	RCFD1739	0	RCFD1741	0	6.a.
b. Other foreign debt securities	RCFD1742	0	RCFD1743	0	RCFD1744	2,000	RCFD1746	1,945	6.b.
7. Unallocated portfolio layer fair value hedge basis adjustments					RCFDMG95	NR			7.
8. Total (sum of items 1 through 7) <sup>2</sup>	RCFD1754	3,789	RCFD1771	3,789	RCFD1772	55,319,055	RCFD1773	52,016,289	8.

Bollar amounto in thousands		
1. Pledged securities <sup>1</sup>	RCFD0416	9,924,912
2. Maturity and repricing data for debt securities (excluding those in nonaccrual status): <sup>1</sup>		
a. Securities issued by the U.S. Treasury, U.S. Government agencies, and states and political subdivisions in the U.S.; other non-mortgage debt securities; and mortgage pass-through securities other than those backed by		
closed-end first lien 1-4 family residential mortgages with a remaining maturity or next repricing date of: <sup>2</sup>		
1. Three months or less	RCFDA549	6,456,381
2. Over three months through 12 months	RCFDA550	3,653
3. Over one year through three years	RCFDA551	275,853
4. Over three years through five years	RCFDA552	2,942,196
5. Over five years through 15 years	RCFDA553	18,784,130
6. Over 15 years	RCFDA554	6,848,867
b. Mortgage pass-through securities backed by closed-end first lien 1-4 family residential mortgages with a remaining maturity or next repricing date of: <sup>2</sup>		
1. Three months or less	RCFDA555	83
2. Over three months through 12 months	RCFDA556	0
3. Over one year through three years	RCFDA557	0
4. Over three years through five years	RCFDA558	0
5. Over five years through 15 years	RCFDA559	0
6. Over 15 years	RCFDA560	6,082,178
c. Other mortgage-backed securities (include CMOs, REMICs, and stripped MBS; exclude mortgage pass-through securities) with an expected average life of: <sup>5</sup>		
1. Three years or less	RCFDA561	758,327
2. Over three years	RCFDA562	9,868,410
d. Debt securities with a REMAINING MATURITY of one year or less (included in Memorandum items 2.a through 2.c above)	RCFDA248	15,015
Memorandum item 3 is to be completed semiannually in the June and December reports only.		
Amortized cost of held-to-maturity securities sold or transferred to available-for-sale or trading securities during the calendar year-to-date (report the amortized cost at date of sale or transfer)	RCFD1778	0
4. Structured notes (included in the held-to-maturity and available-for-sale accounts in Schedule RC-B, items 2, 3, 5, and 6):		
a. Amortized cost	RCFD8782	0
b. Fair valueb.	RCFD8783	0

<sup>1.</sup> Includes Small Business Administration "Guaranteed Loan Pool Certificates"; U.S. Maritime Administration obligations; Export-Import Bank participation certificates; and obligations (other than mortgage-backed securities) issued by the Farm Credit System, the Federal Home Loan Bank System, the Federal Home Loan Mortgage Corporation, the Federal National Mortgage Association, the Financing Corporation, Resolution Funding Corporation, the Student Loan Marketing Association, and the Tennessee Valley Authority.

<sup>1.</sup> U.S. Government agencies include, but are not limited to, such agencies as the Government National Mortgage Association (GNMA), the Federal Deposit Insurance Corporation (FDIC), and the National Credit Union Administration (NCUA). U.S. Government-sponsored agencies include, but are not limited to, such agencies as the Federal Home Loan Mortgage Corporation (FHLMC) and the Federal National Mortgage Association (FNMA).

U.S. Government agencies include, but are not limited to, such agencies as the Government National Mortgage Association (GNMA), the Federal Deposit Insurance Corporation (FDIC), and
the National Credit Union Administration (NCUA). U.S. Government-sponsored agencies include, but are not limited to, such agencies as the Federal Home Loan Mortgage Corporation (FHLMC)
and the Federal National Mortgage Association (FNMA).

<sup>2.</sup> For institutions that have adopted ASU 2016-13, the total reported in column A must equal Schedule RC, item 2.a, plus Schedule RI-B, Part II, item 7, column B. For institutions that have not adopted ASU 2016-13, the total reported in column A must equal Schedule RC, item 2.a. For all institutions, the total reported in column D must equal Schedule RC, item 2.b.

Dollar amounts in thousands					Availabl	ımn C) e-for-sale zed Cost	Available-	ımn D) for-sale Fair alue	
Memorandum items 5.a through 5.f and 6.a through 6.g are to be completed by banks with \$10 billion or more in total assets.									
5. Asset-backed securities (ABS) (for each column, sum of Memorandum items 5.a through 5.f must equal Schedule RC-B,									M.5
item 5.a): <sup>1</sup>									
a. Credit card receivables	RCFDB838	0	RCFDB839	0	RCFDB840	0	RCFDB841	0	M5a
b. Home equity lines	RCFDB842	0	RCFDB843	0	RCFDB844	0	RCFDB845	0	M5b
c. Automobile loans	RCFDB846	0	RCFDB847	0	RCFDB848	1,454,806	RCFDB849	1,395,618	M.5.0
d. Other consumer loans	RCFDB850	0	RCFDB851	0	RCFDB852	4,060,168	RCFDB853	3,860,611	M50
e. Commercial and industrial loans	RCFDB854	0	RCFDB855	0	RCFDB856	0	RCFDB857	0	M5.e
f. Other	RCFDB858	0	RCFDB859	0	RCFDB860	1,157,854	RCFDB861	1,079,475	M.5.
6. Structured financial products by underlying collateral or reference assets (for each column, sum of Memorandum items 6.a through 6.q must equal Schedule RC-B item 5.b):									M.6
a. Trust preferred securities issued by financial institutions	RCFDG348	0	RCFDG349	0	RCFDG350	0	RCFDG351	0	M6a
b. Trust preferred securities issued by real estate investment trusts	RCFDG352	0	RCFDG353	0	RCFDG354	0	RCFDG355	0	M6k
c. Corporate and similar loans	RCFDG356	0	RCFDG357	0	RCFDG358	0	RCFDG359	0	M.6.0
d. 1-4 family residential MBS issued or guaranteed by U.S. government-sponsored enterprises (GSEs)	RCFDG360	0	RCFDG361	0	RCFDG362	0	RCFDG363	0	M6c
e. 1-4 family residential MBS not issued or guaranteed by GSEs	RCFDG364	0	RCFDG365	0	RCFDG366	0	RCFDG367	0	M6e
f. Diversified (mixed) pools of structured financial products	RCFDG368	0	RCFDG369	0	RCFDG370	0	RCFDG371	0	M.6.
g. Other collateral or reference assets	RCFDG372	0	RCFDG373	0	RCFDG374	0	RCFDG375	0	M60

<sup>1.</sup> Includes held-to-maturity securities at amortized cost, available-for-sale debt securities at fair value, and equity securities with readily determinable fair values not held for trading (reported in Schedule RC, item 2.c) at fair value.

<sup>1.</sup> Includes held-to-maturity securities at amortized cost, available-for-sale debt securities at fair value, and equity securities with readily determinable fair values not held for trading (reported in Schedule RC, item 2.c) at fair value.

<sup>2.</sup> Report fixed-rate debt securities by remaining maturity and floating-rate debt securities by next repricing date.

<sup>2.</sup> Report fixed-rate debt securities by remaining maturity and floating-rate debt securities by next repricing date.

<sup>5.</sup> Sum of Memorandum items 2.c.(1) and 2.c.(2) plus any nonaccrual "Other mortgage-backed securities" included in Schedule RC-N, item 10, column C, must equal Schedule RC-B, sum of items 4.b and 4.c.(2), columns A and D.

<sup>1.</sup> The \$10 billion asset size test is based on the total assets reported on the June 30, 2018, Report of Condition.

## Schedule RC-C Part I - Loans and Leases(Form Type - 031)

Do not deduct the allowance for loan and lease losses or the allocated transfer risk reserve from amounts reported in this schedule. Report (1) loans and leases held for sale at the lower of cost or fair value, (2) loans and leases held for investment, net of unearned income, and (3) loans and leases accounted for at fair value under a fair value option. Exclude assets held for trading and commercial paper.

Dollar amounts in thousands	(Column A) Co	nsolidated Bank	(Column B) Do	omestic Offices
Loans secured by real estate <sup>2</sup>	RCFD1410	NR		
a. Construction, land development, and other land loans:				
1. 1-4 family residential construction loans	RCFDF158	300,358	RCONF158	300,358
2. Other construction loans and all land development and other land loans	RCFDF159	4,430,640	RCONF159	4,430,640
b. Secured by farmland (including farm residential and other improvements)	RCFD1420	49,256	RCON1420	49,256
c. Secured by 1-4 family residential properties:				
Revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit	RCFD1797	3,612,351	RCON1797	3,612,351
Closed-end loans secured by 1-4 family residential properties:				
a. Secured by first liens	RCFD5367	19,913,264	RCON5367	19,913,264
b. Secured by junior liens	RCFD5368	107,765	RCON5368	107,765
d. Secured by multifamily (5 or more) residential properties	RCFD1460	1,106,281	RCON1460	1,106,281
e. Secured by nonfarm nonresidential properties:				
Loans secured by owner-occupied nonfarm nonresidential properties	RCFDF160	5,272,218	RCONF160	5,271,864
Loans secured by other nonfarm nonresidential properties	RCFDF161	3,763,555	RCONF161	3,763,555
Loans to depository institutions and acceptances of other banks:				
a. To commercial banks in the U.S			RCONB531	8,763
1. To U.S. branches and agencies of foreign banks	RCFDB532	0		
2. To other commercial banks in the U.S	RCFDB533	8,763		
b. To other depository institutions in the U.S	RCFDB534	0	RCONB534	0
c. To banks in foreign countries			RCONB535	7,420
1. To foreign branches of other U.S. banks	RCFDB536	0		
2. To other banks in foreign countries	RCFDB537	7,420		
Loans to finance agricultural production and other loans to farmers	RCFD1590	23,558	RCON1590	23,558
Commercial and industrial loans:				
a. To U.S. addressees (domicile)	RCFD1763	48,616,518	RCON1763	48,582,620
b. To non-U.S. addressees (domicile)	RCFD1764	3,285,918	RCON1764	2,859,032
Not applicable				
Loans to individuals for household, family, and other personal expenditures (i.e., consumer ans) (includes purchased paper):				
a. Credit cards	RCFDB538	1,762,569	RCONB538	1,762,569
b. Other revolving credit plans	RCFDB539	1,158,607	RCONB539	1,158,607
c. Automobile loans	RCFDK137	14,907,936	RCONK137	14,907,936
d. Other consumer loans (includes single payment and installment loans other than automobile loans, and all student loans)	RCFDK207	4,553,295	RCONK207	4,553,295
Loans to foreign governments and official institutions (including foreign central banks)	RCFD2081	0	RCON2081	0
Obligations (other than securities and leases) of states and political subdivisions in the S	RCFD2107	468,061	RCON2107	468,061
Loans to nondepository financial institutions and other loans	RCFD1563	5,165,675		
a. Loans to nondepository financial institutions			RCONJ454	2,432,142
b. Other loans:				
Loans for purchasing or carrying securities (secured and unsecured)			RCON1545	253,482
2. All other loans (exclude consumer loans)			RCONJ451	2,480,028
. Lease financing receivables (net of unearned income)			RCON2165	2,849,281
Leases to individuals for household, family, and other personal expenditures (i.e., consumer leases)	RCFDF162	0		
b. All other leases	RCFDF163	2,851,865		
I. LESS: Any unearned income on loans reflected in items 1-9 above	RCFD2123	0	RCON2123	0
2. Total loans and leases held for investment and held for sale (item 12, column A must equal chedule RC, sum of items 4.a and 4.b)	RCFD2122	121,365,873	RCON2122	120,902,128

FIFTH THIRD BANK, NATIONAL ASSOCIATION RSSD-ID 723112 Last Updated on 7/29/2022 FFIEC 031 Report Date 6/30/2022

<sup>2.</sup> When reporting "Loans secured by real estate," "large institutions" and "highly complex institutions," as defined for deposit insurance assessment purposes in FDIC regulations, should complete items 1.a.(1) through 1.e.(2) in column A and B (but not item 1 in column A); all other institutions should complete item 1 in column A and items 1.a.(1) through 1.e.(2) in column B (but not items 1.a.(1) through 1.e.(2) in column A).

1. Loans restructured in troubled debt restructurings that are in compliance with their modified terms (included in Schedule RC-C, part 1, and not reported as past due or nonaccrual in Schedule RC-N, Memorandum item 1):			M.1.
a. Construction, land development, and other land loans in domestic offices:			M.1.a.
1. 1-4 family residential construction loans	RCONK158	3,238	M.1.a.
2. Other construction loans and all land development and other land loans	RCONK159	68,778	M.1.a.
b. Loans secured by 1-4 family residential properties in domestic offices	RCONF576	528,466	M.1.b.
c. Secured by multifamily (5 or more) residential properties in domestic offices	RCONK160	0	M.1.c.
d. Secured by nonfarm nonresidential properties in domestic offices:			M.1.d.
1. Loans secured by owner-occupied nonfarm nonresidential properties	RCONK161	5,206	M.1.d.
Loans secured by other nonfarm nonresidential properties	RCONK162	0	M.1.d.
e. Commercial and industrial loans:			M.1.e.
1. To U.S. addressees (domicile)	RCFDK163	161,813	M.1.e.
2. To non-U.S. addressees (domicile)	RCFDK164	0	M.1.e.
f. All other loans (include loans to individuals for household, family, and other personal expenditures)	RCFDK165	100,149	M.1.f.
Itemize loan categories included in Memorandum item 1.f, above that exceed 10 percent of total loans restructured in troubled debt restructurings that are in compliance with their modified terms (sum of Memorandum items 1.a through 1.f):	RCONK166	-	M.1.f.1
Loans secured by farmland in domestic offices			
2. Not applicable	DCEDI(400		M.1.f.2
3. Loans to finance agricultural production and other loans to farmers	RCFDK168		M.1.f.3
Loans to individuals for household, family, and other personal expenditures:	DOEDIGOO		M.1.f.4
a. Credit cards	RCFDK098		M.1.f.4
b. Automobile loans	RCFDK203		M.1.f.4
c. Other (includes revolving credit plans other than credit cards and other consumer loans)	RCFDK204	0	M.1.f.
g. Total loans restructured in troubled debt restructurings that are in compliance with their modified terms (sum of Memorandum items 1.a.(1) through 1.f)	RCFDHK25	867,650	
Maturity and repricing data for loans and leases (excluding those in nonaccrual status):     a. Closed-end loans secured by first liens on 1-4 family residential properties in domestic offices (reported in Schedule RC-C, part I, item 1.c.(2)(a), column B) with a remaining maturity or next repricing date of:			M.2. M.2.a
1. Three months or less	RCONA564	240,766	M.2.a.
2. Over three months through 12 months	RCONA565	378,795	M.2.a.
3. Over one year through three years	RCONA566	476,317	M.2.a.
4. Over three years through five years	RCONA567	582,686	M.2.a
5. Over five years through 15 years	RCONA568	5,713,638	M.2.a
6. Over 15 years	RCONA569	12,420,051	M.2.a
b. All loans and leases (reported in Schedule RC-C, part I, items 1 through 10, column A) EXCLUDING closed-end loans secured by first liens on 1-4 family residential properties in domestic offices (reported in Schedule RC-C, part I, item 1.c.(2)(a), column B) with a remaining maturity or next repricing date of:			M.2.b
1. Three months or less	RCFDA570	69,369,381	M.2.b.
2. Over three months through 12 months	RCFDA571	2,172,659	M.2.b
3. Over one year through three years	RCFDA572	4,808,059	M.2.b
4. Over three years through five years	RCFDA573	9,988,993	
5. Over five years through 15 years	RCFDA574	12,929,590	M.2.b
6. Over 15 years	RCFDA575	1,745,630	
c. Loans and leases (reported in Schedule RC-C, part I, items 1 through 10, column A) with a REMAINING  MATURITY of one year or less (excluding those in nonaccrual status)	RCFDA247	14,023,877	
3. Loans to finance commercial real estate, construction, and land development activities (not secured by real estate)	PCED2746	2 422 904	ма
included in Schedule RC-C, part I, items 4 and 9, column A <sup>4</sup>	RCFD2746	2,132,884	ıvı.≾.
4. Adjustable rate closed-end loans secured by first liens on 1-4 family residential properties in domestic offices (included in Schedule RC-C, part I, item 1.c.(2)(a), column B)	RCON5370	2,345,901	M.4.
5. Loans secured by real estate to non-U.S. addressees (domicile) (included in Schedule RC-C, Part I, item 1, column A, or Schedule RC-C, Part I, items 1.a.(1) through 1.e.(2), column A, as appropriate)	RCFDB837	10,506	M.5.
Memorandum item 6 is to be completed by banks that (1) together with affiliated institutions, have outstanding credit card receivables (as defined in the instructions) that exceed \$500 million as of the report date, or (2) are credit card specialty banks as defined for Uniform Bank Performance Report purposes.  6. Outstanding credit card fees and finance charges included in Schedule RC-C, part I, item 6.a, column A	RCFDC391	16,275	M.6.

Memorandum items 7.a and 7.b are to be completed by all banks semiannually in the June and December reports only.  7. Purchased credit-impaired loans held for investment accounted for in accordance with FASB ASC 310-30 (former			M.7.
AICPA Statement of Position 03-3) (exclude loans held for sale): <sup>5</sup>			IVI7.
a. Outstanding balance	RCFDC779	NR	M.7.a.
b. Amount included in Schedule RC-C, part I, items 1 through 9	RCFDC780	NR	M.7.b.
Memorandum items 8.a, 8.b, and 8.c are to be completed semiannually in the June and December reports only.  8. Closed-end loans with negative amortization features secured by 1-4 family residential properties in domestic offices:			M.8.
a. Total amount of closed-end loans with negative amortization features secured by 1-4 family residential properties (included in Schedule RC-C, part I, items 1.c.(2)(a) and 1.c.(2)(b))	RCONF230	0	M.8.a.
Memorandum items 8.b and 8.c are to be completed semiannually in the June and December reports only by banks that had closed-end loans with negative amortization features secured by 1-4 family residential properties (as reported in Schedule RC-C, Part I, Memorandum item 8.a) as of December 31, 2021, that exceeded the lesser of \$100 million or 5 percent of total loans and leases held for investment and held for sale in domestic offices (as reported in Schedule RC-C, Part I, item 12, column B).	RCONF231	NR	M.8.b.
b. Total maximum remaining amount of negative amortization contractually permitted on closed-end loans secured by 1-4 family residential properties			
c. Total amount of negative amortization on closed-end loans secured by 1-4 family residential properties included in the amount reported in Memorandum item 8.a above	RCONF232	NR	M.8.c.

9. Loans secured by 1-4 family residential properties in domestic offices in process of foreclosure (included in Schedule RC-C, part I, items 1.c.(1), 1.c.(2)(a), and 1.c.(2)(b))	RCONF577	170,335	M.9.

10. Not applicable		M.10.
11. Not applicable		M.11.

Dollar amounts in thousands			contractu receivable	ıal amounts	at acquis	Best estimate ition date of cash flows not be collected	
Memorandum items 12.a, 12.b, 12.c, and 12.d are to be completed semiannually in the June and December reports only.							
12. Loans (not subject to the requirements of FASB ASC 310-30 (former AlCPA Statement of Position 03-3)) and leases held for investment that were acquired							M.12.
in business combinations with acquisition dates in the current calendar year: $\!\!^{1}$							
a. Loans secured by real estate	RCFDG091	0	RCFDG092	0	RCFDG093	0	M12a
b. Commercial and industrial loans	RCFDG094	0	RCFDG095	0	RCFDG096	0	M12b.
c. Loans to individuals for household, family, and other personal expenditures	RCFDG097	404,684	RCFDG098	438,117	RCFDG099	53,160	M12c.
d. All other loans and all leases	RCFDG100	0	RCFDG101	0	RCFDG102	0	M12d

demonstrate that 40 is to be completed by boule that had construction, land development, and other by the demonstration of the second state of the			
Memoranda item 13 is to be completed by banks that had construction, land development, and other land loans in domestic offices (as eported in Schedule RC-C, Part I, item 1.a., column B) that exceeded 100 percent of the sum of tier 1 capital (as reported in Schedule RC-R, Part I, item 26) plus the allowance for loan and lease losses or the allowance for credit losses on loans and leases, as applicable (as reported in Schedule RC, item 4.c) as of December 31, 2021.	•		M.13.
3. Construction, land development, and other land loans in domestic offices with interest reserves:			
a. Amount of loans that provide for the use of interest reserves (included in Schedule RC-C, part I, item 1.a, colum B)		1 0	M.13.a
b. Amount of interest capitalized from interest reserves on construction, land development, and other land loans that is included in interest and fee income on loans during the quarter (included in Schedule RI, item 1.a.(1)(a)(2)		1 0	M.13.b
Memorandum item 14 is to be completed by all banks.	RCFDG378	72,590,267	M 14
14. Pledged loans and leases		12,000,201	IVI. 1 - 1.
Memorandum item 15 is to be completed for the December report only.  15. Reverse mortgages in domestic offices:		1	M.15.
a. Reverse mortgages outstanding that are held for investment (included in Schedule RC-C, item 1.c, above):		ı	M.15.a
Home Equity Conversion Mortgage (HECM) reverse mortgages	RCONJ466	NR N	M.15.a
2. Proprietary reverse mortgages	RCONJ467	NR N	M.15.a
<ul> <li>Estimated number of reverse mortgage loan referrals to other lenders during the year from whom compensatio has been received for services performed in connection with the origination of the reverse mortgages:</li> </ul>	n	1	M.15.b
Home Equity Conversion Mortgage (HECM) reverse mortgages	RCONJ468	NR N	M.15.b
2. Proprietary reverse mortgages	RCONJ469	NR N	M.15.b
c. Principal amount of reverse mortgage originations that have been sold during the year:		1	M.15.c
Home Equity Conversion Mortgage (HECM) reverse mortgages	RCONJ470	NR N	M.15.c
Proprietary reverse mortgages	RCONJ471	NR N	M.15.c
Memorandum item 16 is to be completed by all banks.			
16. Revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit in domestic offices that have converted to non-revolving closed-end status (included in item 1.c.(1) above)	RCONLE75	171,905	M.16.
Amounts reported in Memorandum items 17.a and 17.b will not be made available to the public on an individual institution basis.			
17. Eligible loan modifications under Section 4013, Temporary Relief from Troubled Debt Restructurings, of the 2020 Coronavirus Aid, Relief, and Economic Security Act:		N	M.17.
a. Number of Section 4013 loans outstanding	RCONLG24	CONF	M.17.a
b. Outstanding balance of Section 4013 loans	RCONLG25	CONF	M.17.l

<sup>1.</sup> Institutions that have adopted ASU 2016-13 should report only loans held for investment not considered purchased credit-deteriorated in Memorandum item 12.

## Schedule RC-C Part II - Loans to Small Businesses and Small Farms(Form Type - 031)

Report the number and amount currently outstanding as of the report date of business loans with "original amounts" of \$1,000,000 or less and farm loans with "original amounts" of \$500,000 or less. The following guidelines should be used to determine the "original amount" of a loan:

(1) For loans drawn down under lines of credit or loan commitments, the "original amount" of the loan is the size of the line of credit or loan commitment when the line of credit or loan commitment was most recently approved, extended, or renewed prior to the report date. However, if the amount currently outstanding as of the report date exceeds this size, the "original amount" is the amount currently outstanding on the report date. (2) For loan participations and syndications, the "original amount" of the loan participation or syndication is the entire amount of the credit originated by the lead lender. (3) For all other loans, the "original amount" is the total amount of the loan at origination or the amount currently outstanding as of the report date, whichever is larger.

# Dollar amounts in thousands 1. Not applicable 2. Not applicable 2. Not applicable 2. Not applicable 3. Not applicable 3. Not applicable 3. Not applicable 4. One of the content of the co

Dollar amounts in thousands	(Column A) Number of Loans		(Column B) Amount Currently Outstanding		
3. Number and amount currently outstanding of "Loans secured by nonfarm nonresidential properties" in domestic offices reported in Schedule RC-C, part I, items 1.e.(1) and 1.e.(2), column B:					3.
a. With original amounts of \$100,000 or less	RCON5564	409	RCON5565	17,640	3.a.
b. With original amounts of more than \$100,000 through \$250,000	RCON5566	887	RCON5567	115,701	3.b.
c. With original amounts of more than \$250,000 through \$1,000,000	RCON5568	1790	RCON5569	784,508	3.c.
4. Number and amount currently outstanding of "Commercial and industrial loans to U.S. addressees" in domestic offices reported in Schedule RC-C, part I, item 4.a, column B:					4.
a. With original amounts of \$100,000 or less	RCON5570	37099	RCON5571	478,988	4.a.
b. With original amounts of more than \$100,000 through \$250,000	RCON5572	2628	RCON5573	274,582	4.b.
c. With original amounts of more than \$250,000 through \$1,000,000	RCON5574	3833	RCON5575	1,519,217	4.c.

	Dollar amounts in thousands		
5. Not applicable			5
6. Not applicable			6

Dollar amounts in thousands	(Column A) N	lumber of Loans	(Column B) Amount Currently Outstanding		
7. Number and amount currently outstanding of "Loans secured by farmland (including farm residential and other improvements)" in domestic offices reported in Schedule RC-C, part I, item 1.b, column B:				_	7.
a. With original amounts of \$100,000 or less	RCON5578	546	RCON5579	10,652	7.a.
b. With original amounts of more than \$100,000 through \$250,000	RCON5580	108	RCON5581	5,734	7.b.
c. With original amounts of more than \$250,000 through \$500,000	RCON5582	36	RCON5583	4,514	7.c.
8. Number and amount currently outstanding of "Loans to finance agricultural production and other loans to farmers" in domestic offices reported in Schedule RC-C, part I, item 3, column B:					8.
a. With original amounts of \$100,000 or less	RCON5584	35	RCON5585	465	8.a.
b. With original amounts of more than \$100,000 through \$250,000	RCON5586	7	RCON5587	547	8.b.
c. With original amounts of more than \$250,000 through \$500,000	RCON5588	1	RCON5589	200	8.c.

## Schedule RC-D - Trading Assets and Liabilities(Form Type - 031)

Schedule RC-D is to be completed by banks that reported total trading assets of \$10 million or more in any of the four preceding calendar quarters, and all banks meeting the FDIC's definition of a large or highly complex institution for deposit insurance assessment purposes.

Dollar amounts in thousands	Consolidate	d Bank
I. U.S. Treasury securities	RCFD3531	9,376
2. U.S. Government agency obligations (exclude mortgage-backed securities)	RCFD3532	20,278
. Securities issued by states and political subdivisions in the U.S	RCFD3533	25,450
. Mortgage-backed securities (MBS):		
a. Residential mortgage pass-through securities issued or guaranteed by FNMA, FHLMC, or GNMA	RCFDG379	4
b. Other residential MBS issued or guaranteed by U.S. Government agencies or sponsored agencies (include CMOs, REMICs, and stripped MBS) <sup>1</sup>	RCFDG380	14,688
c. All other residential MBS	RCFDG381	0
d. Commercial MBS issued or guaranteed by U.S. Government agencies or sponsored agencies <sup>1</sup>	RCFDK197	0
e. All other commercial MBS	RCFDK198	0
Other debt securities:		
a. Structured financial products	RCFDHT62	0
b. All other debt securities	RCFDG386	194,972
. Loans:		
a. Loans secured by real estate		
1. Loans secured by 1-4 family residential properties	RCFDHT63	0
2. All other loans secured by real estate	RCFDHT64	0
b. Commercial and industrial loans	RCFDF614	0
c. Loans to individuals for household, family, and other personal expenditures (i.e., consumer loans) (includes purchased paper)	RCFDHT65	0
d. Other loans	RCFDF618	0
Not appliable		
Not applicable		
Other trading assets	RCFD3541	224,466
0. Not applicable		
1. Derivatives with a positive fair value	RCFD3543	3,839,050
2. Total trading assets (sum of items 1 through 11) (total of column A must equal Schedule RC, item 5)	RCFD3545	4,328,284
3. Not available		
a. Liability for short positions	RCFD3546	202,522
b. Other trading liabilities	RCFDF624	0
4. Derivatives with a negative fair value	RCFD3547	4,066,155
5. Total trading liabilities (sum of items 13.a through 14) (total of column A must equal Schedule RC, item 15)	RCFD3548	4,268,677
Unpaid principal balance of loans measured at fair value (reported in Schedule RC-D, items 6.a through 6.d):		
a. Loans secured by real estate		
1. Loans secured by 1-4 family residential properties	RCFDHT66	0
2. All other loans secured by real estate	RCFDHT67	0
b. Commercial and industrial loans	RCFDF632	0
c. Loans to individuals for household, family, and other personal expenditures (i.e., consumer loans) (includes purchased paper)	RCFDHT68	0
d. Other loans	RCFDF636	0
emorandum items 2 through 10 are to be completed by banks with \$10 billion or more in total trading assets.		
Loans measured at fair value that are past due 90 days or more: 1		
a. Fair value	RCFDF639	NR
b. Unpaid principal balance	RCFDF640	NR

U.S. Government agencies include, but are not limited to, such agencies as the Government National Mortgage Association (GNMA), the Federal Deposit Insurance Corporation (FDIC), and
the National Credit Union Administration (NCUA). U.S. Government-sponsored agencies include, but are not limited to, such agencies as the Federal Home Loan Mortgage Corporation (FHLMC)
and the Federal National Mortgage Association (FNMA).

<sup>1.</sup> The \$10 billion trading asset-size test is based on total trading assets reported on the June 30, 2018, Report of Condition.

Dollar amounts in thousands	Consolidated Bank		]
Memorandum items 3 through 10 are to be completed by banks with \$10 billion or more in total trading assets.  3. Structured financial products by underlying collateral or reference assets (for each column, sum of Memorandum items 3.a through 3.g must equal Schedule RC-D, sum of items 5.a.(1) through (3)):			M.3.
a. Trust preferred securities issued by financial institutions	RCFDG299	NR	M.3.a.
b. Trust preferred securities issued by real estate investment trusts	RCFDG332	NR	M.3.b.
c. Corporate and similar loans	RCFDG333	NR	M.3.c.
d. 1-4 family residential MBS issued or guaranteed by U.S. government-sponsored enterprises (GSEs)	RCFDG334	NR	M.3.d.
e. 1-4 family residential MBS not issued or guaranteed by GSEs	RCFDG335	NR	M.3.e.
f. Diversified (mixed) pools of structured financial products	RCFDG651	NR	M.3.f.
g. Other collateral or reference assets	RCFDG652	NR	M.3.g.
4. Pledged trading assets:			M.4.
a. Pledged securities	RCFDG387	NR	M.4.a.
b. Pledged loans	RCFDG388	NR	M.4.b.

Dollar amounts in thousands			_
5. Asset-backed securities:			M.5.
a. Credit card receivables	RCFDF643	NR	M.5.a.
b. Home equity lines	RCFDF644	NR	M.5.b.
c. Automobile loans	RCFDF645	NR	M.5.c.
d. Other consumer loans	RCFDF646	NR	M.5.d.
e. Commercial and industrial loans	RCFDF647	NR	M.5.e.
f. Other	RCFDF648	NR	M.5.f.
6. Retained beneficial interests in securitizations (first-loss or equity tranches)			M.6.
7. Equity securities (included in Schedule RC-D, item 9, above):			M.7.
a. Readily determinable fair values	RCFDF652	NR	M.7.a.
b. Other	RCFDF653	NR	M.7.b.
8. Loans pending securitization	RCFDF654	NR	M.8.
9. Other trading assets (itemize and describe amounts included in Schedule RC-D, item 9, that are greater than			M.9.
\$1,000,000 and exceed 25% of the item): <sup>1</sup>			
a. Disclose component and the dollar amount of that component:			M.9.a.
1. Describe component	TEXTF655	NR	M.9.a.1.
2. Amount of component	RCFDF655	NR	M.9.a.2.
b. Disclose component and the dollar amount of that component:			M.9.b.
(TEXTF656) NR	RCFDF656	NR	M.9.b.1.
c. Disclose component and the dollar amount of that component:			M.9.c.
(TEXTF657) NR	RCFDF657	NR	M.9.c.1.
10. Other trading liabilities (itemize and describe amounts included in Schedule RC-D, item 13.b, that are greater than \$1,000,000 and exceed 25% of the item):			M.10.
a. Disclose component and the dollar amount of that component:			M.10.a.
1. Describe component	TEXTF658	NR	M.10.a.1.
2. Amount of component	RCFDF658	NR	M.10.a.2.
b. Disclose component and the dollar amount of that component:			M.10.b.
(TEXTF659) NR	RCFDF659	NR	M.10.b.1.
c. Disclose component and the dollar amount of that component:			M.10.c.
(TEXTF660) NR	RCFDF660	NR	M.10.c.1.

## Schedule RC-E Part I - Deposits in Domestic Offices(Form Type - 031)

Dollar amounts in thousands	(Column A) Transaction Accounts Total Transaction accounts (including total demand deposits)		Accounts Total Transaction accounts (including total demand (included in column A)		Nontransact Total non- accounts	imn C) ion Accounts transaction (including DAs)	
Deposits of:							
Individuals, partnerships, and corporations (include all certified and official checks)	RCONB549	103,023,893			RCONB550	56,282,251	1.
2. U.S. Government	RCON2202	438			RCON2520	0	2.
3. States and political subdivisions in the U.S	RCON2203	6,325,681			RCON2530	518,112	3.
4. Commercial banks and other depository institutions in the U.S	RCONB551	426,572			RCONB552	0	4.
5. Banks in foreign countries	RCON2213	11			RCON2236	0	5.
6. Foreign governments and official institutions (including foreign central banks)	RCON2216	0			RCON2377	0	6.
7. Total (sum of items 1 through 6) (sum of columns A and C must equal Schedule RC, item 13.a)	RCON2215	109,776,595	RCON2210	108,128,070	RCON2385	56,800,363	7.

Donal amounts in mousainus		
. Selected components of total deposits (i.e., sum of item 7, columns A and C):		
a. Total Individual Retirement Accounts (IRAs) and Keogh Plan accounts	RCON6835	2,331,064
b. Total brokered deposits	RCON2365	3,651,003
c. Brokered deposits of \$250,000 or less (fully insured brokered deposits) <sup>2</sup>	RCONHK05	3,651,003
d. Maturity data for brokered deposits:		
Brokered deposits of \$250,000 or less with a remaining maturity of one year or less (included in Memorandum item 1.c above)	RCONHK06	3,650,392
2. Not applicable		
Brokered deposits of more than \$250,000 with a remaining maturity of one year or less (included in Memorandum item 1.b above)	RCONK220	0
e. Preferred deposits (uninsured deposits of states and political subdivisions in the U.S. reported in item 3 above which are secured or collateralized as required under state law) (to be completed for the December report only).	RCON5590	NR
f. Estimated amount of deposits obtained through the use of deposit listing services that are not brokered deposits	RCONK223	0
g. Total reciprocal deposits (as of the report date)	RCONJH83	0
Memorandum items 1.h.(1)(a), 1.h.(2)(a), 1.h.(3)(a), and 1.h.(4)(a) are to be completed by banks with \$100 billion or more in total assets		
h. Sweep deposits:		
1. Fully insured, affiliate sweep deposits	RCONMT87	767,302
a. Fully insured, affiliate, retail sweep deposits	RCONMT88	767,302
2. Not fully insured, affiliate sweep deposits	RCONMT89	0
a. Not fully insured, affiliate, retail sweep deposits	RCONMT90	0
3. Fully insured, non-affiliate sweep deposits	RCONMT91	3,209,322
a. Fully insured, non-affiliate, retail sweep deposits	RCONMT92	3,209,322
4. Not fully insured, non-affiliate sweep deposits	RCONMT93	0
a. Not fully insured, non-affiliate, retail sweep deposits	RCONMT94	0
i. Total sweep deposits that are not brokered deposits	RCONMT95	3,159,655
Components of total nontransaction accounts (sum of Memorandum items 2.a through 2.d must equal item 7, column above):		
a. Savings deposits:		
1. Money market deposit accounts (MMDAs)	RCON6810	28,791,703
Other savings deposits (excludes MMDAs)	RCON0352	23,747,975
b. Total time deposits of less than \$100,000	RCON6648	1,729,993
c. Total time deposits of \$100,000 through \$250,000	RCONJ473	2,372,366
d. Total time deposits of more than \$250,000	RCONJ474	158,326
e. Individual Retirement Accounts (IRAs) and Keogh Plan accounts of \$100,000 or more included in Memorandum items 2.c and 2.d above	RCONF233	112,272
Maturity and repricing data for time deposits of \$250,000 or less:		
a. Time deposits of \$250,000 or less with a remaining maturity or next repricing date of:		
1. Three months or less	RCONHK07	969,657
2. Over three months through 12 months	RCONHK08	2,743,340
3. Over one year through three years	RCONHK09	297,571
4. Over three years	RCONHK10	91,791
b. Time deposits of \$250,000 or less with a REMAINING MATURITY of one year or less (included in Memorandum items 3.a.(1) and 3.a.(2) above) <sup>3</sup>	RCONHK11	3,712,251
Maturity and repricing data for time deposits of more than \$250,000:		
a. Time deposits of more than \$250,000 with a remaining maturity or next repricing date of:		
1. Three months or less	RCONHK12	55,803
2. Over three months through 12 months	RCONHK13	83,565
3. Over one year through three years	RCONHK14	18,440
,		518

<sup>2.</sup> The dollar amount used as the basis for reporting in Memorandum item 1.c reflects the deposit insurance limit in effect on the report date.

<sup>3.</sup> Report both fixed- and floating-rate time deposits by remaining maturity. Exclude floating rate time deposits with a next repricing date of one year or less that have a remaining maturity of over one year.

b. Time deposits of more than \$250,000 with a REMAINING MATURITY of one year or less (included in	RCONK222	139,368	MAL
Memorandum items 4.a.(1) and 4.a.(2) above) <sup>3</sup>	RCONK222	139,300	IVI.4.D.
5. Does your institution offer one or more consumer deposit account products, i.e., transaction account or nontransaction savings account deposit products intended primarily for individuals for personal, household, or family use?	RCONP752	Yes	M.5.
Memorandum items 6 and 7 are to be completed by institutions with \$1 billion or more in total assets that answered "Yes" to Memorandum item 5 above.			
6. Components of total  transaction  account  deposits  of  individuals, partnerships,  and  corporations  (sum  of  Memorandum  of  Corporation)  account  deposits  of  individuals,  partnerships,  and  corporations  (sum  of  Memorandum  of  Corporation)  account  deposits  of  individuals,  partnerships,  and  corporations  (sum  of  Memorandum  of  Corporation)  account  deposits  of  individuals,  partnerships,  and  corporations  (sum  of  Memorandum  of  Corporation)  account  deposits  of  individuals,  partnerships,  and  corporations  (sum  of  Memorandum  of  Corporation)  account  deposits  of  individuals,  account  of  Corporation  of  Corpor			M.6.
items 6.a and 6.b must be less than or equal to item 1, column A, above): <sup>5</sup>			
a. Total deposits in those noninterest-bearing transaction account deposit products intended primarily for individuals for personal, household, or family use	RCONP753	13,901,098	M.6.a.
b. Total deposits in those interest-bearing transaction account deposit products intended primarily for individuals for personal, household, or family use	RCONP754	22,187,552	M.6.b.
7. Components of total nontransaction account deposits of individuals, partnerships, and corporations (sum of Memorandum items 7.a.(1), 7.a.(2), 7.b.(1), and 7.b.(2) plus all time deposits of individuals, partnerships, and corporations must equal item 1, column C, above):			M.7.
a. Money market deposit accounts (MMDAs) of individuals, partnerships, and corporations (sum of Memorandum items 7.a.(1) and 7.a.(2) must be less than or equal to Memorandum item 2.a.(1) above):			M.7.a.
Total deposits in those MMDA deposit products intended primarily for individuals for personal, household, or family use	RCONP756	21,896,859	M.7.a.1.
2. Deposits in all other MMDAs of individuals, partnerships, and corporations	RCONP757	6,504,164	M.7.a.2.
<ul> <li>b. Other savings deposit accounts of individuals, partnerships, and corporations (sum of Memorandum items 7.b.(1) and 7.b.(2) must be less than or equal to Memorandum item 2.a.(2) above):</li> </ul>			M.7.b.
Total deposits in those other savings deposit account deposit products intended primarily for individuals for personal, household, or family use	RCONP758	22,445,728	M.7.b.1.
2. Deposits in all other savings deposit accounts of individuals, partnerships, and corporations	RCONP759	1,239,095	M.7.b.2.

## Schedule RC-E Part II - Deposits in Foreign Offices including Edge and Agreement subsidiaries and IBFs(Form Type - 031)

Dollar amounts in thousands			
Deposits of:			
1. Individuals, partnerships, and corporations (include all certified and official checks)	RCFNB553	176,754	1
2. U.S. banks (including IBFs and foreign branches of U.S. banks) and other U.S. depository institutions	RCFNB554	0	2
3. Foreign banks (including U.S. branches and agencies of foreign banks, including their IBFs)	RCFN2625	0	) 3
4. Foreign governments and official institutions (including foreign central banks)	RCFN2650	0	) 4
5. U.S. Government and states and political subdivisions in the U.S	RCFNB555	0	5
5. Total	RCFN2200	176,754	Ē
1. Time deposits with a remaining maturity of one year or less (included in Schedule RC, item 13.b)	RCFNA245	0	1

## Schedule RC-F - Other Assets(Form Type - 031)

1. Accrued interest receivable <sup>2</sup>	RCFDB556	475,916
2. Net deferred tax assets <sup>3</sup>	RCFD2148	681,816
3. Interest-only strips receivable (not in the form of a security) <sup>4</sup>	RCFDHT80	0
4. Equity investments without readily determinable fair values <sup>5</sup>		1,106,765
5. Life insurance assets:		
a. General account life insurance assets	RCFDK201	569,043
b. Separate account life insurance assets	RCFDK202	546,163
c. Hybrid account life insurance assets	RCFDK270	927,112
6. All other assets (itemize and describe amounts greater than \$100,000 that exceed 25% of this item)	RCFD2168	4,669,295
a. Prepaid expenses	RCFD2166	0
b. Repossessed personal property (including vehicles)	RCFD1578	0
c. Derivatives with a positive fair value held for purposes other than trading	RCFDC010	0
d. FDIC loss-sharing indemnification assets	RCFDJ448	0
e. Computer software	RCFDFT33	0
f. Accounts receivable	RCFDFT34	3,027,273
g. Receivables from foreclosed government-guaranteed mortgage loans	RCFDFT35	0
h. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT3549	NR
2. Amount of component	RCFD3549	0
i. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT3550	NR
2. Amount of component	RCFD3550	0
j. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT3551	NR
2. Amount of component	RCFD3551	0
7. Total (sum of items 1 through 6) (must equal Schedule RC, item 11)	RCFD2160	8,976,110

Include accrued interest receivable on loans, leases, debt securities, and other interest-bearing assets. Exclude accrued interest receivables on financial assets that are reported elsewhere on
the balance sheet.

<sup>3.</sup> See discussion of deferred income taxes in Glossary entry on "income taxes."

Report interest-only strips receivable in the form of a security as available-for-sale securities in Schedule RC, item 2.b, or as trading assets in Schedule RC, item 5, as appropriate.

Include Federal Reserve stock, Federal Home Loan Bank stock, and bankers' bank stock.

## Schedule RC-G - Other Liabilities(Form Type - 031)

Dollar amounts in thousands

			-
1. Not available			1.
a. Interest accrued and unpaid on deposits in domestic offices <sup>6</sup>	RCON3645	4,794	1.a.
b. Other expenses accrued and unpaid (includes accrued income taxes payable)	RCFD3646	1,009,531	1.b.
2. Net deferred tax liabilities <sup>2</sup>	RCFD3049	8,156	2.
3. Allowance for credit losses on off-balance sheet credit exposures <sup>7</sup>	RCFDB557	188,236	3.
4. All other liabilities (itemize and describe amounts greater than \$100,000 that exceed 25 percent of this item)	RCFD2938	1,937,670	4.
a. Accounts payable	RCFD3066	0	4.a.
b. Deferred compensation liabilities	RCFDC011	0	4.b.
c. Dividends declared but not yet payable	RCFD2932	0	4.c.
d. Derivatives with a negative fair value held for purposes other than trading	RCFDC012	0	4.d.
e. Operating lease liabilities	RCFDLB56	560,832	4.e.
f. Disclose component and the dollar amount of that component:			4.f.
1. Describe component	TEXT3552	Click here for value	4.f.1.
2. Amount of component	RCFD3552	534,194	4.f.2.
g. Disclose component and the dollar amount of that component:			4.g.
1. Describe component	TEXT3553	NR	4.g.1
2. Amount of component	RCFD3553	0	4.g.2
h. Disclose component and the dollar amount of that component:			4.h.
1. Describe component	TEXT3554	NR	4.h.1
2. Amount of component	RCFD3554	0	4.h.2
5. Total	RCFD2930	3,148,387	5.

(TEXT3552) Commitments to fund low-income housing investments

<sup>6.</sup> For savings banks, include "dividends" accrued and unpaid on deposits.

<sup>2.</sup> See discussion of deferred income taxes in Glossary entry on "income taxes."

Institutions that have adopted ASU 2016-13 should report in Schedule RC-G, item 3 the allowance for credit losses on those off-balance sheet credit exposures that are not unconditionally cancelable.

## Schedule RC-H - Selected Balance Sheet Items for Domestic Offices(Form Type - 031)

To be completed only by banks with foreign offices.

#### Dollar amounts in thousands

1. Not applicable		
2. Not applicable		
3. Securities purchased under agreements to resell	RCONB989	0
4. Securities sold under agreements to repurchase	RCONB995	448,454
5. Other borrowed money	RCON3190	8,930,148
EITHER 6. Net due from own foreign offices, Edge and Agreement subsidiaries, and IBFs	RCON2163	482,553
OR 7. Net due to own foreign offices, Edge and Agreement subsidiaries, and IBFs	RCON2941	0
8. Total assets (excludes net due from foreign offices, Edge and Agreement subsidiaries, and IBFs)	RCON2192	204,885,246
9. Total liabilities (excludes net due to foreign offices, Edge and Agreement subsidiaries, and IBFs)	RCON3129	185,003,064

Dollar amounts in thousands	Dollar amounts in thousands (Column A) Amortized Cost of Held-to-Maturity Securities (Column B) Fair Available-for-Sale				
10. U.S. Treasury securities	RCON0211	0	RCON1287	2,093,132	10.
11. U.S. Government agency obligations (exclude mortgage-backed securities)	RCON8492	0	RCON8495	0	11.
12. Securities issued by states and political subdivisions in the U.S	RCON8496	3,789	RCON8499	2,643	12.
13. Mortgage-backed securities (MBS):					13.
a. Mortgage pass-through securities:					13.a.
1. Issued or guaranteed by FNMA, FHLMC, or GNMA	RCONG389	0	RCONG390	32,956,045	13.a.1.
2. Other mortgage pass-through securities	RCON1709	0	RCON1713	83	13.a.2.
b. Other mortgage-backed securities (include CMOs, REMICs, and stripped MBS):					13.b.
1. Issued or guaranteed by U.S. Government agencies or sponsored agencies <sup>1</sup>	RCONG393	0	RCONG394	5,856,788	13.b.1.
2. All other mortgage-backed securities	RCON1733	0	RCON1736	4,769,949	13.b.2.
14. Other domestic debt securities (include domestic structured financial products and domestic asset-backed securities)	RCONG397	0	RCONG398	6,335,704	14.
15. Other foreign debt securities (include foreign structured financial products and foreign asset-backed securities)	RCONG399	0	RCONG400	1,945	15.
16. Not applicable.					16.
17. Total held-to-maturity and available-for-sale debt securities (sum of items 10 through 15)	RCON1754	3,789	RCON1773	52,016,289	17.

18. Equity investments not held for trading:			18.
a. Equity securities with readily determinable fair values <sup>4</sup>	RCONJA22	29,045	18.a.
b. Equity investments without readily determinable fair values	RCON1752	1,106,765	18.b.
Items 19, 20 and 21 are to be completed by banks that reported total trading assets of \$10 million or more in any of the four preceding calendar quarters and all banks meeting the FDIC's definition of a large or highly complex institution for deposit insurance assessment purposes.	RCON3545	4,328,284	19.
19. Total trading assets			_
20. Total trading liabilities	RCON3548	4,268,677	20.
21. Total loans held for trading	RCONHT71	0	21.
tem 22 is to be completed by banks that: (1) have elected to report financial instruments or servicing assets and liabilities at fair value under a fair value option with changes in fair value recognized in earnings, or (2) are required to complete Schedule RC-D, Trading Assets and Liabilities.  22. Total amount of fair value option loans held for investment and held for sale	RCONJF75	1,539,415	22.

U.S. Government agencies include, but are not limited to, such agencies as the Government National Mortgage Association (GNMA), the Federal Deposit Insurance Corporation (FDIC), and
the National Credit Union Administration (NCUA). U.S. Government-sponsored agencies include, but are not limited to, such agencies as the Federal Home Loan Mortgage Corporation (FHLMC)
and the Federal National Mortgage Association (FNMA).

<sup>4.</sup> Item 18.a is to be completed by all institutions. See the instructions for this item and the Glossary entry for "Securities Activities" for further detail on accounting for investments in equity securities.

## Schedule RC-I - Assets and Liabilities of IBFs(Form Type - 031)

To be completed only by banks with IBFs and other "foreign" offices.

#### Dollar amounts in thousands

1. Total IBF assets of the consolidated bank (component of Schedule RC, item 12)	RCFN2133	NR	1.
2. Total IBF liabilities (component of Schedule RC, item 21)	RCFN2898	NR	2.

## Schedule RC-K - Quarterly Averages(Form Type - 031)

Dollar amounts in thousands			_
Interest-bearing balances due from depository institutions	RCFD3381	9,545,202	1.
2. U.S. Treasury securities and U.S. Government agency obligations (excluding mortgage-backed securities) <sup>2</sup>	RCFDB558	2,058,055	2.
3. Mortgage-backed securities <sup>2</sup>	RCFDB559	44,667,433	3.
4. All other debt securities and equity securities with readily determinable fair values not held for trading <sup>2</sup>	RCFDB560	6,501,312	4.
5. Federal funds sold and securities purchased under agreements to resell	RCFD3365	292	5.
S. Loans:			6.
a. Loans in domestic offices:			6.
1. Total loans	RCON3360	116,917,991	6.
2. Loans secured by real estate:			6.
a. Loans secured by 1-4 family residential properties	RCON3465	23,414,578	6.
b. All other loans secured by real estate	RCON3466	14,828,560	6.
3. Loans to finance agricultural production and other loans to farmers	RCON3386	23,457	6.
4. Commercial and industrial loans	RCON3387	51,135,830	6.
5. Loans to individuals for household, family, and other personal expenditures:			6.
a. Credit cards	RCONB561	1,711,625	6.
b. Other (includes revolving credit plans other than credit cards, automobile loans, and other consumer loans)	RCONB562	20,342,104	6.
b. Total loans in foreign offices, Edge and Agreement subsidiaries, and IBFs	RCFN3360	477,372	6.
em 7 is to be completed by banks with total trading assets of \$10 million or more in any of the four preceding calendar quarters and all anks meeting the FDIC's definition of a large or highly complex institution for deposit insurance assessment purposes.  Trading assets	RCFD3401	5,448,032	7.
Lease financing receivables (net of unearned income)	RCFD3484	2,839,758	8.
. Total assets <sup>4</sup>	RCFD3368	207,488,383	9.
Interest-bearing transaction accounts in domestic offices (interest-bearing demand deposits, NOW accounts, ATS accounts, and telephone and preauthorized transfer accounts)	RCON3485	49,908,743	10
Nontransaction accounts in domestic offices:			1
a. Savings deposits (includes MMDAs)	RCONB563	52,991,802	1
b. Time deposits of \$250,000 or less	RCONHK16	2,667,097	1
c. Time deposits of more than \$250,000	RCONHK17	188,726	1
2. Interest-bearing deposits in foreign offices, EDGE and Agreement subsidiaries, and IBFs	RCFN3404	138,605	12
3. Federal funds purchased and securities sold under agreements to repurchase	RCFD3353	880,245	1:
4. Other borrowed money (includes mortgage indebtedness and obligations under capitalized leases)	RCFD3355	5,391,414	14

Quarterly averages for all debt securities should be based on amortized cost.

<sup>2.</sup> Quarterly averages for all debt securities should be based on amortized cost.

<sup>4.</sup> The quarterly average for total assets should reflect securities not held for trading as follows: a) Debt securities at amortized cost, b) Equity securities with readily determinable fair values at fair value, c) Equity investments without readily determinable fair values, their balance sheet carrying values (i.e., fair value or, if elected, cost minus impairment, if any, plus or minus changes resulting from observable price changes).

## Schedule RC-L - Derivatives and Off-Balance Sheet Items(Form Type - 031)

Please read carefully the instructions for the preparation of Schedule RC-L. Some of the amounts reported in Schedule RC-L are regarded as volume indicators and not necessarily as measures of risk.

1. Unused commitments:			1.
a. Revolving, open-end lines secured by 1-4 family residential properties, i.e., home equity lines	RCFD3814	7,705,350	1.a.
Item 1.a.(1) is to be completed for the December report only.  1. Unused commitments for reverse mortgages outstanding that are held for investment in domestic offices	RCONHT72	NR	1.a.1.
b. Credit card lines (Sum of items 1.b.(1) and 1.b.(2) must equal item 1.b)	RCFD3815	11,648,061	1.b.
Items 1.b.(1) and 1.b.(2) are to be completed by banks with either \$300 million or more in total assets or \$300 million or more in credit card lines. (Sum of items 1.b.(1) and 1.b.(2) must equal item 1.b.)  Items 1.b.(1) and 1.b.(2) are to be completed semiannually in the June and December reports only.	RCFDJ455	9,231,692	1.b.1.
1. Unused consumer credit card lines			
2. Other unused credit card lines	RCFDJ456	2,416,369	1.b.2.
c. Commitments to fund commercial real estate, construction, and land development loans:			1.c.
1. Secured by real estate:			1.c.1.
a. 1-4 family residential construction loan commitments	RCFDF164	376,657	1.c.1.a
b. Commercial real estate, other construction loan, and land development loan commitments	RCFDF165	3,874,412	1.c.1.h
2. Not secured by real estate	RCFD6550	1,459,523	1.c.2.
d. Securities underwriting	RCFD3817	0	1.d.
e. Other unused commitments:			1.e.
1. Commercial and industrial loans	RCFDJ457	47,812,659	1.e.1.
2. Loans to financial institutions	RCFDJ458	2,103,870	1.e.2.
3. All other unused commitments	RCFDJ459	6,208,247	1.e.3.
Financial standby letters of credit and foreign office guarantees	RCFD3819	1,160,556	2.
Item 2.a is to be completed by banks with \$1 billion or more in total assets.	RCFD3820	6.452	2.0
a. Amount of financial standby letters of credit conveyed to others <sup>1</sup>	KCFD3620	0,432	2.a.
3. Performance standby letters of credit and foreign office guarantees	RCFD3821	894,914	3.
Item 3.a is to be completed by banks with \$1 billion or more in total assets.	RCFD3822	0	3.a.
a. Amount of performance standby letters of credit conveyed to others <sup>1</sup>	KCFD3022	ŭ	J.a.
4. Commercial and similar letters of credit	RCFD3411	3,873	4.
5. Not applicable			5.
6. Securities lent and borrowed:			6.
Securities lent (including customers' securities lent where the customer is indemnified against loss by the reporting bank)	RCFD3433	0	6.a.
b. Securities borrowed	RCFD3432	0	6.b.

Dollar amounts in thousands		Sold Protection		B) Purchased tection	
7. Credit derivatives:					7.
a. Notional amounts:					7.a.
1. Credit default swaps	RCFDC968	0	RCFDC969	0	7.a.
2. Total return swaps	RCFDC970	0	RCFDC971	0	7.a
3. Credit options	RCFDC972	0	RCFDC973	0	7.a
4. Other credit derivatives	RCFDC974	3,720,874	RCFDC975	1,532,226	7.a.
b. Gross fair values:					7.b.
1. Gross positive fair value	RCFDC219	0	RCFDC221	0	7.b.
2. Gross negative fair value	RCFDC220	7,843	RCFDC222	0	7.b.

		7.c.
		7.c.1.
RCFDG401	0	7.c.1.a.
RCFDG402	0	7.c.1.b.
		7.c.2.
RCFDG403	3,720,874	7.c.2.a.
RCFDG404	1,532,226	7.c.2.b.
RCFDG405	0	7.c.2.c.
	RCFDG403 RCFDG404	RCFDG402 0  RCFDG403 3,720,874  RCFDG404 1,532,226

Dollar amounts in thousands			Maturity of One Year or Maturity of Over One Year		Maturity of Over One Year Maturity of Over Fiv		ar Maturity of Over Five		
d. Notional amounts by remaining maturity:							7.d.		
1. Sold credit protection: <sup>2</sup>							7.d.1.		
a. Investment grade	RCFDG406	425,984	RCFDG407	1,074,875	RCFDG408	435,339	7.d.1.a.		
b. Subinvestment grade	RCFDG409	345,690	RCFDG410	909,983	RCFDG411	529,003	7.d.1.b.		
2. Purchased credit protection: <sup>3</sup>							7.d.2.		
a. Investment grade	RCFDG412	2,973	RCFDG413	217,212	RCFDG414	278,900	7.d2a.		
b. Subinvestment grade	RCFDG415	321,262	RCFDG416	517,944	RCFDG417	193,935	7.d2b.		

<sup>1.</sup> The asset-size tests and the \$300 million credit card lines test are based on the total assets and credit card lines reported in the June 30, 2018, Report of Condition.

<sup>1.</sup> The asset-size tests and the \$300 million credit card lines test are based on the total assets and credit card lines reported in the June 30, 2018, Report of Condition.

8. Spot foreign exchange contracts	RCFD8765	455,242	8.
9. All other off-balance sheet liabilities (exclude derivatives) (itemize and describe each component of this item over 25% of Schedule RC, item 27.a, "Total bank equity capital")	RCFD3430	0	9.
a. Not applicable			9.a
b. Commitments to purchase when-issued securities	RCFD3434	0	9.b
c. Standby letters of credit issued by another party (e.g., a Federal Home Loan Bank) on the bank's behalf	RCFDC978	0	9.c
d. Disclose component and the dollar amount of that component:			9.d
1. Describe component	TEXT3555	NR	9.d
2. Amount of component	RCFD3555	0	9.d
e. Disclose component and the dollar amount of that component:			9.e
1. Describe component	TEXT3556	NR	9.e
2. Amount of component	RCFD3556	0	9.e
f. Disclose component and the dollar amount of that component:			9.f.
(TEXT3557) NR	RCFD3557	0	9.f.
0. All other off-balance sheet assets (exclude derivatives) (itemize and describe each component of this item over 25% of Schedule RC, item 27.a, "Total bank equity capital")	RCFD5591	0	10.
a. Commitments to sell when-issued securities	RCFD3435	0	10
b. Disclose component and the dollar amount of that component:			10.
1. Describe component	TEXT5592	NR	10.
2. Amount of component	RCFD5592	0	10.
c. Disclose component and the dollar amount of that component:			10.
1. Describe component	TEXT5593	NR	10.
2. Amount of component	RCFD5593	0	10.
d. Disclose component and the dollar amount of that component:			10.
1. Describe component	TEXT5594	NR	10.
2. Amount of component	RCFD5594	0	10
e. Disclose component and the dollar amount of that component:			10.
1. Describe component	TEXT5595	NR	10.
2. Amount of component	RCFD5595	0	10.
tems 11.a and 11.b are to be completed semiannually in the June and December reports only.  1. Year-to-date merchant credit card sales volume:			11
a. Sales for which the reporting bank is the acquiring bank	RCFDC223	0	11.
b. Sales for which the reporting bank is the agent bank with risk	RCFDC224	0	11.

<sup>1.</sup> Sum of items 7.c.(1)(a) and 7.c.(2)(a), must equal sum of items 7.a.(1) through (4), column A. Sum of items 7.c.(1)(b), 7.c.(2)(b), and 7.c.(2)(c) must equal sum of items 7.a.(1) through (4), column B.

<sup>2.</sup> Sum of items 7.d.(1)(a) and (b), columns A through C, must equal sum of items 7.a.(1) through (4), column A.

<sup>3.</sup> Sum of items 7.d.(2)(a) and (b), columns A through C, must equal sum of items 7.a.(1) through (4), column B.

Dollar amounts in thousands	(Column A) Interest Rate Contracts		(Column B) Foreign Exchange Contracts		(Column C) Equity Derivative Contracts		(Column D)  S Commodity and Othe  Contracts		
12. Gross amounts (e.g., notional amounts):									12.
a. Futures contracts	RCFD8693	386,208	RCFD8694	0	RCFD8695	0	RCFD8696	1,685,365	12.a.
b. Forward contracts	RCFD8697	3,055,958	RCFD8698	4,960,758	RCFD8699	0	RCFD8700	0	12.b.
c. Exchange-traded option contracts:									12.c.
1. Written options	RCFD8701	0	RCFD8702	0	RCFD8703	0	RCFD8704	128,820	12c1.
2. Purchased options	RCFD8705	36,600	RCFD8706	0	RCFD8707	0	RCFD8708	110,607	12c2
d. Over-the-counter option contracts:									12.d.
1. Written options	RCFD8709	11,779,868	RCFD8710	4,501,667	RCFD8711	0	RCFD8712	2,658,408	12d1.
2. Purchased options	RCFD8713	18,073,209	RCFD8714	4,501,667	RCFD8715	0	RCFD8716	2,746,474	12d2
e. Swaps	RCFD3450	87,577,436	RCFD3826	10,883,404	RCFD8719	3,196,164	RCFD8720	7,830,124	12.e.
13. Total gross notional amount of derivative contracts held for trading	RCFDA126	74,450,667	RCFDA127	24,847,496	RCFD8723	0	RCFD8724	15,159,798	13.
14. Total gross notional amount of derivative contracts held for purposes other than trading	RCFD8725	46,458,612	RCFD8726	0	RCFD8727	3,196,164	RCFD8728	0	14.
Interest rate swaps where the bank has agreed to pay a fixed rate	RCFDA589	0							14.a.
15. Gross fair values of derivative contracts:									15.
a. Contracts held for trading:									15.a.
1. Gross positive fair value	RCFD8733	522,490	RCFD8734	534,377	RCFD8735	0	RCFD8736	2,781,963	15a1.
2. Gross negative fair value	RCFD8737	985,232	RCFD8738	481,845	RCFD8739	0	RCFD8740	2,591,022	15a2
b. Contracts held for purposes other than trading:									15.b.
1. Gross positive fair value	RCFD8741	120,554	RCFD8742	0	RCFD8743	0	RCFD8744	0	15b1.
2. Gross negative fair value	RCFD8745	68,902	RCFD8746	0	RCFD8747	198,856	RCFD8748	0	15b2

Dollar amounts in thousands	(Column A) Banks and Securities Firms	(Column B)	(Column C) Hedge Funds	(Column D) Sovereign Governments	(Column E) Corporations and All Other Counterparties	
Item 16 is to be completed only by banks with total assets of \$10 billion or more.						1
16. Over-the counter derivatives: <sup>1</sup>						16.
a. Net current credit exposure	RCFDG418 587,982		RCFDG420 0	RCFDG421 0	RCFDG422 2,027,399	16.a.
b. Fair value of collateral:						16.b.
1. Cash - U.S. dollar	RCFDG423 700,598		RCFDG425 0	RCFDG426 0	RCFDG427 19,061	16.b.1.
2. Cash - Other currencies	RCFDG428 0		RCFDG430 0	RCFDG431 0	RCFDG432 0	16.b.2.
3. U.S. Treasury securities	RCFDG433 0		RCFDG435 0	RCFDG436 0	RCFDG437 0	16.b.3.
4. U.S. Government agency and U.S. Government-sponsored agency debt securities	RCFDG438 0		RCFDG440 0	RCFDG441 0	RCFDG442 0	16.b.4.
5. Corporate bonds	RCFDG443 0		RCFDG445 0	RCFDG446 0	RCFDG447 0	16.b.5.
6. Equity securities	RCFDG448 0		RCFDG450 0	RCFDG451 0	RCFDG452 0	16.b.6.
7. All other collateral	RCFDG453 0		RCFDG455 0	RCFDG456 0	RCFDG457 1,500	16.b.7.
8. Total fair value of collateral (sum of items 16.b.(1) through (7))	RCFDG458 700,598		RCFDG460 0	RCFDG461 0	RCFDG462 20,561	16.b.8.

<sup>1.</sup> The \$10 billion asset-size test is based on the total assets reported on the June 30, 2018, Report of Condition.

## Schedule RC-M - Memoranda(Form Type - 031)

Dollar amounts in thousands		
1. Extensions of credit by the reporting bank to its executive officers, directors, principal shareholders, and their related interests as of the report date:		
a. Aggregate amount of all extensions of credit to all executive officers, directors, principal shareholders, and their related interests	RCFD6164	185,909
b. Number of executive officers, directors, and principal shareholders to whom the amount of all extensions of credit by the reporting bank (including extensions of credit to related interests) equals or exceeds the lesser of \$500,000 or 5 percent of total capital as defined for this purpose in agency regulations	RCFD6165	11
2. Intangible assets:		
a. Mortgage servicing assets	RCFD3164	1,581,963
Estimated fair value of mortgage servicing assets	RCFDA590	1,581,963
b. Goodwill	RCFD3163	4,823,041
c. All other intangible assets	RCFDJF76	194,045
d. Total (sum of items 2.a, 2.b, and 2.c) (must equal Schedule RC, item 10)	RCFD2143	6,599,049
. Other real estate owned:		
a. Construction, land development, and other land in domestic offices	RCON5508	0
b. Farmland in domestic offices	RCON5509	0
c. 1-4 family residential properties in domestic offices	RCON5510	4,621
d. Multifamily (5 or more) residential properties in domestic offices	RCON5511	0
e. Nonfarm nonresidential properties in domestic offices	RCON5512	10,207
f. In foreign offices	RCFN5513	0
g. Total (sum of items 3.a through 3.g) (must equal Schedule RC, item 7)	RCFD2150	14,828
. Cost of equity securities with readily determinable fair values not held for trading (the fair value of which is reported a Schedule RC, item 2.c) <sup>1</sup>	RCFDJA29	29,864
6. Other borrowed money:		
a. Federal Home Loan Bank advances:		
1. Advances with a remaining maturity or next repricing date of: <sup>1</sup>		
a. One year or less	RCFDF055	6,269,996
b. Over one year through three years	RCFDF056	1,647
c. Over three years through five years	RCFDF057	3,413
d. Over five years	RCFDF058	8,093
2. Advances with a remaining maturity of one year or less (included in item 5.a.(1)(a) above) <sup>2</sup>	RCFD2651	6,269,996
3. Structured advances (included in items 5.a.(1)(a) - (d) above)	RCFDF059	0
b. Other borrowings:		
Other borrowings with a remaining maturity or next repricing date of:		
a. One year or less	RCFDF060	840,158
b. Over one year through three years	RCFDF061	86,145
c. Over three years through five years	RCFDF062	1,505,290
d. Over five years	RCFDF063	215,751
2. Other borrowings with a remaining maturity of one year or less (included in item 5.b.(1)(a) above) <sup>4</sup>	RCFDB571	840,158
c. Total (sum of items 5.a.(1)(a)-(d) and items 5.b.(1)(a)-(d)) (must equal Schedule RC, item 16)	RCFD3190	8,930,493
Does the reporting bank sell private label or third party mutual funds and annuities?	RCFDB569	Yes
Assets under the reporting bank's management in proprietary mutual funds and annuities	RCFDB570	0
B. Internet Web site addresses and physical office trade names:		
a. Uniform Resource Locator (URL) of the reporting institution's primary Internet Web site (home page), if any (Example: www.examplebank.com):	TEXT4087	www.53.com

<sup>1.</sup> Item 4 is to be completed only by insured state banks that have been approved by the FDIC to hold grandfathered equity investments. See instructions for this item and the Glossary entry for "Securities Activities" for further detail on accounting for investments in equity securities.

<sup>1.</sup> Report fixed-rate advances by remaining maturity and floating-rate advances by next repricing date.

<sup>2.</sup> Report both fixed- and floating-rate advances by remaining maturity. Exclude floating-rate advances with a next repricing date of one year or less that have a remaining maturity of over one year.

<sup>3.</sup> Report fixed-rate other borrowings by remaining maturity and floating-rate other borrowings by next repricing date.

<sup>4.</sup> Report both fixed- and floating-rate other borrowings by remaining maturity. Exclude floating rate other borrowings with a next repricing date of one year or less that have a remaining maturity of over one year.

b. URLs of all other public-facing Internet Web sites that the reporting institution uses to accept or solicit deposits			
from the public, if any (Example: www.examplebank.biz): <sup>1</sup>			8.b.
1. URL 1	TE01N528	NR	8.b.1.
2. URL 2	TE02N528	NR	8.b.2.
3. URL 3	TE03N528	NR	8.b.3.
4. URL 4	TE04N528	NR	8.b.4.
5. URL 5	TE05N528	NR	8.b.5.
6. URL 6	TE06N528	NR	8.b.6.
7. URL 7	TE07N528	NR	8.b.7.
8. URL 8	TE08N528	NR	8.b.8.
9. URL 9	TE09N528	NR	8.b.9.
10. URL 10	TE10N528	NR	8.b.10.
c. Trade names other than the reporting institution's legal title used to identify one or more of the institution's physical offices at which deposits are accepted or solicited from the public, if any:			8.c.
1. Trade name 1	TE01N529	NR	8.c.1.
2. Trade name 2	TE02N529	NR	8.c.2.
3. Trade name 3	TE03N529	NR	8.c.3.
4. Trade name 4.	TE04N529	NR	8.c.4.
5. Trade name 5.	TE05N529	NR	8.c.5.
6. Trade name 6.	TE06N529		8.c.6.
Item 9 is to be completed annually in the December report only.			
9. Do any of the bank's Internet Web sites have transactional capability, i.e., allow the bank's customers to execute transactions on their accounts through the Web site?	RCFD4088	NR	9.
10. Secured liabilities:			10.
a. Amount of "Federal funds purchased in domestic offices" that are secured (included in Schedule RC, item     14.a)	RCONF064	0	10.a.
b. Amount of "Other borrowings" that are secured (included in Schedule RC-M, items 5.b.(1)(a) - (d))	RCFDF065	412,824	10.b.
11. Does the bank act as trustee or custodian for Individual Retirement Accounts, Health Savings Accounts, and other similar accounts?	RCONG463	Yes	11.
12. Does the bank provide custody, safekeeping, or other services involving the acceptance of orders for the sale or purchase of securities?	RCONG464	Yes	12.
13. Assets covered by loss-sharing agreements with the FDIC:			13.
a. Loans and leases (included in Schedule RC, items 4.a and 4.b):			13.a.
Loans secured by real estate in domestic offices:			13.a.1.
a. Construction, land development, and other land loans:			13.a.1.a.
1. 1-4 family residential construction loans	RCONK169	0	13.a.1.a.1.
Other construction loans and all land development and other land loans	RCONK170	0	13.a.1.a.2.
b. Secured by farmland	RCONK171	0	13.a.1.b.
c. Secured by 1-4 family residential properties:			13.a.1.c.
Revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit	RCONK172	0	13.a.1.c.1.
Closed-end loans secured by 1-4 family residential properties:			13.a.1.c.2.
a. Secured by first liens	RCONK173	0	13a1.c2a
b. Secured by junior liens	RCONK174	0	13a1.c2b
d. Secured by multifamily (5 or more) residential properties	RCONK175	0	13.a.1.d.
e. Secured by nonfarm nonresidential properties:			13.a.1.e.
Loans secured by owner-occupied nonfarm nonresidential properties	RCONK176	0	13.a.1.e.1.
Loans secured by other nonfarm nonresidential properties	RCONK177	0	13.a.1.e.2.
2. Not applicable			13.a.2.
3. Not applicable			13.a.3.
4. Not applicable			13.a.4.
5. All other loans and all leases	RCFDK183	0	13.a.5.

<sup>1.</sup> Report only highest level URLs (for example, report www.examplebank.biz, but do not also report www.examplebank.biz/checking). Report each top level domain name used (for example, report both www.examplebank.biz and www.examplebank.net).

Bollar amounts in thousands		
b. Other real estate owned (included in Schedule RC, item 7):		
Construction, land development, and other land in domestic offices	RCONK187	0
2. Farmland in domestic offices	RCONK188	0
3. 1-4 family residential properties in domestic offices	RCONK189	0
4. Multifamily (5 or more) residential properties in domestic offices	RCONK190	0
Nonfarm nonresidential properties in domestic offices	RCONK191	0
6. In foreign offices	RCFNK260	0
7. Portion of covered other real estate owned included in items 13.b.(1) through (6) above that is protected by FDIC loss-sharing agreements	RCFDK192	0
c. Debt securities (included in Schedule RC, items 2.a and 2.b)	RCFDJ461	0
d. Other assets (exclude FDIC loss-sharing indemnification assets)	RCFDJ462	0
ms 14.a and 14.b are to be completed annually in the December report only Captive insurance and reinsurance subsidiaries:		
a. Total assets of captive insurance subsidiaries <sup>2</sup>	RCFDK193	NR
b. Total assets of captive reinsurance subsidiaries <sup>2</sup>	RCFDK194	NR
m 15 is to be completed by institutions that are required or have elected to be treated as a Qualified Thrift Lender.  G. Qualified Thrift Lender (QTL) test:		
a. Does the institution use the Home Owners' Loan Act (HOLA) QTL test or the Internal Revenue Service Domestic Building and Loan Association (IRS DBLA) test to determine its QTL compliance? (for the HOLA QTL test, enter 1; for the IRS DBLA test, enter 2)	RCONL133	NR
b. Has the institution been in compliance with the HOLA QTL test as of each month end during the quarter or the IRS DBLA test for its most recent taxable year, as applicable?	RCONL135	NR
n 16.a and, if appropriate, items 16.b.(1) through 16.b.(3) are to be completed annually in the December report only.		
. International remittance transfers offered to consumers: <sup>1</sup>		
a. Estimated number of international remittance transfers provided by your institution during the calendar year ending on the report date	RCONN523	NR
Items 16.b.(1) through 16.b.(3) are to be completed by institutions that reported 501 or more international remittance transfers in item 16.a in either or both of the current report or the most recent prior report in which item 16.a was required to be completed.		
<ul> <li>Estimated dollar value of remittance transfers provided by your institution and usage of regulatory exceptions during the calendar year ending on the report date:</li> </ul>		
Estimated dollar value of international remittance transfers	RCONN524	NR
Estimated number of international remittance transfers for which your institution applied the permanent exchange rate exception	RCONMM07	NR
Sestimated number of international remittance transfers for which your institution applied the permanent covered third-party fee exception	RCONMQ52	NR
. U.S. Small Business Administration Paycheck Protection Program (PPP) loans and the Federal Reserve PPP quidity Facility (PPPLF): <sup>3</sup>		
a. Number of PPP loans outstanding	RCONLG26	6183
b. Outstanding balance of PPP loans	RCONLG27	371,157
c. Outstanding balance of PPP loans pledged to the PPPLF	RCONLG28	0
d. Outstanding balance of borrowings from Federal Reserve Banks under the PPPLF with a remaining maturity of:		
1. One year or less	RCONLL59	0
2. More than one year	RCONLL60	0
e. Quarterly average amount of PPP loans pledged to the PPPLF and excluded from "Total assets for the leverage ratio" reported in Schedule RC-R, Part I, item 30	RCONLL57	0
Money Market Mutual Fund Liquidity Facility (MMLF):		
		0
a. Outstanding balance of assets purchased under the MMLF      b. Quarterly average amount of assets purchased under the MMLF and excluded from "Total assets for the	RCONLL61	

<sup>2.</sup> Report total assets before eliminating intercompany transactions between the consolidated insurance or reinsurance subsidiary and other offices or consolidated subsidiaries of the reporting hank

<sup>1.</sup> Report information about international electronic transfers of funds offered to consumers in the United States that: (a) are "remittance transfers" as defined by subpart B of Regulation E (12 CFR § 1005.30(e)), or (b) would qualify as "remittance transfers" under subpart B of Regulation E (12 CFR § 1005.30(e)) but are excluded from that definition only because the provider is not providing those transfers in the normal course of its business. See 12 CFR § 1005.30(f). For purposes of this item 16, such trans

<sup>3.</sup> Paycheck Protection Program (PPP) covered loans as defined in sections 7(a)(36) and 7(a)(37) of the Small Business Act (15 U.S.C. 636(a)(36) and (37)). The PPP was established by Section 1102 of the 2020 Coronavirus Aid, Relief, and Economic Security Act.

## Schedule RC-N - Past Due and Nonaccrual Loans Leases and Other Assets(Form Type - 031)

Dollar amounts in thousands	through 89	) Past due 30 days and still ruing	days or m	) Past due 90 nore and still cruing			
1. Loans secured by real estate:							1.
<ul> <li>a. Construction, land development, and other land loans in domestic offices:</li> </ul>							1.a.
1. 1-4 family residential construction loans	RCONF172	257	RCONF174	0	RCONF176	543	1.a.1.
Other construction loans and all land development and other land loans	RCONF173	2,158	RCONF175	2,968	RCONF177	10,271	1.a.2.
b. Secured by farmland in domestic offices	RCON3493	0	RCON3494	0	RCON3495	165	1.b.
c. Secured by 1-4 family residential properties in domestic offices:							1.c.
Revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit	RCON5398	19,951	RCON5399	339	RCON5400	63,595	1.c.1.
2. Closed-end loans secured by 1-4 family residential properties:							1.c.2.
a. Secured by first liens	RCONC236	97,566	RCONC237	263,179	RCONC229	101,011	1.c2a
b. Secured by junior liens	RCONC238	1,599	RCONC239	1,660	RCONC230	4,954	1.c2.b.
d. Secured by multifamily (5 or more) residential properties in domestic offices	RCON3499	0	RCON3500	0	RCON3501	649	1.d.
e. Secured by nonfarm nonresidential properties in domestic offices:							1.e.
Loans secured by owner-occupied nonfarm nonresidential properties	RCONF178	10,000	RCONF180	0	RCONF182	32,237	1.e.1.
2. Loans secured by other nonfarm nonresidential properties	RCONF179	168	RCONF181	0	RCONF183	2,974	1.e.2
f. In foreign offices	RCFNB572	0	RCFNB573	0	RCFNB574	0	1.f.
Loans to depository institutions and acceptances of other banks:							2.
a. To U.S. banks and other U.S. depository institutions	RCFD5377	0	RCFD5378	0	RCFD5379	0	2.a.
b. To foreign banks	RCFD5380	0	RCFD5381	0	RCFD5382	0	2.b.
Loans to finance agricultural production and other loans to farmers	RCFD1594	0	RCFD1597	0	RCFD1583	0	3.
4. Commercial and industrial loans:							4.
a. To U.S. addressees (domicile)	RCFD1251	64,056	RCFD1252	6,519	RCFD1253	178,137	4.a.
b. To non-U.S. addressees (domicile)	RCFD1254	4,299	RCFD1255	0	RCFD1256	29,683	4.b.
5. Loans to individuals for household, family, and other personal expenditures:							5.
a. Credit cards	RCFDB575	16,539	RCFDB576	12,531	RCFDB577	22,683	5.a.
b. Automobile loans	RCFDK213	94,722	RCFDK214	8,402	RCFDK215	16,148	5.b.
c. Other (includes revolving credit plans other than credit cards and other consumer loans)	RCFDK216	25,467	RCFDK217	999	RCFDK218	4,022	5.c.
6. Loans to foreign governments and official institutions	RCFD5389	0	RCFD5390	0	RCFD5391	0	6.
7. All other loans	RCFD5459	39,184	RCFD5460	328	RCFD5461	70,213	7.
8. Lease financing receivables:							8.
a. Leases to individuals for household, family, and other personal expenditures	RCFDF166	0	RCFDF167	0	RCFDF168	0	8.a.
b. All other leases	RCFDF169	1,531	RCFDF170	31	RCFDF171	2,023	8.b.
9. Total loans and leases (sum of items 1 through 8.b)	RCFD1406	377,497	RCFD1407	296,956	RCFD1403	539,308	9.
10. Debt securities and other assets (exclude other real estate owned and other repossessed assets)	RCFD3505	0	RCFD3506	0	RCFD3507	0	10.
11. Loans and leases reported in items 1 through 8 above that are wholly or partially guaranteed by the U.S. Government, excluding loans and leases covered by loss-sharing agreements with the FDIC:	RCFDK036	113,457	RCFDK037	263,681	RCFDK038	21,128	11.
Guaranteed portion of loans and leases included in item 11 above, excluding rebooked "GNMA loans"	RCFDK039	68,965	RCFDK040	108,040	RCFDK041	15,496	11.a.
Rebooked "GNMA loans" that have been repurchased or are eligible for repurchase included in item 11 above	RCFDK042	44,445	RCFDK043	155,641	RCFDK044	0	11.b.
12. Loans and leases reported in items 1 through 8 above that are covered by loss-sharing agreements with the FDIC:							12.
a. Loans secured by real estate in domestic offices:							12.a.
1. Construction, land development, and other land loans:							12.a.1
a. 1-4 family residential construction loans	RCONK045	0	RCONK046	0	RCONK047	0	12a1a

Dollar amounts in thousands		) Past due 30 days and still ruing	days or m	) Past due 90 ore and still ruing	(Column C) Nonaccrual		
b. Other construction loans and all land development and other	RCONK048	0	RCONK049	0	RCONK050	0	) 12
land loans	RCONK051	0	RCONK052	0		0	) 1:
2. Secured by farmland	RCONKUST	U	RCONK052	U	RCONKU53	U	1:
Secured by 1-4 family residential properties:     a. Revolving, open-end loans secured by 1-4 family residential							١.
properties and extended under lines of credit	RCONK054	0	RCONK055	0	RCONK056	0	12
b. Closed-end loans secured by 1-4 family residential properties:							1
1. Secured by first liens	RCONK057	0	RCONK058	0	RCONK059	0	1
2. Secured by junior liens	RCONK060	0	RCONK061	0	RCONK062	0	) 1
4. Secured by multifamily (5 or more) residential properties	RCONK063	0	RCONK064	0	RCONK065	0	) 1
5. Secured by nonfarm nonresidential properties:							1
a. Loans secured by owner-occupied nonfarm nonresidential properties	RCONK066	0	RCONK067	0	RCONK068	0	) 1
b. Loans secured by other nonfarm nonresidential properties	RCONK069	0	RCONK070	0	RCONK071	0	) 1
b. Not applicable							1
c. Not applicable							1
d. Not applicable							1
e. All other loans and all leases	RCFDK087	0	RCFDK088	0	RCFDK089	0	1
f. Portion of covered loans and leases included in items 12.a through 12.e above that is protected by FDIC loss-sharing agreements	RCFDK102	0	RCFDK103	0	RCFDK104	0	) 1
Loans restructured in troubled debt restructurings included in Schedule C-N, items 1 through 7, above (and not reported in Schedule RC-C, Part 1, emorandum item 1):							ı
a. Construction, land development, and other land loans in domestic offices:							,
1. 1-4 family residential construction loans	RCONK105	120	RCONK106	0	RCONK107	328	3 1
Other construction loans and all land development and other land							┨
loans	RCONK108	501	RCONK109	0	RCONK110	1,766	֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֓֡֓֓֓֓֓֡֓֓֡֓֡
b. Loans secured by 1-4 family residential properties in domestic offices	RCONF661	25,346	RCONF662	66,040	RCONF663	83,426	j N
c. Secured by multifamily (5 or more) residential properties in domestic offices	RCONK111	0	RCONK112	0	RCONK113	0	)
d. Secured by nonfarm nonresidential properties in domestic offices:							١
Loans secured by owner-occupied nonfarm nonresidential properties	RCONK114	0	RCONK115	0	RCONK116	23,007	7 1
Loans secured by other nonfarm nonresidential properties	RCONK117	0	RCONK118	0	RCONK119	2,588	3 1
e. Commercial and industrial loans:							N
1. To U.S. addressees (domicile)	RCFDK120	116	RCFDK121	0	RCFDK122	120,184	1
2. To non-U.S. addressees (domicile)	RCFDK123	0	RCFDK124	0	RCFDK125		)
f. All other loans (include loans to individuals for household, family, and other personal expenditures)	RCFDK126	8,891	RCFDK127	14	RCFDK128	104,890	)
Itemize loan categories included in Memorandum item 1.f, above that exceed 10 percent of total loans restructured in troubled debt restructurings that are past due 30 days or more or in nonaccrual status (sum of Memorandum items 1.a through 1.f. columns A through C):	RCONK130	0	RCONK131	0	RCONK132	0	) )
Loans secured by farmland in domestic offices							
2. Not applicable							ľ
Loans to finance agricultural production and other loans to farmers	RCFDK138	0	RCFDK139	0	RCFDK140	0	1
<ol><li>Loans to individuals for household, family, and other personal expenditures:</li></ol>							,
a. Credit cards	RCFDK274	0	RCFDK275	0	RCFDK276	0	) (
b. Automobile loans	RCFDK277	0	RCFDK278	0	RCFDK279	0	1
c. Other (includes revolving credit plans other than credit cards	RCFDK280	0	RCFDK281	0	RCFDK282	0	)
and other consumer loans)	RCFDHK26	34,974	RCFDHK27	66,054	RCFDHK28	336,189	} !

Dollar amounts in thousands	(Column A) Past due 30 through 89 days and still accruing		days or m	) Past due 90 ore and still ruing	(Column C	) Nonaccrual	
Loans to finance commercial real estate, construction, and land development activities (not secured by real estate) included in Schedule RC-N, items 4 and 7, above	RCFD6558	166	RCFD6559	0	RCFD6560	22,958	M.2
Loans secured by real estate to non-U.S. addressees (domicile) (included in Schedule RC-N, item 1, above)	RCFD1248	490	RCFD1249	75	RCFD1250	378	М.3
4. Not applicable							M.4
5. Loans and leases held for sale (included in Schedule RC-N, items 1 through 8, above)	RCFDC240	12,541	RCFDC241	43,146	RCFDC226	0	M.5

Dollar amounts in thousands	(Column A) Past due 30 through 89 days		l, ,	st due 90 days or nore	
6. Derivative contracts: Fair value of amounts carried as assets	RCFD3529	0	RCFD3530	0	M.6.

Memorandum items 7, 8, 9.a, and 9.b are to be completed semiannually in the June and December reports only.  7. Additions to nonaccrual assets during the previous six months	RCFDC410	263,759	M.7.
8. Nonaccrual assets sold during the previous six months	RCFDC411	47,534	M.8.

Dollar amounts in thousands	through 89 days and still		`days or m	) Past due 90 lore and still cruing	(Column C	) Nonaccrual	
<ol> <li>Purchased credit-impaired loans accounted for in accordance with FASB ASC 310-30 (former AICPA Stament of Position 03-3):<sup>2</sup></li> </ol>							M.9.
a. Outstanding balance	RCFDL183	NR	RCFDL184	NR	RCFDL185	NR	M.9.a
b. Amount included in Schedule RC-N, items 1 through 7, above	RCFDL186	NR	RCFDL187	NR	RCFDL188	NR	M.9.b

## Schedule RC-O - Other Data for Deposit Insurance and FICO Assessments(Form Type - 031)

All FDIC-insured depository institutions must complete items 1 through 9, 10, and 11, Memorandum item 1, and, if applicable, item 9.a, Memorandum items 2, 3, and 6 through 18 each quarter. Unless otherwise indicated, complete items 1 through 11 and Memorandum items 1 through 3 on an "unconsolidated single FDIC certificate number basis" (see instructions) and complete Memorandum items 6 through 18 on a fully consolidated basis.

Dollar amounts in thousands		
. Total deposit liabilities before exclusions (gross) as defined in Section 3(I) of the Federal Deposit Insurance Act and DIC regulations	RCFDF236	192,929,134
. Total allowable exclusions, including interest accrued and unpaid on allowable exclusions (including foreign eposits)	RCFDF237	176,754
. Total foreign deposits, including interest accrued and unpaid thereon (included in item 2 above)	RCFNF234	176,754
. Average consolidated total assets for the calendar quarter	RCFDK652	207,488,383
a. Averaging method used (for daily averaging, enter 1; for weekly averaging, enter 2)	RCFDK653	1
Average tangible equity for the calendar quarter <sup>1</sup>	RCFDK654	17,371,255
Holdings of long-term unsecured debt issued by other FDIC-insured depository institutions	RCFDK655	8,643
Unsecured "Other borrowings" with a remaining maturity of (sum of items 7.a through 7.d must be less than or equal Schedule RC-M, items 5.b.(1)(a)-(d) minus item 10.b):		
a. One year or less	RCFDG465	825,164
b. Over one year through three years	RCFDG466	1,360
c. Over three years through five years	RCFDG467	1,357,708
d. Over five years	RCFDG468	50,288
Subordinated notes and debentures with a remaining maturity of (sum of items 8.a through 8.d must equal Schedule C, item 19):		
a. One year or less	RCFDG469	0
b. Over one year through three years	RCFDG470	0
c. Over three years through five years	RCFDG471	748,540
d. Over five years	RCFDG472	172,461
Brokered reciprocal deposits (included in Schedule RC-E, Part I, Memorandum item 1.b)	RCONG803	0
Item 9.a is to be completed on a fully consolidated basis by all institutions that own another insured depository institution.	RCONL190	NR
a. Fully consolidated brokered reciprocal deposits      Banker's bank certification: Does the reporting institution meet both the statutory definition of a banker's bank and e business conduct test set forth in FDIC regulations? If the answer to item 10 is "YES," complete items 10.a and 0.b.	RCFDK656	No
If the answer to item 10 is "YES," complete items 10.a and 10.b. a. Banker's bank deduction	RCFDK657	NR
b. Banker's bank deduction limit	RCFDK658	NR
Custodial bank certification: Does the reporting institution meet the definition of a custodial bank set forth in FDIC gulations? If the answer to item 11 is "YES," complete items 11.a and 11.b	RCFDK659	Yes
If the answer to item 11 is "YES," complete items 11.a and 11.b. a. Custodial bank deduction	RCFDK660	37,654,708
b. Custodial bank deduction limit	RCFDK661	3,797,009
. Total deposit liabilities of the bank (including related interest accrued and unpaid) less allowable exclusions (including elated interest accrued and unpaid) (sum of Memorandum items 1.a.(1), 1.b.(1), 1.c.(1), and 1.d.(1) must equal chedule RC-O, item 1 less item 2):		
a. Deposit accounts (excluding retirement accounts) of \$250,000 or less: <sup>1</sup>		
Amount of deposit accounts (excluding retirement accounts) of \$250,000 or less	RCONF049	77,550,203
2. Number of deposit accounts (excluding retirement accounts) of \$250,000 or less	RCONF050	6115666
b. Deposit accounts (excluding retirement accounts) of more than \$250,000: <sup>1</sup>		
Amount of deposit accounts (excluding retirement accounts) of more than \$250,000	RCONF051	112,871,114
2. Number of deposit accounts (excluding retirement accounts) of more than \$250,000	RCONF052	62752
c. Retirement deposit accounts of \$250,000 or less: <sup>1</sup>		
Amount of retirement deposit accounts of \$250,000 or less	RCONF045	2,288,331
2. Number of retirement deposit accounts of \$250,000 or less	RCONF046	387776
d. Retirement deposit accounts of more than \$250,000: <sup>1</sup>		

<sup>1.</sup> See instructions for averaging methods. For deposit insurance assessment purposes, tangible equity is defined as Tier 1 capital as set forth in the banking agencies' regulatory capital standards and reported in Schedule RC-R, Part I, item 26, except as described in the instructions.

<sup>1.</sup> The dollar amounts used as the basis for reporting in Memorandum items 1.a through 1.d reflect the deposit insurance limits in effect on the report date.

Donar amounts in thousands			_
1. Amount of retirement deposit accounts of more than \$250,000	RCONF047	42,732	2 M
2. Number of retirement deposit accounts of more than \$250,000	RCONF048	115	M
demorandum item 2 is to be completed by banks with \$1 billion or more in total assets.  Estimated amount of uninsured deposits in domestic offices of the bank and in insured branches in Puerto Rico and	RCON5597	98,738,232	2 M
.S. territories and possessions, including related interest accrued and unpaid (see instructions) <sup>3</sup>			
Has the reporting institution been consolidated with a parent bank or savings association in that parent bank's or arent savings association's Call Report? If so, report the legal title and FDIC Certificate Number of the parent bank parent savings association:			М
a. Legal title	TEXTA545	NR	₹ м
b. FDIC Certificate Number	RCONA545	0	М
Dually payable deposits in the reporting institution's foreign branches	RCFNGW43	0	M
lemorandum items 5 through 12 are to be completed by "large institutions" and "highly complex institutions" as defined in FDIC regulations.			1
. Applicable portion of the CECL transitional amount or modified CECL transitional amount that has been added to etained earnings for regulatory capital purposes as of the current report date and is attributable to loans and leases eld for investment	RCFDMW53	362,211	M
Criticized and classified items:			М
a. Special mention	RCFDK663	CONF	₽м
b. Substandard	RCFDK664	CONF	М
c. Doubtful	RCFDK665	CONF	= м
d. Loss	RCFDK666	CONF	= N
."Nontraditional 1-4 family residential mortgage loans" as defined for assessment purposes only in FDIC regulations:			N
a. Nontraditional 1-4 family residential mortgage loans	RCFDN025	CONF	- №
b. Securitizations of nontraditional 1-4 family residential mortgage loans	RCFDN026	CONF	=   N
"Higher-risk consumer loans" as defined for assessment purposes only in FDIC regulations:			N
a. Higher-risk consumer loans	RCFDN027	CONF	- ~
b. Securitizations of higher-risk consumer loans	RCFDN028	CONF	=   ~
. "Higher-risk commercial and industrial loans and securities" as defined for assessment purposes only in FDIC egulations:			N
a. Higher-risk commercial and industrial loans and securities	RCFDN029	CONF	- №
b. Securitizations of higher-risk commercial and industrial loans and securities	RCFDN030	CONF	- N
O. Commitments to fund construction, land development, and other land loans secured by real estate for the onsolidated bank:			м
a. Total unfunded commitments	RCFDK676	3,695,806	j M
b. Portion of unfunded commitments guaranteed or insured by the U.S. government (including the FDIC)	RCFDK677	1,926	۷ا
1. Amount of other real estate owned recoverable from the U.S. government under guarantee or insurance provisions excluding FDIC loss-sharing agreements)	RCFDK669	399	) N
Nonbrokered time deposits of more than \$250,000 in domestic offices (included in Schedule RC-E, Memorandum em 2.d)	RCONK678	158,326	) N
femorandum item 13.a is to be completed by "large institutions" and "highly complex institutions" as defined in FDIC regulations.  femorandum items 13.b through 13.h are to be completed by "large institutions" only.  3. Portion of funded loans and securities in domestic and foreign offices guaranteed or insured by the U.S. government and polytical EDIC loans observed accompanies.			М
ncluding FDIC loss-sharing agreements):  a. Construction, land development, and other land loans secured by real estate	RCFDN177	12,119	) M
·	RCFDN178	99,172	4
b. Loans secured by multifamily residential and nonfarm nonresidential properties	RCFDN179	2,378,217	4
c. Closed-end loans secured by first liens on 1-4 family residential propertiesd. Closed-end loans secured by junior liens on 1-4 family residential properties and revolving, open-end loans			-
secured by 1-4 family residential properties and extended under lines of credit	RCFDN180	4,650	4
e. Commercial and industrial loans	RCFDN181	459,568	4
f. Credit card loans to individuals for household, family, and other personal expenditures	RCFDN182		) N
g. All other loans to individuals for household, family, and other personal expenditures	RCFDN183		) N
h. Non-agency residential mortgage-backed securities	RCFDM963	0	) N
	RCFDK673	CONF	- N
flemorandum items 14 and 15 are to be completed by "highly complex institutions" as defined in FDIC regulations. 4. Amount of the institution's largest counterparty exposure	KCFDK073		1

RCFDL189	210,441	M.16.
		M.17.
RCFDL194	NR	M.17.a.
RCFDL195	NR	M.17.b.
RCFDL196	NR	M.17.c.
RCONL197	NR	M.17.d.
	RCFDL194 RCFDL195 RCFDL196	RCFDL194 NR RCFDL195 NR RCFDL196 NR

Dollar amounts in thousands			Probability	Probability of Default (PD)	Probability	Probability of Default (PD)	Probability of Default (PD)	H) Two-Year Probability of Default (PD)	of Default (PD) 20.01–22%	J) Two-Year Probability	Probability of Default (PD)			Probability	(Column O) PDs Were Derived Using	
18. Outstanding balance of 1-4 family residential mortgage loans, consumer loans, and consumer leases by two-year probability of default:	1%	1.01-4%	4.01-1%	7.01-10%	10.01-14%	14.01-16%	16.01-16%	18.01-20%		22.01-26%	26.01-30%	30%	Oriscoreable			M18.
a. "Nontraditional 1-4 family residential mortgage loans" as defined for assessment purposes only in FDIC regulations	RCFDM964 CONF	RCFDM965 CONF	RCFDM966 CONF	RCFDM967 CONF	RCFDM968 CONF	RCFDM969 CONF	RCFDM970 CONF		RCFDM972 CONF	RCFDM973 CONF	RCFDM974 CONF	RCFDM975 CONF	RCFDM976 CONF	RCFDM977 CONF	RCFDM978 CONF	
b. Closed-end loans secured by first liens on 1-4 family residential properties	RCFDM979 CONF	RCFDM980 CONF	RCFDM981 CONF	RCFDM982 CONF	RCFDM983 CONF	RCFDM984 CONF	RCFDM985 CONF			RCFDM988 CONF	RCFDM989 CONF		RCFDM991 CONF	RCFDM992 CONF		M18b
c. Closed-end loans secured by junior liens on 1-4 family residential properties	RCFDM994 CONF	RCFDM995 CONF	RCFDM996 CONF	RCFDM997 CONF	RCFDM998 CONF	RCFDM999 CONF	RCFDN001 CONF		RCFDN003 CONF	RCFDN004 CONF	RCFDN005 CONF	RCFDN006 CONF	RCFDN007 CONF	RCFDN008 CONF	RCFDN009 CONF	
d. Revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit	RCFDN010 CONF	RCFDN011 CONF	RCFDN012 CONF	RCFDN013 CONF	RCFDN014 CONF	RCFDN015 CONF	RCFDN016 CONF		RCFDN018 CONF	RCFDN019 CONF	RCFDN020 CONF	RCFDN021 CONF	RCFDN022 CONF	RCFDN023 CONF	RCFDN024 CONF	
e. Credit cards	RCFDN040 CONF	RCFDN041 CONF	RCFDN042 CONF	RCFDN043 CONF	RCFDN044 CONF	RCFDN045 CONF	RCFDN046 CONF		RCFDN048 CONF	RCFDN049 CONF	RCFDN050 CONF	RCFDN051 CONF	RCFDN052 CONF	RCFDN053 CONF	RCFDN054 CONF	M18e
f. Automobile loans	RCFDN055 CONF	RCFDN056 CONF	RCFDN057 CONF	RCFDN058 CONF	RCFDN059 CONF	RCFDN060 CONF	RCFDN061 CONF		RCFDN063 CONF	RCFDN064 CONF	RCFDN065 CONF		RCFDN067 CONF	RCFDN068 CONF	RCFDN069 CONF	M18f
g. Student loans	RCFDN070 CONF	RCFDN071 CONF	RCFDN072 CONF	RCFDN073 CONF	RCFDN074 CONF	RCFDN075 CONF	CONF	CONF		CONF	CONF	CONF	RCFDN082 CONF	CONF	CONF	
h. Other consumer loans and revolving credit plans other than credit cards	RCFDN085 CONF	CONF	CONF	RCFDN088 CONF	CONF	CONF	CONF	CONF	RCFDN093 CONF	CONF	CONF	CONF	CONF	CONF	CONF	
i. Consumer leases	RCFDN100 CONF	RCFDN101 CONF	RCFDN102 CONF	RCFDN103 CONF	RCFDN104 CONF	RCFDN105 CONF	RCFDN106 CONF	RCFDN107 CONF	RCFDN108 CONF	RCFDN109 CONF	RCFDN110 CONF	RCFDN111 CONF	RCFDN112 CONF	RCFDN113 CONF	RCFDN114 CONF	M18i
j. Total	RCFDN115 CONF	RCFDN116 CONF	RCFDN117 CONF	RCFDN118 CONF	RCFDN119 CONF	RCFDN120 CONF			RCFDN123 CONF	RCFDN124 CONF	RCFDN125 CONF		RCFDN127 CONF	RCFDN128 CONF		M18j.

RCONM288

**8,643** 7.c.

# Schedule RC-P - 1-4 Family Residential Mortgage Banking Activities in Domestic Offices(Form Type - 031)

Schedule RC-P is to be completed by banks at which either 1-4 family residential mortgage loan originations and purchases for resale from all sources, loan sales, or quarter-end loans held for sale or trading in domestic offices exceed \$10 million for two consecutive quarters.

Dollar amounts in thousands			
Retail originations during the quarter of 1-4 family residential mortgage loans for sale <sup>1</sup>	RCONHT81	652,088	1.
2. Wholesale originations and purchases during the quarter of 1-4 family residential mortgage loans for sale <sup>2</sup>	RCONHT82	2,375,048	2.
3. 1-4 family residential mortgage loans sold during the quarter	RCONFT04	3,102,610	3.
4. 1-4 family residential mortgage loans held for sale or trading at quarter-end (included in Schedule RC, items 4.a and 5)	RCONFT05	2,538,496	4.
5. Noninterest income for the quarter from the sale, securitization, and servicing of 1-4 family residential mortgage loans (included in Schedule RI, items 5.c, 5.f, 5.g, and 5.i)	RIADHT85	176,480	5.
6. Repurchases and indemnifications of 1-4 family residential mortgage loans during the quarter	RCONHT86	13,524	6.
7. Representation and warranty reserves for 1-4 family residential mortgage loans sold:			7.
a. For representations and warranties made to U.S. government agencies and government-sponsored agencies	RCONL191	CONF	7.a.
b. For representations and warranties made to other parties	RCONL192	CONF	7.b.

# Schedule RC-Q - Assets and Liabilities Measured at Fair Value on a Recurring Basis(Form Type - 031)

c. Total representation and warranty reserves (sum of items 7.a and 7.b).....

Schedule RC-Q is to be completed by banks that:

(1) Have elected to report financial instruments or servicing assets and liabilities at fair value under a fair value option with changes in fair value recognized in earnings, or (2) Are required to complete Schedule RC-D, Trading Assets and Liabilities.

Della constanti di constanti	(Column A)Total Fair Value Reported on Schedule RC	LESS: Amounts Netted in the Determination of	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	(Column E) Level 3 Fair Value Measurements	
Dollar amounts in thousands		Total Fair Value				
Available-for-sale debt securities and equity securities with readily determinable fair values not held for trading <sup>1</sup>	RCFDJA36 52,045,334	RCFDG474 0	RCFDG475 2,112,292	RCFDG476 49,933,042	RCFDG477 0	1.
Federal funds sold and securities purchased under agreements to resell	RCFDG478 0	RCFDG479 0	RCFDG480 0	RCFDG481 0	RCFDG482 0	2.
3. Loans and leases held for sale	RCFDG483 1,406,029	RCFDG484 0	RCFDG485 0	RCFDG486 1,406,029	RCFDG487 0	3.
4. Loans and leases held for investment	RCFDG488 133,386	RCFDG489 0	RCFDG490 0	RCFDG491 0	RCFDG492 133,386	4.
5. Trading assets:						5.
a. Derivative assets	RCFD3543 3,839,050	RCFDG493 0	RCFDG494 49,839	RCFDG495 3,776,672	RCFDG496 12,539	5.a.
b. Other trading assets	RCFDG497 489,235	RCFDG498 0	RCFDG499 205,666	RCFDG500 283,569	RCFDG501 0	5.b.
Nontrading securities at fair value with changes in fair value reported in current earnings (included in Schedule RC-Q, item 5.b, above)	RCFDF240	RCFDF684	RCFDF692	RCFDF241	RCFDF242	5.b.1.
6. All other assets	RCFDG391 1,702,515	RCFDG392 0	RCFDG395 10,819	RCFDG396 105,526	RCFDG804 1,586,170	6.
7. Total assets measured at fair value on a recurring basis (sum of items 1 through 5.b plus item 6)	RCFDG502 59,615,549	RCFDG503 0	RCFDG504 2,378,616	RCFDG505 55,504,838	RCFDG506 1,732,095	7
8. Deposits	RCFDF252 0	RCFDF686 0	RCFDF694 0	RCFDF253 0	RCFDF254 0	8.
Federal funds purchased and securities sold under agreements to repurchase	RCFDG507	RCFDG508 0	RCFDG509 0	RCFDG510 0	RCFDG511 0	9.
10. Trading liabilities:						10.
a. Derivative liabilities	RCFD3547 4,066,155	RCFDG512 0	RCFDG513 519,204	RCFDG514 3,537,851	RCFDG515 9,100	10.a.
b. Other trading liabilities	RCFDG516 202,522	RCFDG517	RCFDG518 61,467	RCFDG519 141,055	RCFDG520 0	10.b.

<sup>1.</sup> Exclude originations and purchases of 1–4 family residential mortgage loans that are held for investment.

<sup>1.</sup> The amount reported in item 1, column A, must equal the sum of Schedule RC, items 2.b and 2.c.

	(Column A) Total Fair Value Reported on Schedule RC	(Column B) LESS: Amounts Netted in the Determination of	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	(Column E) Level 3 Fair Value Measurements	
Dollar amounts in thousands		Total Fair Value	inododi omonto	inododi omonio	modour ornonto	
11. Other borrowed money	RCFDG521 0	RCFDG522 0	RCFDG523 0	RCFDG524 0	RCFDG525 0	11.
12. Subordinated notes and debentures	RCFDG526 0	RCFDG527 0	RCFDG528 0	RCFDG529 0	RCFDG530 0	12.
13. All other liabilities	RCFDG805 267,759	RCFDG806 0	RCFDG807 9,358	RCFDG808 59,545	RCFDG809 198,856	13.
14. Total liabilities measured at fair value on a recurring basis (sum of items 8 through 13)	RCFDG531 4,536,436	RCFDG532 0	RCFDG533 590,029	RCFDG534 3,738,451	RCFDG535 207,956	14.
1. All other assets (itemize and describe amounts included in Schedule RC-Q, item 6, that are greater than \$100,000 and exceed 25% of item 6):						М.
a. Mortgage servicing assets	RCFDG536 1,581,963	RCFDG537	RCFDG538	RCFDG539 0	RCFDG540 1,581,963	М.

Dollar amounts in thousands	(Column A) Total Fair Value Reported on Schedule RC	(Column B) LESS: Amounts Netted in the Determination of Total Fair Value	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	Level 3 Fair Value	
b. Nontrading derivative assets	RCFDG541 120,552	RCFDG542	RCFDG543 10,819	RCFDG544 105,520	RCFDG545 6 4,207	M.1.b
5. Hollindaling dollrative decore	120,002		10,010	100,02	<u>,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,</u>	J
	Dollar	amounts in the	ousands			
c. Disclose component and the dollar amount of that component:						M.1.c.
1. Describe component			TE	XTG546	NR	M.1.c.1
Dollar amounts in thousands	(Column A) Total Fair Value Reported on Schedule RC	(Column B) LESS: Amounts Netted in the Determination of Total Fair Value	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	(Column E) Level 3 Fair Value Measurements	
2. Amount of component	RCFDG546	RCFDG547 0	RCFDG548	RCFDG549	RCFDG550 0 0	M.1.c.
	Dollar	amounts in the	ousands			
d. Disclose component and the dollar amount of that component:						M.1.d.
1. Describe component			TE	XTG551	NR	M.1.d.1
Dollar amounts in thousands	(Column A) Total Fair Value Reported on Schedule RC	(Column B) LESS: Amounts Netted in the Determination of Total Fair Value	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	(Column E) Level 3 Fair Value Measurements	
2. Amount of component	RCFDG551	RCFDG552	RCFDG553	RCFDG554	RCFDG555	M.1.d
<b>,</b>	Dollar	amounts in the				J
e. Disclose component and the dollar amount of that component:						M.1.e.
1. Describe component			TE	XTG556	NR	M.1.e.
Dollar amounts in thousands	(Column A) Total Fair Value Reported on Schedule RC	(Column B) LESS: Amounts Netted in the Determination of Total Fair Value	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	(Column E) Level 3 Fair Value Measurements	
2. Amount of component	RCFDG556	RCFDG557	RCFDG558	RCFDG559	RCFDG560 0 0	M.1.e
·	Dollar	amounts in the	ousands	•	1	T
f. Disclose component and the dollar amount of that component:				VTOES		M.1.f.
1. Describe component			TE	XTG561	NR	M.1.f.

1. Describe component

(TEXTG586) NR

M.2.f.1.

Dollar amounts in thousands	(Column A) Total Fair Value Reported on Schedule RC	(Column B) LESS: Amounts Netted in the Determination of Total Fair Value	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	(Column E) Level 3 Fair Value Measurements
2. Amount of component	RCFDG561	RCFDG562	RCFDG563	RCFDG564	RCFDG565
Amount of component	0		U	0	U
a. Loan commitments (not accounted for as derivatives)	RCFDF261 0	_			
b. Nontrading derivative liabilities	RCFDG566 267,759	RCFDG567 0	RCFDG568 9,358	RCFDG569 59,545	RCFDG570 198,856
	Dollar	amounts in tho	ousands		
c. Disclose component and the dollar amount of that component:		-			М
Describe component			TEX	KTG571	NR M
Dollar amounts in thousands	(Column A) Total Fair Value Reported on Schedule RC	(Column B) LESS: Amounts Netted in the Determination of Total Fair Value	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	(Column E) Level 3 Fair Value Measurements
2. Amount of component	RCFDG571	RCFDG572	RCFDG573	RCFDG574	RCFDG575
1. Describe component	(Column A) Total Fair Value Reported on Schedule RC	(Column B) LESS: Amounts Netted in the Determination of	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	(Column E) Level 3 Fair Value Measurements
Dollar amounts in thousands	RCFDG576	Total Fair Value RCFDG577	RCFDG578	RCFDG579	RCFDG580
2. Amount of component	0		0		
					0
	Dollar	amounts in tho	ousands		
,		amounts in tho			м
· · · · · · · · · · · · · · · · · · ·		amounts in tho		KTG581	
,	(Column A) Total Fair Value Reported on Schedule RC	(Column B) LESS: Amounts Netted in the Determination of Total Fair Value		(Column D) Level 2 Fair Value Measurements	м
e. Disclose component and the dollar amount of that component:  1. Describe component  Dollar amounts in thousands  2. Amount of component	(Column A)Total Fair Value Reported on	(Column B) LESS: Amounts Netted in the Determination of Total Fair Value RCFDG582	(Column C) Level 1 Fair Value Measurements RCFDG583	(Column D) Level 2 Fair Value Measurements  RCFDG584	(Column E) Level 3 Fair Value Measurements  RCFDG585

	(Column A) Total	(Column B)	(Column C)	(Column D)	(Column E)	
	Fair Value	LESS: Amounts	Level 1 Fair	Level 2 Fair	Level 3 Fair	
	Reported on	Netted in the	Value	Value	Value	
	Schedule RC	Determination of	Measurements	Measurements	Measurements	
Dollar amounts in thousands		Total Fair Value				
	RCFDG586	RCFDG587	RCFDG588	RCFDG589	RCFDG590	M.2.f.
2. Amount of component	0	0	0	0	0	IVI.Z.I

Dollar amounts in thousands	Consolidate	ed Bank	]
3. Loans measured at fair value (included in Schedule RC-C, Part I, items 1 through 9):			M.3.
a. Loans secured by real estate:			M.3.a.
1. Secured by 1-4 family residential properties	RCFDHT87	1,539,415	M.3.a.1
2. All other loans secured by real estate	RCFDHT88	0	M.3.a.2
b. Commercial and industrial loans	RCFDF585	0	M.3.b.
c. Loans to individuals for household, family, and other personal expenditures (i.e., consumer loans) (includes purchased paper)	RCFDHT89	0	M.3.c.
d. Other loans	RCFDF589	0	M.3.d.
4. Unpaid principal balance of loans measured at fair value (reported in Schedule RC-Q, Memorandum item 3):			M.4.
a. Loans secured by real estate:			M.4.a.
1. Secured by 1-4 family residential properties	RCFDHT91	1,530,653	M.4.a.1
2. All other loans secured by real estate	RCFDHT92	0	M.4.a.2
b. Commercial and industrial loans	RCFDF597	0	M.4.b.
c. Loans to individuals for household, family, and other personal expenditures (i.e., consumer loans) (includes purchased paper)	RCFDHT93	0	M.4.c.
d. Other loans	RCFDF601	0	M.4.d.

## Schedule RC-R Part I - Regulatory Capital Components and Ratios(Form Type - 031)

Part I is to be completed on a consolidated basis.

Common stock plus related surplus, net of treasury stock and unearned employee stock ownership plan (ESOP)	RCFAP742	16,322,260	1
Retained earnings <sup>1</sup>	RCFAKW00	7,055,915	2
To be completed only by institutions that have adopted ASU 2016-13:  a. Does your institution have a CECL transition election in effect as of the quarter-end report date? (enter "0" for No; enter "1" for Yes with a 3-year CECL transition election; enter "2" for Yes with a 5-year 2020 CECL transition election.)	RCOAJJ29	2	2 2
Accumulated other comprehensive income (AOCI)	RCFAB530	-2,640,330	3
a. AOCI opt-out election (enter "1" for Yes; enter "0" for No.) (Advanced approaches institutions must enter "0" for No.)	RCOAP838	1	3
Common equity tier 1 minority interest includable in common equity tier 1 capital	RCFAP839	0	4
Common equity tier 1 capital before adjustments and deductions (sum of items 1 through 4)	RCFAP840	20,737,845	5
LESS: Goodwill net of associated deferred tax liabilities (DTLs)	RCFAP841	4,778,362	6
LESS: Intangible assets (other than goodwill and mortgage servicing assets (MSAs)), net of associated DTLs	RCFAP842	155,430	7
LESS: Deferred tax assets (DTAs) that arise from net operating loss and tax credit carryforwards, net of any related	RCFAP843	6,029	8
AOCI-related adjustments (items 9.a through 9.e are effective January 1, 2015) (if entered "1" for Yes in item 3.a, emplete only items 9.a through 9.e; if entered "0" for No in item 3.a, complete only item 9.f):			9
LESS: Net unrealized gains (losses) on available-for-sale debt securities (if a gain, report as a positive value; if a loss, report as a negative value)	RCFAP844	-2,545,591	9
b. Not applicable.			9
c. LESS: Accumulated net gains (losses) on cash flow hedges (if a gain, report as a positive value; if a loss, report as a negative value)	RCFAP846	-63,502	9
d. LESS: Amounts recorded in AOCI attributed to defined benefit postretirement plans resulting from the initial and subsequent application of the relevant GAAP standards that pertain to such plans (if a gain, report as a positive value; if a loss, report as a negative value)	RCFAP847	-31,237	9
e. LESS: Net unrealized gains (losses) on held-to-maturity securities that are included in AOCI (if a gain, report as a positive value; if a loss, report as a negative value)	RCFAP848	0	9
f. LESS: Accumulated net gain (loss) on cash flow hedges included in AOCI, net of applicable income taxes, that relate to the hedging of items that are not recognized at fair value on the balance sheet (if a gain, report as a positive value; if a loss, report as a negative value) (To be completed only by institutions that entered "0" for No in item 3.a)	RCFAP849	NR	9
). Other deductions from (additions to) common equity tier 1 capital before threshold-based deductions:			1
LESS: Unrealized net gain (loss) related to changes in the fair value of liabilities that are due to changes in own credit risk (if a gain, report as a positive value; if a loss, report as a negative value)	RCFAQ258	0	1
b. LESS: All other deductions from (additions to) common equity tier 1 capital before threshold-based deductions.	RCFAP850	1,058,878	1

Dollar amounts in thousands		Non-advanced s Institutions		B) Advanced s Institutions	
11. LESS: Non-significant investments in the capital of unconsolidated financial institutions in the form of common stock that exceed the 10 percent threshold for non-significant investments			RCFWP851	NR	11.
12. Subtotal (for column A, item 5 minus items 6 through 10.b; for column B, item 5 minus items 6 through 11)	RCFAP852	17,379,476	RCFWP852	NR	12.
13. Not available					13.
a. LESS: Investments in the capital of unconsolidated financial institutions, net of associated DTLs, that exceed 25 percent of item 12	RCFALB58	0			13.a.
b. LESS: Significant investments in the capital of unconsolidated financial institutions in the form of common stock, net of associated DTLs, that exceed the 10 percent common equity tier 1 capital deduction threshold			RCFWP853	NR	13.b.
14. Not available					14.
a. LESS: MSAs, net of associated DTLs, that exceed 25 percent of item 12	RCFALB59	0			14.a.
b. LESS: MSAs, net of associated DTLs, that exceed the 10 percent common equity tier 1 capital deduction threshold			RCFWP854	NR	14.b.
15. Not available					15.
a. LESS: DTAs arising from temporary differences that could not be realized through net operating loss carrybacks, net of related valuation allowances and net of DTLs, that exceed 25 percent of item 12	RCFALB60	0			15.a.
b. LESS: DTAs arising from temporary differences that could not be realized through net operating loss carrybacks, net of related valuation allowances and net of DTLs, that exceed the 10 percent common equity tier 1 capital deduction threshold			RCFWP855	NR	15.b.
16. LESS: Amount of significant investments in the capital of unconsolidated financial institutions in the form of common stock, net of associated DTLs; MSAs, net of associated DTLs; and DTAs arising from temporary differences that could not be realized through net operating loss carrybacks, net of related valuation allowances and net of DTLs; that exceeds the 15 percent common equity tier 1 capital deduction threshold			RCFWP856	NR	16.
17. LESS: Deductions applied to common equity tier 1 capital due to insufficient amounts of additional tier 1 capital and tier 2 capital to cover deductions	RCFAP857	0	RCFWP857	NR	17.
18. Total adjustments and deductions for common equity tier 1 capital <sup>3</sup>	RCFAP858	0	RCFWP858	NR	18.
19. Common equity tier 1 capital (item 12 minus item 18)	RCFAP859	17,379,476	RCFWP859	NR	19.

20. Additional tier 1 capital instruments plus related surplus	RCFAP860	0	20.
21. Non-qualifying capital instruments subject to phase out from additional tier 1 capital	RCFAP861	0	21.
22. Tier 1 minority interest not included in common equity tier 1 capital	RCFAP862	0	22.
23. Additional tier 1 capital before deductions (sum of items 20, 21, and 22)	RCFAP863	0	23.
24. LESS: Additional tier 1 capital deductions	RCFAP864	0	24.
25. Additional tier 1 capital (greater of item 23 minus item 24, or zero)	RCFAP865	0	25.
26. Tier 1 capital <sup>1</sup>	RCFA8274	17,379,476	26.
27. Average total consolidated assets <sup>2</sup>	RCFAKW03	207,965,133	27.
28. LESS: Deductions from common equity tier 1 capital and additional tier 1 capital (sum of items 6, 7, 8, 10.b, 13 through 15, 17, and certain elements of item 24 - see instructions) <sup>3</sup>	RCFAP875	5,998,699	28.
29. LESS: Other deductions from (additions to) assets for leverage ratio purposes	RCFAB596	129,717	29.
30. Total assets for the leverage ratio (item 27 minus items 28 and 29)	RCFAA224	201,836,717	30.
31. Leverage ratio (item 26 divided by 30)	RCFA7204	8.6107%	31.
a. Does your institution have a community bank leverage ratio (CBLR) framework election in effect as of the quarter-end report date? (enter "1" for Yes; enter "0" for No)	RCOALE74	0	31.a.
Item 31.b is to be completed only by non-advanced approaches institutions that elect to use the Standardized Approach for Counterparty Credit Risk (SA-CCR) for purposes of the standardized approach and supplementary leverage ratio.	RCOANC99	NR	31.b.
b. Standardized Approach for Counterparty Credit Risk opt-in election (enter "1" for Yes; leave blank for No.) <sup>4</sup>			

Institutions that have adopted ASU 2016-13 and have elected to apply the 3-year or the 5-year 2020 CECL transition provision should include the applicable portion of the CECL transitional amount or the modified CECL transitional amount, respectively, in this item.

Dollar amounts in thousands	(Column	A) Amount	(Column E	]	
32. Total assets (Schedule RC, item 12); (must be less than \$10 billion)	RCFA2170	NR			32.
33. Trading assets and trading liabilities (Schedule RC, sum of items 5 and 15). Report as a dollar amount in Column A and as a percentage of total assets (5% limit) in Column B	RCFAKX77	NR	RCFAKX78	NR	33.
34. Off-balance sheet exposures:					34.
a. Unused portion of conditionally cancellable commitments	RCFAKX79	NR			34.a.
b. Securities lent and borrowed (Schedule RC-L, sum of items 6.a and 6.b)	RCFAKX80	NR			34.b.
c. Other off-balance sheet exposures	RCFAKX81	NR			34.c.
d. Total off-balance sheet exposures (sum of items 34.a through 34.c). Report as a dollar amount in Column A and as a percentage of total assets (25% limit) in Column B	RCFAKX82	NR	RCFAKX83	NR	34.d.

Dollar amounts in thousands			_
35. Unconditionally cancellable commitments	RCFAS540	NR	35.
36. Investments in the tier 2 capital of unconsolidated financial institutions	RCFALB61	NR	36.
37. Allocated transfer risk reserve	RCFA3128	NR	37.
38. Amount of allowances for credit losses on purchased credit-deteriorated assets: <sup>1</sup>			38.
a. Loans and leases held for investment	RCFAJJ30	NR	38.
b. Held-to-maturity debt securities	RCFAJJ31	NR	38.
c. Other financial assets measured at amortized cost	RCFAJJ32	NR	38.
39. Tier 2 capital instruments plus related surplus	RCFAP866	621,585	39.
40. Non-qualifying capital instruments subject to phase-out from tier 2 capital	RCFAP867	0	40.
41. Total capital minority interest that is not included in tier 1 capital	RCFAP868	0	41.
42. Allowance for loan and lease losses and eligible credit reserves includable in tier 2 capital			42.
a. Allowance for loan and lease losses includable in tier 2 capital <sup>3</sup>	RCFA5310	1,715,556	42.
b. (Advanced approaches institutions that exit parallel run only): Eligible credit reserves includable in tier 2 capital.	RCFW5310	NR	42.1
43. Not applicable.			43.
44. Tier 2 capital before deductions			44.
a. Tier 2 capital before deductions (sum of items 39 through 42)	RCFAP870	2,337,141	44.
b. (Advanced approaches institutions that exit parallel run only): Tier 2 capital before deductions (sum of items 39 through 41, plus item 42.b)	RCFWP870	NR	44.1
45. LESS: Tier 2 capital deductions	RCFAP872	0	45.
46. Tier 2 capital			46.
a. Tier 2 capital (greater of item 44.a minus item 45, or zero)	RCFA5311	2,337,141	46.
b. (Advanced approaches institutions that exit parallel run only): Tier 2 capital (greater of item 44.b minus item 45, or zero)	RCFW5311	NR	46.1
47. Total capital			47.
a. Total capital (sum of items 26 and 46.a)	RCFA3792	19,716,617	47.
b. (Advanced approaches institutions that exit parallel run only): Total capital (sum of items 26 and 46.b)	RCFW3792	NR	47.
48. Total risk-weighted assets			48.
a. Total risk-weighted assets (from Schedule RC-R, Part II, item 31)	RCFAA223	164,213,734	48.
b. (Advanced approaches institutions that exit parallel run only): Total risk-weighted assets using advanced approaches rule (from FFIEC 101 Schedule A, item 60)	RCFWA223	NR	48.1
			-

<sup>3.</sup> Beginning with the June 30, 2020, report date, all non-advanced approaches institutions should report in item 18, column A, the sum of items 13.a, 14.a, 15.a, and 17, column A; all advanced approaches institutions should report in item 18, column B, the sum of items 13.b, 14.b, 15.b, 16, and 17, column B.

<sup>1.</sup> Beginning with the June 30, 2020, report date, all non-advanced approaches institutions should report the sum of item 19, column A, and item 25 in item 26; all advanced approaches institutions should report the sum of item 19, column B, and item 25 in item 26.

<sup>2.</sup> Institutions that have adopted ASU 2016-13 and have elected to apply the 3-year or the 5-year 2020 CECL transition provision should include the applicable portion of the CECL transitional amount or the modified CECL transitional amount, respectively, in item 27.

<sup>3.</sup> Beginning with the June 30, 2020, report date, all non-advanced approaches institutions should report in item 28 the sum of items 6, 7, 8, 10.b, 13.a, 14.a, 15.a, 17 (column A), and certain elements of item 24 - see instructions; all advanced approaches institutions should report in item 28, the sum of items 6, 7, 8, 10.b, 11, 13.b, 14.b, 15.b, 16, 17 (column B), and certain elements of item 24 - see instructions.

<sup>4.</sup> For the December 31, 2021, report date only, advanced approaches institutions that adopt SA-CCR prior to the mandatory compliance date should enter "1" in item 31.b.

Dollar amounts in thousands	(Column A	A) Percentage	(Column E	3) Percentage	
49. Common equity tier 1 capital ratio (Column A: item 19, column A or B, as applicable, divided by item 48.a) (Advanced approaches institutions that exit parallel run only: Column B: item 19, column B, divided by item 48.b)	RCFAP793	10.5834%	RCFWP793	NR	49.
50. Tier 1 capital ratio (Column A: item 26 divided by item 48.a) (Advanced approaches institutions that exit parallel run only: Column B: item 26 divided by item 48.b)	RCFA7206	10.5834%	RCFW7206	NR	50.
51. Total capital ratio (Column A: item 47.a divided by item 48.a) (Advanced approaches institutions that exit parallel run only: Column B: item 47.b divided by item 48.b)	RCFA7205	12.0067%	RCFW7205	NR	51.

			_
52. Institution-specific capital buffer necessary to avoid limitations on distributions and discretionary bonus payments:			52.
a. Capital conservation buffer	RCFAH311	4.0067%	52.a.
b. Advanced approaches institutions and institutions subject to Category III capital standards only: Total applicable capital buffer	RCFWH312	NR	52.b.
53. Eligible retained income <sup>1</sup>	RCFAH313	NR	53.
54. Distributions and discretionary bonus payments during the quarter <sup>2</sup>	RCFAH314	NR	54.
55. Advanced approaches institutions and institutions subject to Category III capital standards only: Supplementary leverage ratio information:			55.
a. Total leverage exposure <sup>3</sup>	RCFAH015	NR	55.a.
b. Supplementary leverage ratio	RCFAH036	NR	55.b.

<sup>1.</sup> Items 38.a through 38.c should be completed only by institutions that have adopted ASU 2016-13.

<sup>3.</sup> Institutions that have adopted ASU 2016-13 should report the amount of adjusted allowances for credit losses (AACL), as defined in the regulatory capital rule, includable in tier 2 capital in item 42.a.

<sup>1.</sup> Institutions must complete item 53 only if the amount reported in item 52.a above is less than or equal to 2.5000 percent (plus any other applicable buffer if the institution is an advanced approaches institution or a Category III institution).

<sup>2.</sup> Institutions must complete item 54 only if the amount reported in Schedule RC-R, Part I, item 46.a, in the Call Report for the December 31, 2019, report date was less than or equal to 2.5000 percent (plus any other applicable buffer if the institution is an advanced approaches institution or a Category III institution).

<sup>3.</sup> Institutions that have adopted ASU 2016-13 and have elected to apply the 3-year or the 5-year 2020 CECL transition provision should include the applicable portion of the CECL transitional amount or the modified CECL transitional amount, respectively, in item 55.a.

### Schedule RC-R Part II - Risk-Weighted Assets(Form Type - 031)

Institutions are required to assign a 100 percent risk weight to all assets not specifically assigned a risk weight under Subpart D of the federal banking agencies' regulatory capital rules and not deducted from tier 1 or tier 2 capital.

	(Column A) Totals from Schedule RC	(Column B) Adjustments to Totals Reported in	(Column C) Allocation by Risk-Weight	(Column D) Allocation by Risk-Weight	Risk-Weight	Risk-Weight	(Column G) Allocation by Risk-Weight	(Column H) Allocation by Risk-Weight Category 50%	(Column I) Allocation by Risk-Weight	(Column J) Allocation by Risk-Weight	
Dollar amounts in thousands		Column A	Category 0%	Category 2%	Category 4%	Category 10%	Category 20%	Category 50%	Category 100%	Category 150%	
Cash and balances due from depository institutions	RCFDD957 10,740,518	RCFDS396 3,440	RCFDD958 7,389,296				RCFDD959 3,345,993	RCFDS397 161	RCFDD960 1,619	RCFDS398 9	1.
2. Securities:											2.
a. Held-to-maturity securities <sup>3</sup>	RCFDD961 3,789	RCFDS399 0	RCFDD962 0	RCFDHJ74 0	RCFDHJ75 0		RCFDD963 3,789	RCFDD964 0	RCFDD965 0	RCFDS400 0	2.a.
b. Available-for-sale debt securities and equity securities with readily determinable fair values not held for trading	RCFDJA21 40,939,681	RCFDS402 -2,633,289	RCFDD967 12,918,101	RCFDHJ76 0	RCFDHJ77		RCFDD968 30,628,803	RCFDD969 1,055	RCFDD970 25,011	RCFDS403	2.b.
Federal funds sold and securities purchased under agreements to resell:											3.
a. Federal funds sold in domestic offices	RCOND971 500		RCOND972 0				RCOND973 500	RCONS410 0	RCOND974 0	RCONS411 0	3.a.
b. Securities purchased under agreements to resell	RCFDH171 0	RCFDH172 0									3.b.
4. Loans and leases held for sale:											4.
a. Residential mortgage exposures	RCFDS413 2,538,496	RCFDS414 0	RCFDH173 0				RCFDS415 1,320,520	RCFDS416 869,330	RCFDS417 348,646		4.a.
b. High volatility commercial real estate exposures	RCFDS419 0	RCFDS420 0	RCFDH174 0				RCFDH175 0	RCFDH176 0	RCFDH177 0	RCFDS421 0	4.b.
c. Exposures past due 90 days or more or on nonaccrual <sup>3</sup>	RCFDS423	RCFDS424 0	RCFDS425	RCFDHJ78	RCFDHJ79 0		RCFDS426	RCFDS427	RCFDS428	RCFDS429	4.c.

Dollar amounts in thousands	(Column K) Allocation by Risk-Weight Category 250%	(Column L) Allocation by Risk-Weight Category 300%	(Column M) Allocation by Risk-Weight Category 400%	(Column N) Allocation by Risk-Weight Category 600%	(Column O) Allocation by Risk-Weight Category 625%	(Column P) Allocation by Risk-Weight Category 937.5%	(Column Q) Allocation by Risk-Weight Category 1,250%	(Column R) Application of Other Risk-Weighting Approaches Exposure Amount	(Column S) Application of Other Risk-Weighting Approaches Risk-Weighted Asset Amount	
Cash and balances due from depository institutions										1.
2. Securities:										2.
a. Held-to-maturity securities										2.a.
b. Available-for-sale debt securities and equity securities with readily determinable fair values not held for trading	RCFDH270 NR	RCFDS405 0		RCFDS406 0				RCFDH271 0	RCFDH272 0	2.b.
3. Federal funds sold and securities purchased under agreements to resell:										3.
a. Federal funds sold in domestic offices										3.a.

<sup>3.</sup> Institutions that have adopted ASU 2016-13 should report as a negative number allowances eligible for inclusion in tier 2 capital in Column B, which excludes PCD allowances.

<sup>3.</sup> For loans and leases held for sale, exclude residential mortgage exposures, high volatility commercial real estate exposures, or sovereign exposures that are past due 90 days or more or on nonaccrual.

	(Column K) Allocation by Risk-Weight Category 250%	(Column L) Allocation by Risk-Weight Category 300%	(Column M) Allocation by Risk-Weight Category 400%	(Column N) Allocation by Risk-Weight Category 600%	(Column O) Allocation by Risk-Weight Category 625%	(Column P) Allocation by Risk-Weight Category 937.5%	(Column Q) Allocation by Risk-Weight Category 1,250%	Approaches	(Column S) Application of Other Risk-Weighting Approaches Risk-Weighted	
Dollar amounts in thousands								Amount	Asset Amount	l
b. Securities purchased under agreements to resell										3.b.
4. Loans and leases held for sale:										4.
a. Residential mortgage exposures								RCFDH273 0	RCFDH274 0	4.a.
b. High volatility commercial real estate exposures								RCFDH275 0	RCFDH276 0	4.b.

	(Column K)	(Column L)	(Column M)	(Column N)	(Column O)	(Column P)	(Column Q)	(Column R)	(Column S)	
	Allocation by	Application of	Application of							
	Risk-Weight	Other	Other							
	Category 250%	Category 300%	Category 400%	Category 600%	Category 625%	Category	Category	Risk-Weighting	Risk-Weighting	
						937.5%	1,250%	Approaches	Approaches	
								Exposure	Risk-Weighted	
Dollar amounts in thousands								Amount	Asset Amount	
								RCFDH277	RCFDH278	4.0
c. Exposures past due 90 days or more or on nonaccrual								0	0	J0.

	(Column A) Totals from Schedule RC	(Column B) Adjustments to Totals	(Column C) Allocation by Risk-Weight	(Column D) Allocation by Risk-Weight	(Column E) Allocation by Risk-Weight	Risk-Weight	(Column G) Allocation by Risk-Weight	(Column H) Allocation by Risk-Weight	(Column I) Allocation by Risk-Weight	(Column J) Allocation by Risk-Weight	
Dollar amounts in thousands		Reported in Column A	Category 0%	Category 2%	Category 4%	Category 10%	Category 20%	Category 50%	Category 100%	Category 150%	
4. Loans and leases held for sale (continued):											4.
d. All other exposures	RCFDS431 3,883	RCFDS432 0	RCFDS433 0	RCFDHJ80 0	RCFDHJ81 0		RCFDS434 0	RCFDS435 0	RCFDS436 3,883	RCFDS437 0	4.d
5. Loans and leases held for investment:											5.
a. Residential mortgage exposures	RCFDS439 21,334,811	RCFDS440 517	RCFDH178 0				RCFDS441 1,019,100	RCFDS442 17,156,651	RCFDS443 3,158,543		5.a
b. High volatility commercial real estate exposures	RCFDS445 239,854	RCFDS446 0	RCFDH179 0				RCFDH180 0	RCFDH181 0	RCFDH182 0	RCFDS447 239,854	5.b
c. Exposures past due 90 days or more or on nonaccrual <sup>7</sup>	RCFDS449 401,469	RCFDS450 0	RCFDS451 5,035	RCFDHJ82 0	RCFDHJ83		RCFDS452 0	RCFDS453 0	RCFDS454 0	RCFDS455 396,434	5.c
d. All other exposures	RCFDS457 93,040,745	RCFDS458 1,941	RCFDS459 416,044	RCFDHJ84 0	RCFDHJ85 0		RCFDS460 271,932	RCFDS461 599,948	RCFDS462 91,750,880	RCFDS463 0	5.d
6. LESS: Allowance for loan and lease losses	RCFD3123 2,014,132	RCFD3123 2,014,132									6.
7. Trading assets	RCFDD976 4,328,284	RCFDS466 4,147,148	RCFDD977 0	RCFDHJ86 0	RCFDHJ87 0		RCFDD978 0	RCFDD979 0	RCFDD980 160,114	RCFDS467 0	7.
8. All other assets <sup>8</sup>	RCFDD981 19,075,970	RCFDS469 5,680,540	RCFDD982 488,845	RCFDHJ88 0	RCFDHJ89 0		RCFDD983 410,688	RCFDD984 0	RCFDD985 9,420,559	RCFDH185 707	8.
a. Separate account bank-owned life insurance											8.a
b. Default fund contributions to central counterparties											8.b

	(Column K) Allocation by Risk-Weight Category 250%	(Column L) Allocation by Risk-Weight Category 300%	(Column M) Allocation by Risk-Weight Category 400%	(Column N) Allocation by Risk-Weight Category 600%	(Column O) Allocation by Risk-Weight Category 625%	(Column P) Allocation by Risk-Weight Category 937.5%	(Column Q) Allocation by Risk-Weight Category 1,250%	(Column R) Application of Other Risk-Weighting Approaches Exposure	(Column S) Application of Other Risk-Weighting Approaches Risk-Weighted	
Dollar amounts in thousands								Amount	Asset Amount	
4. Loans and leases held for sale (continued):										4.
d. All other exposures								RCFDH279 0	RCFDH280 0	4.d.
5. Loans and leases held for investment:										5.
a. Residential mortgage exposures								RCFDH281 0	U	5.a.
b. High volatility commercial real estate exposures								RCFDH283 0	RCFDH284 0	5.b.
c. Exposures past due 90 days or more or on nonaccrual 11								RCFDH285 0	0	5.c.
d. All other exposures								RCFDH287 0	RCFDH288 0	5.d.
6. LESS: Allowance for loan and lease losses										6.
7. Trading assets	RCFDH289 NR	RCFDH186 0	RCFDH290 0	RCFDH187 0				RCFDH291 21,022	RCFDH292 4,204	7.
8. All other assets 12	RCFDH293 1,581,963	RCFDH188 0	RCFDS470 0	RCFDS471 0				RCFDH294 0	RCFDH295 0	8.
a. Separate account bank-owned life insurance								RCFDH296 1,492,668	RCFDH297 1,029,209	8.a.
b. Default fund contributions to central counterparties								RCFDH298 0	RCFDH299 0	8.b.

<sup>6.</sup> For loans and leases held for sale, exclude residential mortgage exposures, high volatility commercial real estate exposures, or sovereign exposures that are past due 90 days or more or on nonaccrual.

<sup>7.</sup> For loans and leases, net of unearned income, exclude residential mortgage exposures, high volatility commercial real estate exposures, or sovereign exposures that are past due 90 days or more or on nonaccrual.

<sup>8.</sup> Includes premises and fixed assets; other real estate owned; investments in unconsolidated subsidiaries and associated companies; direct and indirect investments in real estate ventures; intangible assets; and other assets.

<sup>11.</sup> For loans and leases, net of unearned income, exclude residential mortgage exposures, high volatility commercial real estate exposures, or sovereign exposures that are past due 90 days or more or on nonaccrual.

<sup>12.</sup> Includes premises and fixed assets; other real estate owned; investments in unconsolidated subsidiaries and associated companies; direct and indirect investments in real estate ventures; intangible assets; and other assets.

Dollar amounts in thousands	(Column A) Totals	(Column B) Adjustments to Totals Reported in Column A	`Exposure ´	(Column T) Total Risk-Weighted Asset Amount by Calculation Methodology SSFA	(Column U)Total Risk-Weighted Asset Amount by Calculation Methodology Gross-Up	
9. On-balance sheet securitization exposures:						9.
a. Held-to-maturity securities	RCFDS475 0	RCFDS476 0	RCFDS477 0	RCFDS478 0	RCFDS479 0	9.a.
b. Available-for-sale securities	RCFDS480 11,105,653	RCFDS481 11,105,180	RCFDS482 473	RCFDS483 2,615,874	RCFDS484 0	9.b.
c. Trading assets	RCFDS485 0	RCFDS486 0	RCFDS487 0	RCFDS488	RCFDS489 0	9.c.
d. All other on-balance sheet securitization exposures	RCFDS490 3,806,607	RCFDS491 3,806,607	RCFDS492 0	RCFDS493 956,746	RCFDS494 0	9.d.
10. Off-balance sheet securitization exposures	RCFDS495 926,269	RCFDS496 926,269	RCFDS497	RCFDS498 342,253	RCFDS499 0	10.

	(Column A)	(Column B)	(Column C)	(Column D)	(Column E)	(Column F)	(Column G)	(Column H)	(Column I)	(Column J)
	Totals From	Adjustments	Allocation by							
	Schedule RC	to Totals	Risk-Weight							
		Reported in	Category 0%	Category 2%	Category 4%	Category 10%	Category 20%	Category 50%	Category	Category
Dollar amounts in thousands		Column A							100%	150%
	RCFD2170	RCFDS500	RCFDD987	RCFDHJ90	RCFDHJ91		RCFDD988	RCFDD989	RCFDD990	RCFDS503
11. Total balance sheet assets <sup>14</sup>	205,546,136	20,097,952	21,217,321	0	0		37,001,325	18,627,145	104,869,255	637,012

	(Column K)	(Column L)	(Column M)	(Column N)	(Column O)	(Column P)	(Column Q)	(Column R)
	Allocation by	Allocation by	Application of					
	Risk-Weight	Risk-Weight	Risk-Weight	Risk-Weight	Risk-Weight	Risk-Weight	Risk-Weight	Other
	Category 250%	Category 300%	Category 400%	Category 600%	Category 625%	Category 937.5%	Category 1,250%	Risk-Weighting
								Approaches
								Exposure
Dollar amounts in thousands								Amount
44	RCFDS504	RCFDS505	RCFDS506	RCFDS507			RCFDS510	RCFDH300
11. Total balance sheet assets 14	1,581,963	0	0	0			473	1,513,690

Dollar amounts in thousands	(Column A) Face, Notional, or Other Amount	(Column B) Credit Equivalent Amount	(Column C) Allocation by Risk-Weight Category 0%	Risk-Weight	Risk-Weight	 Risk-Weight		(Column I) Allocation by Risk-Weight Category 100%	(Column J) Allocation by Risk-Weight Category 150%
12. Financial standby letters of credit	RCFDD991 1,160,556	RCFDD992 1,160,556	RCFDD993 140,435	RCFDHJ92 0	RCFDHJ93 0	RCFDD994 18,552	RCFDD995	RCFDD996 1,001,569	RCFDS511 0
13. Performance standby letters of credit and transaction-related contingent items	RCFDD997 894,912	RCFDD998 447,456	RCFDD999 6,759			RCFDG603 142	RCFDG604 0	RCFDG605 440,555	RCFDS512 0
14. Commercial and similar letters of credit with an original maturity of one year or less	RCFDG606 910	RCFDG607 182	RCFDG608 18	RCFDHJ94 0	RCFDHJ95 0	RCFDG609 0	RCFDG610 0	RCFDG611 164	RCFDS513 0
15. Retained recourse on small business obligations sold with recourse	RCFDG612 0	RCFDG613 0	RCFDG614 0			RCFDG615 0	RCFDG616 0	RCFDG617 0	RCFDS514 0

	(Column A) Face,		•	(Column D) Allocation by	,			(Column H) Allocation by	(Column I) Allocation by	- 1	ı
	Notional, or	Equivalent	Risk-Weight	Risk-Weight	Risk-Weight				Risk-Weight	Risk-Weight	ii
Dollar amounts in thousands	Other Amount	Amount	Category 0%	Category 2%	Category 4%	Category 10%	Category 20%	Category 50%	Category 100%	Category 150%	İ
16. Repo-style transactions <sup>21</sup>	RCFDS515 452,991	RCFDS516 452,991	RCFDS517 448,454	RCFDS518 0	RCFDS519 0		RCFDS520 0	RCFDS521 0	RCFDS522 4,537	RCFDS523 0	16.
17. All other off-balance sheet liabilities	RCFDG618 116,093	RCFDG619 116,093	RCFDG620 0				RCFDG621 0	RCFDG622 43,237	RCFDG623 72,856	RCFDS524 0	17.
18. Unused commitments:*											18.
a. Original maturity of one year or less	RCFDS525 10,104,580	RCFDS526 2,020,916	RCFDS527 0	RCFDHJ96 0	RCFDHJ97 0		RCFDS528 0	RCFDS529 9,900	RCFDS530 2,010,227	RCFDS531 789	18.a

<sup>14.</sup> For each of columns A through R of item 11, report the sum of items 1 through 9. For item 11, the sum of columns B through R must equal column A. Item 11, column A, must equal Schedule RC, item 12.

<sup>21.</sup> Includes securities purchased under agreements to resell (reverse repos), securities sold under agreements to repurchase (repos), securities borrowed, and securities lent.

<sup>\*.</sup> Excludes unused commitments to asset-backed commercial paper conduits.

	(Column A)	(Column B)	(Column C)	(Column D)	(Column E)	(Column F)	(Column G)	(Column H)	(Column I)	(Column J)	
	Face, Notional, or	Credit Equivalent	Allocation by Risk-Weight	Allocation by Risk-Weight	Risk-Weight	Allocation by Risk-Weight			Allocation by Risk-Weight	Allocation by Risk-Weight	
Dollar amounts in thousands	Other Amount	Amount	Category 0%	Category 2%	Category 4%	Category 10%	Category 20%	Category 50%	Category 100%	Category 150%	
Donar amounts in thousands	RCFDG624	RCFDG625	RCFDG626	RCFDHJ98	RCFDHJ99		RCFDG627	RCFDG628	RCFDG629	RCFDS539	1
b. Original maturity exceeding one year	49,992,846			0	0		0	67,892			18.b.
19. Unconditionally cancelable commitments	RCFDS540 19,806,044	RCFDS541 0									19.
20. Over-the-counter derivatives		RCFDS542 4,993,692	RCFDS543 565,558	RCFDHK00 0	RCFDHK01 0	RCFDS544 0	RCFDS545 1,402,596	RCFDS546 0	RCFDS547 3,025,538	RCFDS548 0	20.
21. Centrally cleared derivatives		RCFDS549 671,342	RCFDS550 11,411	RCFDS551 0	RCFDS552 659,931		RCFDS554 0	RCFDS555 0	RCFDS556 0	RCFDS557	21.
22. Unsettled transactions (failed trades) <sup>22</sup>	RCFDH191 256		RCFDH193 0				RCFDH194 0	RCFDH195 0	RCFDH196 256	RCFDH197 0	22.

Dollar amounts in thousands	(Column O) Allocation by Risk-Weight Category 625%	(Column P) Allocation by Risk-Weight Category 937.5%	(Column Q) Allocation by Risk-Weight Category 1,250%	(Column R) Application of Other Risk-Weighting Approaches Credit Equivalent Amount	(Column S) Application of Other Risk-Weighting Approaches Risk-Weighted Asset Amount	
16. Repo-style transactions <sup>24</sup>				RCFDH301 0	RCFDH302 0	16.
17. All other off-balance sheet liabilities						17.
18. Unused commitments:*						18.
a. Original maturity of one year or less				RCFDH303 0	RCFDH304 0	18.a.
b. Original maturity exceeding one year				RCFDH307 0	RCFDH308	18.b.
19. Unconditionally cancelable commitments						19.
20. Over-the-counter derivatives				RCFDH309 0	RCFDH310 0	20.
21. Centrally cleared derivatives						21.
22. Unsettled transactions (failed trades) <sup>25</sup>	RCFDH198 0	RCFDH199 0	RCFDH200 0			22.

<sup>24.</sup> Includes securities purchased under agreements to resell (reverse repos), securities sold under agreements to repurchase (repos), securities borrowed, and securities lent.

<sup>.</sup> Excludes unused commitments to asset-backed commercial paper conduits.

<sup>25.</sup> For item 22, the sum of columns C through Q must equal column A.

Dollar amounts in thousands	(Column C) Allocation by Risk-Weight Category 0%	(Column D) Allocation by Risk-Weight Category 2%	(Column E) Allocation by Risk-Weight Category 4%	(Column F) Allocation by Risk-Weight Category 10%	(Column G) Allocation by Risk-Weight Category 20%	(Column H) Allocation by Risk-Weight Category 50%	(Column I) Allocation by Risk-Weight Category 100%	(Column J) Allocation by Risk-Weight Category 150%	l
23. Total assets, derivatives, off-balance sheet items, and other items subject to risk weighting by risk-weight category (for each of columns C through P, sum of items 11 through 22; for column Q, sum of items 10 through 22)	RCFDG630 22,389,956	RCFDS558 0	RCFDS559 659,931	RCFDS560	RCFDG631 38,422,615	RCFDG632 18,748,174	RCFDG633 136,287,183	RCFDS561	23.
24. Risk weight factor									24.
25. Risk-weighted assets by risk-weight category (for each column, item 23 multiplied by item 24)	RCFDG634 0	RCFDS569 0	RCFDS570 26,397	RCFDS571 0	RCFDG635 7,684,523	RCFDG636 9,374,087	RCFDG637 136,287,183	RCFDS572 1,056,159	25.

Dollar amounts in thousands	(Column K) Allocation by Risk-Weight Category 250%	(Column L) Allocation by Risk-Weight Category 300%	(Column M) Allocation by Risk-Weight Category 400%	(Column N) Allocation by Risk-Weight Category 600%	(Column O) Allocation by Risk-Weight Category 625%	(Column P) Allocation by Risk-Weight Category 937.5%	(Column Q) Allocation by Risk-Weight Category 1,250%	
23. Total assets, derivatives, off-balance sheet items, and other items subject to risk weighting by risk-weight category (for each of columns C through P, sum of items 11 through 22; for column Q, sum of items 10 through 22)	RCFDS562 1,581,963	RCFDS563	RCFDS564	RCFDS565 0	RCFDS566	RCFDS567	RCFDS568 473	23.
24. Risk weight factor								24.
25. Risk-weighted assets by risk-weight category (for each column, item 23 multiplied by item 24)	RCFDS573 3,954,908	RCFDS574 0	RCFDS575 0	RCFDS576 0	RCFDS577 0	RCFDS578 0	RCFDS579 5,913	25.

26. Risk-weighted assets base for purposes of calculating the allowance for loan and lease losses 1.25 percent threshold	RCFDS580	163,337,456	26
27. Standardized market-risk weighted assets (applicable only to banks that are covered by the market risk capital rule)	RCFDS581	876,278	27
28. Risk-weighted assets before deductions for excess allowance of loan and lease losses and allocated risk transfer risk reserve <sup>27</sup>	RCFDB704	164,213,734	28
29. LESS: Excess allowance for loan and lease losses	RCFDA222	0	29
30. LESS: Allocated transfer risk reserve	RCFD3128	0	30
31. Total risk-weighted assets (item 28 minus items 29 and 30)	RCFDG641	164,213,734	31.
Current credit exposure across all derivative contracts covered by the regulatory capital rules	RCFDG642	2,607,520	М.

Dollar amounts in thousands	remaining n year	n A) With a naturity of One or less	remaining m	n B) With a naturity of Over through five ears	(Column remaining m five		
Notional principal amounts of over-the-counter derivative contracts:			,				M.2.
a. Interest rate	RCFDS582	9,128,096	RCFDS583	32,089,353	RCFDS584	10,890,545	M.2.a.
b. Foreign exchange rate and gold	RCFDS585	14,120,184	RCFDS586	6,225,645	RCFDS587	0	M.2.b.
c. Credit (investment grade reference asset)	RCFDS588	428,957	RCFDS589	1,292,087	RCFDS590	714,239	M.2.c.
d. Credit (non-investment grade reference asset)	RCFDS591	666,952	RCFDS592	1,427,927	RCFDS593	722,938	M.2.d.
e. Equity	RCFDS594	0	RCFDS595	3,196,164	RCFDS596	0	M.2.e.
f. Precious metals (except gold)	RCFDS597	0	RCFDS598	0	RCFDS599	0	M.2.f.
g. Other	RCFDS600	6,441,195	RCFDS601	4,135,403	RCFDS602	0	M.2.g.
3. Notional principal amounts of centrally cleared derivative contracts:							М.З.
a. Interest rate	RCFDS603	5,664,971	RCFDS604	35,062,672	RCFDS605	16,182,174	M.3.a.
b. Foreign exchange rate and gold	RCFDS606	0	RCFDS607	0	RCFDS608	0	M.3.b.
c. Credit (investment grade reference asset)	RCFDS609	0	RCFDS610	0	RCFDS611	0	M.3.c.
d. Credit (non-investment grade reference asset)	RCFDS612	0	RCFDS613	0	RCFDS614	0	M.3.d.
e. Equity	RCFDS615	0	RCFDS616	0	RCFDS617	0	M.3.e.
f. Precious metals (except gold)	RCFDS618	0	RCFDS619	0	RCFDS620	0	M.3.f.
g. Other	RCFDS621	1,155,618	RCFDS622	640,354	RCFDS623	0	M.3.g.

4. Amount of allowances for credit losses on purchased credit-deteriorated assets: 1			M.4.
a. Loans and leases held for investment	RCFDJJ30	2,458	M.4.a.
b. Held-to-maturity debt securities	RCFDJJ31	0	M.4.b.
c. Other financial assets measured at amortized cost	RCFDJJ32	0	M.4.c.

<sup>27.</sup> Sum of items 2.b through 20, column S; items 9.a, 9.b, 9.c, 9.d, and 10, columns T and U; item 25, columns C through Q; and item 27 (if applicable).

<sup>1.</sup> Memorandum items 4.a through 4.c should be completed only by institutions that have adopted ASU 2016-13.

## Schedule RC-S - Servicing Securitization and Asset Sale Activities(Form Type - 031)

	(Column A) 1-4 Family Residential Loans	(Column B) Home Equity Lines	(Column C) Credit Card Receivables	(Column D) Auto Loans	(Column E) Other Consumer Loans	(Column F) Commercial and Industrial Loans	(Column G) All Other Loans, All Leases, and All
Dollar amounts in thousands							Other Assets
Outstanding principal balance of assets sold and securitized by the reporting bank with servicing retained or with recourse or other seller-provided credit enhancements	RCFDB705	RCFDB706	RCFDB707	RCFDB708	RCFDB709 236,788	RCFDB710	RCFDB711
Maximum amount of credit exposure arising from recourse or other seller-provided credit enhancements provided to structures reported in item	RCFDHU09	RCFDHU10	RCFDHU11	RCFDHU12	RCFDHU13	RCFDHU14	RCFDHU15
Item 3 is to be completed by banks with \$100 billion or more in total assets.  3. Reporting bank's unused commitments to provide liquidity to structures reported in item 1 <sup>1</sup>	RCFDB726	RCFDB727	RCFDB728	RCFDB729 0	RCFDB730	RCFDB731	RCFDB732
4. Past due loan amounts included in item 1:							
a. 30-89 days past due	RCFDB733 0	RCFDB734 0	RCFDB735 0	RCFDB736 0	RCFDB737 1,129	RCFDB738 0	RCFDB739 0
b. 90 days or more past due	RCFDB740 0	RCFDB741 0	RCFDB742 0	RCFDB743	RCFDB744 196	RCFDB745 0	RCFDB746 0
5. Charge-offs and recoveries on assets sold and securitized with servicing retained or with recourse or other seller-provided credit enhancements (calendar year-to-date):							
a. Charge-offs	RIADB747	RIADB748	<u> </u>	RIADB750		RIADB752 0	RIADB753 0
b. Recoveries	RIADB754	RIADB755	RIADB756	RIADB757	RIADB758 263	RIADB759	RIADB760
Item 6 is to be completed by banks with \$10 billion or more in total assets.							
6. Total amount of ownership (or seller's) interest carried as securities or loans <sup>1</sup>		RCFDHU16	RCFDHU17			RCFDHU18	
7. Not applicable							
8. Not applicable							
9. Maximum amount of credit exposure arising from credit enhancements provided by the reporting bank to other institutions' securitization structures in the form of standby letters of credit, purchased subordinated securities, and other enhancements	RCFDB776			RCFDB779	RCFDB780	RCFDB781	RCFDB782
Item 10 is to be completed by banks with \$10 billion or more in total assets.  10. Reporting bank's unused commitments to provide liquidity to other institutions' securitization structures <sup>1</sup>	RCFDB783			RCFDB786 0	RCFDB787	RCFDB788	RCFDB789
11. Assets sold with recourse or other seller-provided credit enhancements and not securitized by the reporting bank	RCFDB790 116,094						RCFDB796 0
12. Maximum amount of credit exposure arising from recourse or other seller-provided credit enhancements provided to assets reported in item 11	RCFDB797 116,094						RCFDB803 0

<sup>1.</sup> The \$100 billion asset-size test is based on the total assets reported on the June 30, 2018, Report of Condition.

<sup>1.</sup> The \$10 billion asset-size test is based on the total assets reported on the June 30, 2018, Report of Condition.

<sup>1.</sup> The \$10 billion asset-size test is based on the total assets reported on the June 30, 2018, Report of Condition.

1. Not applicable			M.1.
2. Outstanding principal balance of assets serviced for others (includes participations serviced for others):			M.2.
a. Closed-end 1-4 family residential mortgages serviced with recourse or other servicer-provided credit enhancements	RCFDB804	116,094	M.2.a.
b. Closed-end 1-4 family residential mortgages serviced with no recourse or other servicer-provided credit enhancements	RCFDB805	100,403,341	M.2.b.
c. Other financial assets (includes home equity lines) <sup>1</sup>	RCFDA591	2,698,064	M.2.c.
d. 1-4 family residential mortgages serviced for others that are in process of foreclosure at quarter-end (includes closed-end and open-end loans)	RCFDF699	167,615	M.2.d.
Memorandum item 3 is to be completed by banks with \$10 billion or more in total assets.			M.3.
3. Asset-backed commercial paper conduits: <sup>2</sup>			IVI.S.
Maximum amount of credit exposure arising from credit enhancements provided to conduit structures in the form of standby letters of credit, subordinated securities, and other enhancements:			M.3.a.
Conduits sponsored by the bank, a bank affiliate, or the bank's holding company	RCFDB806	0	M.3.a.1.
Conduits sponsored by other unrelated institutions	RCFDB807	0	M.3.a.2.
b. Unused commitments to provide liquidity to conduit structures:			M.3.b.
Conduits sponsored by the bank, a bank affiliate, or the bank's holding company	RCFDB808	0	M.3.b.1.
Conduits sponsored by other unrelated institutions	RCFDB809	42,700	M.3.b.2.
4. Outstanding credit card fees and finance charges included in Schedule RC-S, item 1, column C <sup>2</sup>	RCFDC407	0	M.4.

### Schedule RC-T - Fiduciary and Related Services(Form Type - 031)

Does the institution have fiduciary powers? (If "NO," do not complete Schedule RC-T.)	RCFDA345	Yes	1.
2. Does the institution exercise the fiduciary powers it has been granted?	RCFDA346	Yes	2.
3. Does the institution have any fiduciary or related activity (in the form of assets or accounts) to report in this schedule? (If "NO," do not complete the rest of Schedule RC-T.)	RCFDB867	Yes	3.

Dollar amounts in thousands	(Column A) Managed Assets			ımn B) ıged Assets		C) Number of I Accounts	` Non-M	) Number of lanaged ounts	
4. Personal trust and agency accounts	RCFDB868	10,487,868	RCFDB869	1,204,302	RCFDB870	4767	RCFDB871	127	4.
5. Employee benefit and retirement-related trust and agency accounts:									5.
a. Employee benefit - defined contribution	RCFDB872	1,883,187	RCFDB873	10,033,070	RCFDB874	170	RCFDB875	380	5.a.
b. Employee benefit - defined benefit	RCFDB876	937,805	RCFDB877	2,079,075	RCFDB878	68	RCFDB879	40	5.b.
c. Other employee benefit and retirement-related accounts	RCFDB880	4,622,135	RCFDB881	418,872	RCFDB882	9739	RCFDB883	208	5.c.
6. Corporate trust and agency accounts	RCFDB884	0	RCFDB885	0	RCFDC001	0	RCFDC002	0	6.
7. Investment management and investment advisory agency accounts	RCFDB886	22,458,686	RCFDJ253	411,244	RCFDB888	10647	RCFDJ254	6	7.
8. Foundation and endowment trust and agency accounts	RCFDJ255	2,588,000	RCFDJ256	37,812	RCFDJ257	655	RCFDJ258	3	8.
9. Other fiduciary accounts	RCFDB890	1,149,128	RCFDB891	1,627,059	RCFDB892	1416	RCFDB893	119	9.
10. Total fiduciary accounts (sum of items 4 through 9)	RCFDB894	44,126,809	RCFDB895	15,811,434	RCFDB896	27462	RCFDB897	883	10.
11. Custody and safekeeping accounts			RCFDB898	422,219,735			RCFDB899	3166	11.
12. Fiduciary accounts held in foreign offices (included in items 10 and 11)	RCFNB900	0	RCFNB901	0	RCFNB902	0	RCFNB903	0	12.
13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5.c and 11)	RCFDJ259	4,483,261	RCFDJ260	160,666	RCFDJ261	9700	RCFDJ262	171	13.

<sup>1.</sup> Memorandum item 2.c is to be completed if the principal balance of other financial assets serviced for others is more than \$10 million.

<sup>2.</sup> The \$10 billion asset-size test is based on the total assets reported on the June 30, 2018, Report of Condition.

Memorandum item 4 is to be completed by banks that (1) together with affiliated institutions, have outstanding credit card receivables (as defined in the instructions) that exceed \$500 million as of the report date, or (2) are credit card specialty banks as defined for Uniform Bank Performance Report purposes.

14. Personal trust and agency accounts	RIADB904	40,013	14.
15. Employee benefit and retirement-related trust and agency accounts:			15.
a. Employee benefit - defined contribution	RIADB905	5,051	15.a
b. Employee benefit - defined benefit	RIADB906	2,047	15.b
c. Other employee benefit and retirement-related accounts	RIADB907	24,730	15.c
16. Corporate trust and agency accounts	RIADA479	0	16.
17. Investment management and investment advisory agency accounts	RIADJ315	76,212	17.
18. Foundation and endowment trust and agency accounts	RIADJ316	8,726	18.
19. Other fiduciary accounts	RIADA480	1,727	19.
20. Custody and safekeeping accounts	RIADB909	14,594	20.
21. Other fiduciary and related services income	RIADB910	14,931	21.
22. Total gross fiduciary and related services income (sum of items 14 through 21) (must equal Schedule RI, item 5.a)	RIAD4070	188,031	22.
a. Fiduciary and related services income - foreign offices (included in item 22)	RIADB912	0	22.a
23. Less: Expenses	RIADC058	NR	23.
24. Less: Net losses from fiduciary and related services	RIADA488	NR	24.
25. Plus: Intracompany income credits for fiduciary and related services	RIADB911	NR	25.
26. Net fiduciary and related services income	RIADA491	188,031	26.

Dollar amounts in thousands	and Ag	Personal Trust ency and Management Accounts	Bene Retirement	B) Employee efit and Related Trust cy Accounts		C) All Other counts	
Managed assets held in fiduciary accounts:							M.1.
a. Noninterest-bearing deposits	RCFDJ263	NR	RCFDJ264	NR	RCFDJ265	NR	M.1.a.
b. Interest-bearing deposits	RCFDJ266	NR	RCFDJ267	NR	RCFDJ268	NR	M.1.b.
c. U.S. Treasury and U.S. Government agency obligations	RCFDJ269	NR	RCFDJ270	NR	RCFDJ271	NR	M.1.c.
d. State, county, and municipal obligations	RCFDJ272	NR	RCFDJ273	NR	RCFDJ274	NR	M.1.d.
e. Money market mutual funds	RCFDJ275	NR	RCFDJ276	NR	RCFDJ277	NR	M.1.e.
f. Equity mutual funds	RCFDJ278	NR	RCFDJ279	NR	RCFDJ280	NR	M.1.f.
g. Other mutual funds	RCFDJ281	NR	RCFDJ282	NR	RCFDJ283	NR	M.1.g.
h. Common trust funds and collective investment funds	RCFDJ284	NR	RCFDJ285	NR	RCFDJ286	NR	M.1.h.
i. Other short-term obligations	RCFDJ287	NR	RCFDJ288	NR	RCFDJ289	NR	M.1.i.
j. Other notes and bonds	RCFDJ290	NR	RCFDJ291	NR	RCFDJ292	NR	M.1.j.
k. Investments in unregistered funds and private equity investments	RCFDJ293	NR	RCFDJ294	NR	RCFDJ295	NR	M.1.k.
I. Other common and preferred stocks	RCFDJ296	NR	RCFDJ297	NR	RCFDJ298	NR	M.1.I.
m. Real estate mortgages	RCFDJ299	NR	RCFDJ300	NR	RCFDJ301	NR	M.1.m.
n. Real estate	RCFDJ302	NR	RCFDJ303	NR	RCFDJ304	NR	M.1.n.
o. Miscellaneous assets	RCFDJ305	NR	RCFDJ306	NR	RCFDJ307	NR	M.1.o.
p. Total managed assets held in fiduciary accounts (for each column, sum of Memorandum items 1.a through 1.o)	RCFDJ308	NR	RCFDJ309	NR	RCFDJ310	NR	M.1.p.

Dollar amounts in thousands	, ,	Managed Assets	, ,	imber of Managed counts
q. Investments of managed fiduciary accounts in advised or sponsored mutual funds	RCFDJ311	NR	RCFDJ312	NR

Dollar amounts in thousands			(Column B) Principal Amount Outstanding		
Corporate trust and agency accounts:					M.2.
a. Corporate and municipal trusteeships	RCFDB927	NR	RCFDB928	NR	M.2.a.
1. Issues reported in Memorandum item 2.a that are in default	RCFDJ313	NR	RCFDJ314	NR	M.2.a.1.
b. Transfer agent, registrar, paying agent, and other corporate agency	RCFDB929	NR			M.2.b.

Dollar amounts in thousands	(Column A) Number of Funds		(Column B) Fund		
Memoranda items 3.a through 3.g are to be completed by banks with collective investment funds and common trust funds with a total market value of \$1 billion or more as of the preceding December 31.  3. Collective investment funds and common trust funds:					M.3.
a. Domestic equity	RCFDB931	NR	RCFDB932	NR	M.3.a.
b. International/Global equity	RCFDB933	NR	RCFDB934	NR	M.3.b.
c. Stock/Bond blend	RCFDB935	NR	RCFDB936	NR	M.3.c.
d. Taxable bond	RCFDB937	NR	RCFDB938	NR	M.3.d.
e. Municipal bond	RCFDB939	NR	RCFDB940	NR	M.3.e.
f. Short term investments/Money market	RCFDB941	NR	RCFDB942	NR	M.3.f.
g. Specialty/Other	RCFDB943	NR	RCFDB944	NR	M.3.g.
h. Total collective investment funds (sum of Memorandum items 3.a through 3.g)	RCFDB945	6	RCFDB946	537,315	M.3.h.

Dollar amounts in thousands					(Column A) Gross Losses Managed Accounts (Column B) Gross Losses Non-Managed Accounts				
4. Fiduciary settlements, surcharges, and other losses:							M.4.		
a. Personal trust and agency accounts	RIADB947	NR	RIADB948	NR	RIADB949	NR	M.4.a.		
b. Employee benefit and retirement-related trust and agency accounts	RIADB950	NR	RIADB951	NR	RIADB952	NR	M.4.b.		
c. Investment management agency accounts	RIADB953	NR	RIADB954	NR	RIADB955	NR	M.4.c.		
d. Other fiduciary accounts and related services	RIADB956	NR	RIADB957	NR	RIADB958	NR	M.4.d.		
e. Total fiduciary settlements, surcharges, and other losses (sum of Memorandum items 4.a through 4.d) (sum of columns A and B minus column C must equal Schedule RC-T, item 24)	RIADB959	NR	RIADB960	NR	RIADB961	NR	M.4.e.		

## Schedule RC-V - Variable Interest Entities(Form Type - 031)

	(Column A) Securitization		(Column B) Other VIEs		
Dollar amounts in thousands	Vehicles				
Assets of consolidated variable interest entities (VIEs) that can be used only to settle obligations of the consolidated VIEs:					1.
a. Cash and balances due from depository institutions	RCFDJ981	21,627	RCFDJF84	0	1.a.
b. Securities not held for trading	RCFDHU20	0	RCFDHU21	0	1.b.
c. Loans and leases held for investment, net of allowance, and held for sale	RCFDHU22	263,935	RCFDHU23	0	1.c.
d. Other real estate owned	RCFDK009	0	RCFDJF89	0	1.d.
e. Other assets	RCFDJF91	1,699	RCFDJF90	0	1.e.
2. Liabilities of consolidated VIEs for which creditors do not have recourse to the general credit of the reporting bank:					2.
a. Other borrowed money	RCFDJF92	200,227	RCFDJF85	0	2.a.
b. Other liabilities	RCFDJF93	9,569	RCFDJF86	0	2.b.
3. All other assets of consolidated VIEs (not included in items 1.a. through 1.e above)	RCFDK030	0	RCFDJF87	0	3.
4. All other liabilities of consolidated VIEs (not included in items 2.a through 2.b above)	RCFDK033	0	RCFDJF88	0	4.

5. Total assets of asset-backed commercial paper (ABCP) conduit VIEs	RCFDJF77	0 5
6. Total liabilities of ABCP conduit VIEs	RCFDJF78	0 6

# Optional Narrative Statement Concerning the Amounts Reported in the Consolidated Reports of Condition and Income(Form Type - 031)

Dollar amounts in thousands					
1. Comments?	RCON6979	No	1.		
2. Bank Management Statement	TEXT6980	NR	2.		



# Consolidated Reports of Condition and Income for A Bank With Domestic and Foreign Offices - FFIEC 031

Institution Name FIFTH THIRD BANK, NATIONAL ASSOCIATION

City CINCINNATI

State OH

Zip Code **45263** 

Call Report Report Date 3/31/2022

Report Type 031

RSSD-ID **723112** 

FDIC Certificate Number 6672

OCC Charter Number 25190

ABA Routing Number 42000314

Last updated on 5/6/2022



# Consolidated Reports of Condition and Income for A Bank With Domestic and Foreign Offices - FFIEC 031

#### Report at the close of business March 31, 2022

This report is required by law: 12 U.S.C. §324 (State member banks); 12 U.S.C. §1817 (State non member banks); 12 U.S.C. §161 (National banks); and 12 U.S.C. §1464 (Savings associations).

(20220331)

(RCON 9999)

Unless the context indicates otherwise, the term "bank" in this report form refers to both banks and savings associations.

NOTE: Each bank's board of directors and senior management are responsible for establishing and maintaining an effective system of internal control, including controls over the Reports of Condition and Income. The Reports of Condition and Income are to be prepared in accordance with federal regulatory authority instructions. The Reports of Condition and Income must be signed by the Chief Financial Officer (CFO) of the reporting bank (or by the individual performing an equivalent function) and attested to by not less than two directors (trustees) for state non member banks and three directors for state member banks, national banks, and savings associations.

I, the undersigned CFO (or equivalent) of the named bank, attest that the Reports of Condition and Income (including the supporting

Signature of Chief Financial Officer (or Equivalent)

Date of Signature

schedules) for this report date have been prepared in conformance with the instructions issued by the appropriate Federal regulatory authority and are true and correct to the best of my knowledge and belief.

We, the undersigned directors (trustees), attest to the correctness of the Reports of Condition and Income (including the supporting schedules) for this report date and declare that the Reports of Condition and Income have been examined by us and to the best of our knowledge and belief have been prepared in conformance with the instructions issued by the appropriate Federal regulatory authority and are true and correct.

Director (Trustee)

Director (Trustee)

Director (Trustee)

#### **Submission of Reports**

Each bank must file its Reports of Condition and Income (Call Report) data by either:

- (a) Using computer software to prepare its Call Report and then submitting the report data directly to the FFIEC's Central Data Repository (CDR), an Internet-based system for datacollection (https://cdr.ffiec.gov/cdr/), or
- (b) Completing its Call Report in paper form and arranging with a software vendor or another party to convert the data in to the electronic format that can be processed by the CDR. The software vendor or other party then must electronically submit the bank's data file to the CDR.

For technical assistance with submissions to the CDR, please contact the CDR Help Desk by telephone at (888) CDR-3111, by fax at (703) 774-3946, or by e-mail at CDR.Help@cdr.ffiec.gov.

#### FDIC Certificate Number 6672 (RSSD 9050)

To fulfill the signature and attestation requirement for the Reports of Condition and Income for this report date, attach your bank's completed signature page (or a photocopy or a computer generated version of this page) to the hard-copy record of the data file submitted to the CDR that your bank must place in its files.

The appearance of your bank's hard-copy record of the submitted data file need not match exactly the appearance of the FFIEC's sample report forms, but should show at least the caption of each Call Report item and the reported amount.

#### FIFTH THIRD BANK, NATIONAL ASSOCIATION

Legal Title of Bank (RSSD 9017)

#### **CINCINNATI**

City (RSSD 9130)

45263

OH
State Abbreviation (RSSD 9200)

Zip Code (RSSD 9220)

The estimated average burden associated with this information collection is 50.4 hours per respondent and is estimated to vary from 20 to 775 hours per response, depending on individual circumstances. Burden estimates include the time for reviewing instructions, gathering and maintaining data in the required form, and completing the information collection, but exclude the time for compiling and maintaining business records in the normal course of a respondent's activities. A Federal agency may not conduct or sponsor, and an organization (or a person) is not required to respond to a collection of information, unless it displays a currently valid OMB control number. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503, and to one of the following: Secretary, Board of Governors of the Federal Reserve System, 20th and C Streets, NW, Washington, DC 20551; Legislative and Regulatory Analysis Division, Office of the Comptroller of the Currency, Washington, DC 20219; Assistant Executive Secretary, Federal Deposit Insurance Corporation, Washington, DC 20429.

## Consolidated Reports of Condition and Income for A Bank With Domestic and Foreign Offices - FFIEC 031

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For information or assistance, national banks, state nonmember banks, and savings associations should contact the FDIC's Data Collection and Analysis Section, 550 17th Street, NW, Washington, DC 20429, toll free on (800) 688-FDIC(3342), Monday through Friday between 8:00 a.m. and 5:00 p.m., Eastern Time. State member banks should contact their Federal Reserve District Bank.

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For information or assistance, national banks, state nonmember banks, and savings associations should contact the FDIC's Data Collection and Analysis Section, 550 17th Street, NW, Washington, DC 20429, toll free on (800) 688-FDIC(3342), Monday through Friday between 8:00 a.m. and 5:00 p.m., Eastern Time. State member banks should contact their Federal Reserve District Bank.

#### **Contact Information for the Reports of Condition and Income**

To facilitate communication between the Agencies and the bank concerning the Reports of Condition and Income, please provide contact information for (1) the Chief Financial Officer (or equivalent) of the bank signing the reports for this quarter, and (2) the person at the bank—other than the Chief Financial Officer (or equivalent)—to whom questions about the reports should be directed. If the Chief Financial Officer (or equivalent) is the primary contact for questions about the reports, please provide contact information for another person at the bank who will serve as a secondary contact for communications between the Agencies and the bank concerning the Reports of Condition and Income. Enter "none" for the contact's e-mail address or fax number if not available. Contact information for the Reports of Condition and Income is for the confidential use of the Agencies and will not be released to the public.

Chief Financial Officer (or Equivalent) Signing the Reports	Other Person to Whom Questions about the Reports Should be Directed		
CONF Name (TEXT C490)	CONF Name (TEXT C495)		
CONF Title (TEXT C491)	CONF Title (TEXT C496)		
CONF E-mail Address (TEXT C492)	CONF E-mail Address (TEXT 4086)		
CONF Area Code / Phone Number / Extension (TEXT C493)	CONF Area Code / Phone Number / Extension (TEXT 8902)		
CONF Area Code / FAX Number (TEXT C494)	CONF Area Code / FAX Number (TEXT 9116)		

#### **Emergency Contact Information**

This information is being requested so the Agencies can distribute critical, time-sensitive information to emergency contacts at banks. Please provide primary contact information for a senior official of the bank who has decision-making authority. Also provide information for a secondary contact if available. Enter "none" for the contact's e-mail address or fax number if not available. Emergency contact information is for the confidential use of the Agencies and will not be released to the public.

Primary Contact	Secondary Contact	
CONF	CONF	
Name (TEXT C366)	Name (TEXT C371)	
CONF	CONF	
Title (TEXT C367)	Title (TEXT C372)	
CONF	CONF	
E-mail Address (TEXT C368)	E-mail Address (TEXT C373)	
CONF	CONF	
Area Code / Phone Number / Extension (TEXT C369)	Area Code / Phone Number / Extension (TEXT C374)	
CONF	CONF	
Area Code / EAV Number /TEVT C370)	Area Code / EAX Number (TEXT C375)	

#### **USA PATRIOT Act Section 314(a) Anti-Money Laundering**

#### **Contact Information**

This information is being requested to identify points-of-contact who are in charge of your bank's USA PATRIOT Act Section 314(a) information requests. Bank personnel listed could be contacted by law enforcement officers or the Financial Crimes Enforcement Network (FinCEN) for additional information related to specific Section 314(a) search requests or other anti-terrorist financing and anti- money laundering matters. Communications sent by FinCEN to the bank for purposes other than Section 314(a) notifications will state the intended purpose and should be directed to the appropriate bank personnel for review. Any disclosure of customer records to law enforcement officers or FinCEN must be done in compliance with applicable law, including the Right to Financial Privacy Act (12 U.S.C. 3401 et seq.).

Please provide information for a primary and secondary contact. Information for a third and fourth contact may be provided at the bank's option. Enter "none" for the contact's e-mail address if not available. This contact information is for the confidential use of the Agencies, FinCEN, and law enforcement officers and will not be released to the public.

Primary Contact	Third Contact
CONF	CONF
Name (TEXT C437)	Name (TEXT C870)
CONF	CONF
Title (TEXT C438)	Title (TEXT C871)
CONF	CONF
E-mail Address (TEXT C439)	E-mail Address (TEXT C368)
CONF	CONF
Area Code / Phone Number / Extension (TEXT C440)	Area Code / Phone Number / Extension (TEXT C873)
Secondary Contact	Fourth Contact
CONF	CONF
Name (TEXT C442)	Name (TEXT C875)
CONF	CONF
Title (TEXT C443)	Title (TEXT C876)
CONF	CONF
E-mail Address (TEXT C444)	E-mail Address (TEXT C877)
CONF	CONF
Area Code / Phone Number / Extension (TEXT 8902)	Area Code / Phone Number / Extension (TEXT C878)

## **Bank Demographic Information(Form Type - 031)**

#### Dollar amounts in thousands

1. Reporting date	RCON9999	20220331	1.
2. FDIC certificate number	RSSD9050	6672	2.
3. Legal title of bank	RSSD9017	Click here for value	3.
4. City	RSSD9130	Cincinnati	4.
5. State abbreviation	RSSD9200	ОН	5.
6. Zip code	RSSD9220	45263	6.
7. Legal Entity Identifier (LEI) (Report only if your institution already has an LEI.)	RCON9224	Click here for value	7.

#### (RCON9224) QFROUN1UWUYU0DVIWD51

(RSSD9017) Fifth Third Bank, National Association

## **Contact Information(Form Type - 031)**

Donar amounts in thousa			
1. Contact Information for the Reports of Condition and Income		1	1.
a. Chief Financial Officer (or Equivalent) Signing the Reports		1	1.a.
1. Name	TEXTC490	CONF	1.a.
2. Title	TEXTC491	CONF	1.a.
3. E-mail Address	TEXTC492	CONF	1.a.
4. Telephone	TEXTC493	CONF	1.a.
5. FAX	TEXTC494	CONF	1.a.
b. Other Person to Whom Questions about the Reports Should be Directed		1	1.b.
1. Name	TEXTC495	CONF	1.b.
2. Title	TEXTC496	CONF	1.b.:
3. E-mail Address	TEXT4086	CONF	1.b.3
4. Telephone	TEXT8902	CONF	1.b.4
5. FAX	TEXT9116	CONF	1.b.
2. Person to whom questions about Schedule RC-T - Fiduciary and Related Services should be directed		2	2.
a. Name and Title	TEXTB962	CONF	2.a.
b. E-mail Address	TEXTB926	CONF	2.b.
c. Telephone	TEXTB963	CONF	2.c.
d. FAX	TEXTB964	CONF	2.d.
3. Emergency Contact Information		3	3.
a. Primary Contact		3	3.a.
1. Name	TEXTC366	CONF	3.a.
2. Title	TEXTC367	CONF	3.a.:
3. E-mail Address	TEXTC368	CONF	3.a.:
4. Telephone	TEXTC369	CONF	3.a.
5. FAX	TEXTC370	CONF	3.a.
b. Secondary Contact		3	3.b.
1. Name	TEXTC371	CONF	3.b.
2. Title	TEXTC372	CONF	3.b.:
3. E-mail Address	TEXTC373	CONF	3.b.3
4. Telephone	TEXTC374	CONF	3.b.4
5. FAX	TEXTC375	CONF	3.b.
4. USA PATRIOT Act Section 314(a) Anti-Money Laundering Contact Information		4	4.
a. Primary Contact		2	4.a.

1. Name	TEXTC437	CONF 4.a
2. Title	TEXTC438	CONF 4.a
3. E-mail Address	TEXTC439	CONF 4.a
4. Telephone	TEXTC440	CONF 4.a
b. Secondary Contact		4.b
1. Name	TEXTC442	CONF 4.b.
2. Title	TEXTC443	CONF 4.b.
3. E-mail Address	TEXTC444	CONF 4.b.
4. Telephone	TEXTC445	CONF 4.b.
c. Third Contact		4.c.
1. Name	TEXTC870	CONF 4.c.
2. Title	TEXTC871	CONF 4.c.
3. E-mail Address	TEXTC872	CONF 4.c.
4. Telephone	TEXTC873	CONF 4.c.
d. Fourth Contact		4.d
1. Name	TEXTC875	CONF 4.d
2. Title	TEXTC876	CONF 4.d
3. E-mail Address	TEXTC877	CONF 4.d
4. Telephone	TEXTC878	CONF 4.d
5. Chief Executive Officer Contact Information		5.
a. Chief Executive Officer		5.a
1. Name	TEXTFT42	CONF 5.a
2. E-mail Address	TEXTFT44	CONF 5.a
3. Telephone	TEXTFT43	CONF 5.a
4. FAX	TEXTFT45	CONF 5.a

## Schedule RI - Income Statement(Form Type - 031)

All Report of Income schedules are to be reported on a calendar year-to-date basis in thousands of dollars.

Dollar amounts in thousands		
1. Interest income:		
a. Interest and fee income on loans:		
1. In domestic offices:		
a. Loans secured by real estate:		
1. Loans secured by 1-4 family residential properties	RIAD4435	189,800
2. All other loans secured by real estate	RIAD4436	119,078
b. Loans to finance agricultural production and other loans to farmers	RIAD4024	157
c. Commercial and industrial loans	RIAD4012	400,175
d. Loans to individuals for household, family, and other personal expenditures:		
1. Credit cards	RIADB485	56,052
Other (includes revolving credit plans other than credit cards, automobile loans, and other consumer loans)	RIADB486	174,707
e. Loans to foreign governments and official institutions	RIAD4056	0
f. All other loans in domestic offices	RIADB487	27,451
2. In foreign offices, Edge and Agreement subsidiaries, and IBFs	RIAD4059	3,092
3. Total interest and fee income on loans (sum of items 1.a.(1)(a) through 1.a.(2))	RIAD4010	970,512
b. Income from lease financing receivables	RIAD4065	20,712
c. Interest income on balances due from depository institutions <sup>1</sup>	RIAD4115	12,253
d. Interest and dividend income on securities:		
1. U.S. Treasury securities and U.S. Government agency obligations (excluding mortgage-backed securities).	RIADB488	4,064
2. Mortgage-backed securities	RIADB489	259,634
3. All other securities (includes securities issued by states and political subdivisions in the U.S.)	RIAD4060	25,799
e. Interest income from trading assets	RIAD4069	1,616
f. Interest income on federal funds sold and securities purchased under agreements to resell	RIAD4020	0
g. Other interest income	RIAD4518	2,500
h. Total interest income (sum of items 1.a.(3) through 1.g)	RIAD4107	1,297,090
2. Interest expense:		
a. Interest on deposits:		
1. Interest on deposits in domestic offices:		
a. Transaction accounts (interest-bearing demand deposits, NOW accounts, ATS accounts, and telephone and preauthorized transfer accounts)	RIAD4508	6,619
b. Nontransaction accounts:		
1. Savings deposits (includes MMDAs)	RIAD0093	3,428
2. Time deposits of \$250,000 or less	RIADHK03	1,109
3. Time deposits of more than \$250,000	RIADHK04	107
Interest on deposits in foreign offices, Edge and Agreement subsidiaries, and IBFs	RIAD4172	12
b. Expense of federal funds purchased and securities sold under agreements to repurchase	RIAD4180	111
c. Interest on trading liabilities and other borrowed money	RIAD4185	13,438
d. Interest on subordinated notes and debentures	RIAD4200	9,087
e. Total interest expense (sum of items 2.a through 2.d)	RIAD4073	33,911
B. Net interest income (item 1.h minus 2.e)	RIAD4074	1,263,179
I. Provision for loan and lease losses <sup>1</sup>	RIADJJ33	45,158
5. Noninterest income:		•
a. Income from fiduciary activities <sup>2</sup>	RIAD4070	98,431
S	-	,

Includes interest income on time certificates of deposit not held for trading.

<sup>1.</sup> Institutions that have adopted ASU 2016-13 should report in item 4, the provisions for credit losses for all financial assets and off-balance-sheet credit exposures that fall within the scope of the standard.

<sup>2.</sup> For banks required to complete Schedule RC-T, items 14 through 22, income from fiduciary activities reported in Schedule RI, item 5.a, must equal the amount reported in Schedule RC-T, item 22.

c. Trading revenue <sup>3</sup>	RIADA220	85,497
d. Income from securities-related and insurance activities:		
Fees and commissions from securities brokerage	RIADC886	8,503
2. Investment banking, advisory, and underwriting fees and commissions	RIADC888	56,672
3. Fees and commissions from annuity sales	RIADC887	7,733
4. Underwriting income from insurance and reinsurance activities	RIADC386	0
5. Income from other insurance activities	RIADC387	4,229
e. Venture capital revenue	RIADB491	512
f. Net servicing fees	RIADB492	207,828
g. Net securitization income	RIADB493	0
h. Not applicable		-
i. Net gains (losses) on sales of loans and leases	RIAD5416	13,456
- · · · · · · ·	RIAD5415	4,166
j. Net gains (losses) on sales of other real estate owned		<u>_</u>
k. Net gains (losses) on sales of other assets <sup>4</sup>	RIADB496	4,974
I. Other noninterest income	RIADB497	46,332
m. Total noninterest income (sum of items 5.a through 5.l)	RIAD4079	693,685
. Not available		
a. Realized gains (losses) on held-to-maturity securities	RIAD3521	0
b. Realized gains (losses) on available-for-sale debt securities	RIAD3196	2,233
. Noninterest expense:		
a. Salaries and employee benefits	RIAD4135	714,985
b. Expenses of premises and fixed assets (net of rental income) (excluding salaries and employee benefits and mortgage interest)	RIAD4217	112,991
c. Not available		
1. Goodwill impairment losses	RIADC216	0
Amortization expense and impairment losses for other intangible assets	RIADC232	11,250
d. Other noninterest expense *	RIAD4092	384,442
e. Total noninterest expense (sum of items 7.a through 7.d)	RIAD4093	1,223,668
. Not available		
a. Income (loss) before change in net unrealized holding gains (losses) on equity securities not held for trading, applicable income taxes, and discontinued operations (item 3 plus or minus items 4, 5.m, 6.a, 6.b, and 7.e)	RIADHT69	690,271
b. Change in net unrealized holding gains (losses) on equity securities not held for trading <sup>5</sup>	RIADHT70	-301
c. Income (loss) before applicable income taxes and discontinued operations (sum of items 8.a and 8.b)	RIAD4301	689,970
Applicable income taxes (on item 8.c)	RIAD4302	133,388
Income (loss) before discontinued operations (item 8.c minus item 9)	RIAD4300	556,582
· · · · · · · · · · · · · · · · · · ·	RIADFT28	0
1. Discontinued operations, net of applicable income taxes (Describe on Schedule RI-E - Explanations)		
2. Net income (loss) attributable to bank and noncontrolling (minority) interests (sum of items 10 and 11)  3. LESS: Net income (loss) attributable to noncontrolling (minority) interests (if net income, report as a positive value;	RIADG104 RIADG103	556,582
net loss, report as a negative value)	RIAD4340	556,582
Net income (loss) attributable to bank (item 12 minus item 13)      Interest expense incurred to carry tax-exempt securities, loans, and leases acquired after August 7, 1986, that is ot deductible for federal income tax purposes	RIAD4513	0
demorandum item 2 is to be completed by banks with \$1 billion or more in total assets  Income from the sale and servicing of mutual funds and annuities in domestic offices (included in Schedule RI, item)	RIAD8431	13,862
. Income on tax-exempt loans and leases to states and political subdivisions in the U.S. (included in Schedule RI, ems 1.a and 1.b)	RIAD4313	7,279
. Income on tax-exempt securities issued by states and political subdivisions in the U.S. (included in Schedule RI, em 1.d.(3))	RIAD4507	4,711

<sup>3.</sup> For banks required to complete Schedule RI, Memorandum item 8, trading revenue reported in Schedule RI, item 5.c, must equal the sum of Memorandum items 8.a through 8.e.

<sup>4.</sup> Exclude net gains (losses) on sales of trading assets and held-to-maturity and available-for-sale debt securities.

<sup>.</sup> Describe on Schedule RI-E—Explanations.

<sup>5.</sup> Item 8.b is to be completed by all institutions. See the instructions this item and the Glossary entry for "Securities Activities" for further detail on accounting for investments in equity securities.

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7. If the reporting institution has applied pushdown accounting this calendar year, report the date of the institution's acquisition (see instructions) <sup>2</sup>	RIAD9106	0	M.7.
8. Trading revenue (from cash instruments and derivative instruments) (sum of Memorandum items 8.a through 8.e must equal Schedule RI, item 5.c):			M.8.
Memorandum items 8.a through 8.e are to be completed by banks that reported average trading assets (Schedule RC-K, item 7) of \$2 million or more for any quarter of the preceding calendar year.  a. Interest rate exposures	RIAD8757	72,746	M.8.a.
b. Foreign exchange exposures	RIAD8758	15,202	M.8.b.
c. Equity security and index exposures	RIAD8759	-11,155	M.8.c.
d. Commodity and other exposures	RIAD8760	7,688	M.8.d.
e. Credit exposures	RIADF186	1,016	M.8.e.
Memorandum items 8.f through 8.h are to be completed by banks with \$100 billion or more in total assets that are required to complete Schedule RI, Memorandum items 8.a through 8.e, above.			M 0 4
f. Impact on trading revenue of changes in the creditworthiness of the bank's derivatives counterparties on the bank's derivative assets (year-to-date changes) (included in Memorandum items 8.a through 8.e above):			M.8.f.
Gross credit valuation adjustment (CVA)	RIADFT36	3,751	M.8.f.1.
2. CVA hedge	RIADFT37	0	M.8.f.2.
g. Impact on trading revenue of changes in the creditworthiness of the bank on the bank's derivative liabilities (year-to-date changes) (included in Memorandum items 8.a through 8.e above):			M.8.g.
Gross debit valuation adjustment (DVA)	RIADFT38	0	M.8.g.1.
2. DVA hedge	RIADFT39	0	M.8.g.2.
h. Gross trading revenue, before including positive or negative net CVA and net DVA	RIADFT40	81,746	M.8.h.
<ol><li>Net gains (losses) recognized in earnings on credit derivatives that economically hedge credit exposures held outside the trading account:</li></ol>			M.9.
a. Net gains (losses) on credit derivatives held for trading	RIADC889	0	M.9.a.
b. Net gains (losses) on credit derivatives held for purposes other than trading	RIADC890	0	M.9.b.
10. Credit losses on derivatives (see instructions)	RIADA251	0	M.10.
11. Does the reporting bank have a Subchapter S election in effect for federal income tax purposes for the current tax year?	RIADA530	No	M.11.
Memorandum item 12 is to be completed by banks that are required to complete Schedule RC-C, Part I, Memorandum items 8.b and 8.c and is to be completed semiannually in the June and December reports only.  12. Noncash income from negative amortization on closed-end loans secured by 1-4 family residential properties	RIADF228	NR	M.12.
(included in Schedule RI, item 1.a.(1)(a)(1))			
Memorandum item 13 is to be completed by banks that have elected to account for assets and liabilities under a fair value option.  13. Net gains (losses) recognized in earnings on assets and liabilities that are reported at fair value under a fair value			M.13.
option:			
a. Net gains (losses) on assets	RIADF551	-56,144	M.13.a.
Estimated net gains (losses) on loans attributable to changes in instrument-specific credit risk	RIADF552	157	M.13.a.1
b. Net gains (losses) on liabilities	RIADF553	0	M.13.b.
Estimated net gains (losses) on liabilities attributable to changes in instrument-specific credit risk	RIADF554	0	M.13.b.1
14. Other-than-temporary impairment losses on held-to-maturity and available-for-sale debt securities <sup>2</sup>	RIADJ321	NR	M.14.
Memorandum item 15 is to be completed by institutions with \$1 billion or more in total assets that answered "Yes" to Schedule RC-E, Part I, Memorandum item 5.			M.15.
15. Components of service charges on deposit accounts in domestic offices (sum of Memorandum items 15.a through 15.d must equal Schedule RI, item 5.b):			IVI. 13.
Consumer overdraft-related service charges levied on those transaction account and nontransaction savings account deposit products intended primarily for individuals for personal, household, or family use	RIADH032	25,725	M.15.a.
b. Consumer account periodic maintenance charges levied on those transaction account and nontransaction savings account deposit products intended primarily for individuals for personal, household, or family use	RIADH033	5,237	M.15.b.
c. Consumer customer automated teller machine (ATM) fees levied on those transaction account and nontransaction savings account deposit products intended primarily for individuals for personal, household, or family use	RIADH034	6,204	M.15.c.
d. All other service charges on deposit accounts	RIADH035	118,186	M.15.d.

<sup>2.</sup> Report the date in YYYYMMDD format. For example, a bank acquired on March 1, 2022, would report 20220301.

<sup>2.</sup> Memorandum item 14 is to be completed only by institutions that have not adopted ASU 2016-13.

# Schedule RI-A - Changes in Bank Equity Capital(Form Type - 031)

Total bank equity capital most recently reported for the December 31, 2021, Reports of Condition and Income (i.e., after adjustments from amended Reports of Income)		22,964,184
2. Cumulative effect of changes in accounting principles and corrections of material accounting errors *	RIADB507	0
3. Balance end of previous calendar year as restated (sum of items 1 and 2)	RIADB508	22,964,184
4. Net income (loss) attributable to bank (must equal Schedule RI, item 14)	RIAD4340	556,582
5. Sale, conversion, acquisition, or retirement of capital stock, net (excluding treasury stock transactions)	RIADB509	79,272
6. Treasury stock transactions, net	RIADB510	0
7. Changes incident to business combinations, net	RIAD4356	0
8. LESS: Cash dividends declared on preferred stock	RIAD4470	0
9. LESS: Cash dividends declared on common stock	RIAD4460	0
10. Other comprehensive income <sup>1</sup>	RIADB511	-2,303,156
11. Other transactions with stockholders (including a parent holding company) (not included in items 5, 6, 8, or 9 above)*	RIAD4415	0
12. Total bank equity capital end of current period (sum of items 3 through 11) (must equal Schedule RC, item 27.a)	RIAD3210	21,296,882

<sup>\*.</sup> Describe on Schedule RI-E—Explanations

Includes, but is not limited to, changes in net unrealized holding gains (losses) on available-for-sale debt securities, changes in accumulated net gains (losses) on cash flow hedges, foreign currency translation adjustments, and pension and other postretirement plan-related changes other than net periodic benefit cost.

# Schedule RI-B Part I - Charge-offs and Recoveries on Loans and Leases(Form Type - 031)

Part I includes charge-offs and recoveries through the allocated transfer risk reserve.

Dollar amounts in thousands		) Charge-offs year-to-date	(Column B) Recov year-to-		
1. Loans secured by real estate:					1.
a. Construction, land development, and other land loans in domestic offices:					1.a
1. 1-4 family residential construction loans	RIADC891	4	RIADC892	21	1.a.
2. Other construction loans and all land development and other land loans	RIADC893	8	RIADC894	199	1.a.
b. Secured by farmland in domestic offices	RIAD3584	0	RIAD3585	1	1.b.
c. Secured by 1-4 family residential properties in domestic offices:					1.c.
Revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit	RIAD5411	1,667	RIAD5412	1,854	1.c.
2. Closed-end loans secured by 1-4 family residential properties:					1.c.
a. Secured by first liens	RIADC234	642	RIADC217	1,377	1.c.
b. Secured by junior liens	RIADC235	126	RIADC218	570	1.c.:
d. Secured by multifamily (5 or more) residential properties in domestic offices	RIAD3588	0	RIAD3589	10	1.d.
e. Secured by nonfarm nonresidential properties in domestic offices:					1.e.
Loans secured by owner-occupied nonfarm nonresidential properties	RIADC895	4	RIADC896	583	1.e.
2. Loans secured by other nonfarm nonresidential properties	RIADC897	0	RIADC898	1	1.e.
f. In foreign offices	RIADB512	0	RIADB513	0	1.f.
2. Not applicable					2.
3. Loans to finance agricultural production and other loans to farmers	RIAD4655	0	RIAD4665	0	3.
4. Commercial and industrial loans:					4.
a. To U.S. addressees (domicile)	RIAD4645	6,797	RIAD4617	1,759	4.a.
b. To non-U.S. addressees (domicile)	RIAD4646	0	RIAD4618	0	4.b.
5. Loans to individuals for household, family, and other personal expenditures:					5.
a. Credit cards	RIADB514	17,377	RIADB515	4,322	5.a.
b. Automobile loans	RIADK129	15,582	RIADK133	8,137	5.b.
c. Other (includes revolving credit plans other than credit cards and other consumer loans)	RIADK205	18,163	RIADK206	11,128	5.c.
6. Loans to foreign governments and official institutions	RIAD4643	0	RIAD4627	0	6.
7. All other loans	RIAD4644	3,781	RIAD4628	34	7.
8. Lease financing receivables:					8.
a. Leases to individuals for household, family, and other personal expenditures	RIADF185	0	RIADF187	0	8.a.
b. All other leases	RIADC880	0	RIADF188	0	8.b.
9. Total (sum of items 1 through 8)	RIAD4635	64,151	RIAD4605	29,996	9.
Loans to finance commercial real estate, construction, and land development activities (not secured by real estate) included in Schedule RI-B, part I, items 4 and 7, above	RIAD5409	22	RIAD5410	6	M.1
Loans secured by real estate to non-U.S. addressees (domicile) (included in Schedule RI-B, part I, item 1, above)	RIAD4652	0	RIAD4662	0	M.2
3. Not applicable					М.3

#### Dollar amounts in thousands

Memorandum item 4 is to be completed by banks that (1) together with affiliated institutions, have outstanding credit card receivables (as defined in the instructions) that exceed \$500 million as of the report date, or (2) are credit card specialty banks as defined for Uniform Bank Performance Report purposes.

4. Uncollectible retail credit card fees and finance charges reversed against income (i.e., not included in charge-offs against the allowance for loan and lease losses)<sup>2</sup>......

RIADC388	2,497	М
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<sup>2.</sup> Institutions that have adopted ASU 2016-13 should report in Memorandum item 4 uncollectible retail credit card fees and finance charges reversed against income (i.e. not included in charge-offs against the allowance for credit losses on loans and leases).

Dollar amounts in thousands	Leases	) Loans and Held for stment	Held-to-m	umn B) aturity Debt urities	Available-	umn C) for-sale Debt urities	
Balance most recently reported for the December 31, 2021, Reports of Condition and Income (i.e., after adjustments from amended Reports of Income)	RIADB522	1,892,292	RIADJH88	0	RIADJH94	0	1.
2. Recoveries (column A must equal Part I, item 9, column B, above)	RIAD4605	29,996	RIADJH89	0	RIADJH95	0	2.
LESS: Charge-offs (column A must equal Part I, item 9, column A, above less Schedule RI-B, Part II, item 4, column A)	RIADC079	64,151	RIADJH92	0	RIADJH98	0	3.
4. LESS: Write-downs arising from transfers of financial assets <sup>3</sup>	RIAD5523	0	RIADJJ00	0	RIADJJ01	0	4.
5. Provisions for credit losses <sup>4</sup>	RIAD4230	49,629	RIADJH90	0	RIADJH96	0	5.
6. Adjustments* (see instructions for this schedule)*	RIADC233	0	RIADJH91	0	RIADJH97	0	6.
7. Balance end of current period (sum of items 1, 2, 5, and 6, less items 3 and 4) (column A must equal Schedule RC, item 4.c)	RIAD3123	1,907,766	RIADJH93	0	RIADJH99	0	7.

Allocated transfer risk reserve included in Schedule RI-B, Part II, item 7, column A, above	RIADC435	0	M.1
Memorandum items 2 and 3 are to be completed by banks that (1) together with affiliated institutions, have outstanding credit card receivables (as defined in the instructions) that exceed \$500 million as of the report date, or (2) are credit card specialty banks as defined for Uniform Bank Performance Report purposes.	RIADC389	0	M.2
Separate valuation allowance for uncollectible retail credit card fees and finance charges			4
3. Amount of allowance for loan and lease losses attributable to retail credit card fees and finance charges 1	RIADC390	1,762	. M.3
4. Amount of allowance for post-acquisition credit losses on purchased credit-impaired loans accounted for in accordance with FASB ASC 310-30 (former AICPA Statement of Position 03-3) (included in Schedule RI-B, Part II, item 7, column A, above) <sup>2</sup>	RIADC781	NR	M.4
5. Provisions for credit losses on other financial assets measured at amortized cost (not included in item 5, above) <sup>3</sup>	RIADJJ02	0	M.5
6. Allowance for credit losses on other financial assets measured at amortized cost (not included in item 7, above) <sup>3</sup>	RCFDJJ03	0	М.6
7. Provisions for credit losses on off-balance-sheet credit exposures <sup>3</sup>	RIADMG93	-4,471	M.7
8. Estimated amount of expected recoveries of amounts previously written off included within the allowance for credit losses on loans and leases held for investment (included in item 7, column A, "Balance end of current period," above) <sup>3</sup>	RIADMG94	56,979	M.8

<sup>3.</sup> Institutions that have not yet adopted ASU 2016-13 should report write-downs arising from transfers of loans to a held-for-sale account in item 4, column A.

<sup>4.</sup> Institutions that have not yet adopted ASU 2016-13 should report the provision for loan and lease losses in item 5, column A and the amount reported must equal Schedule RI, item 4.

<sup>\*.</sup> Describe on Schedule RI-E - Explanations.

<sup>1.</sup> Institutions that have adopted ASU 2016-13 should report in Memorandum item 3 the amount of allowance for credit losses on loans and leases attributable to retail credit card fees and finance charges.

<sup>2.</sup> Memorandum item 4 is to be completed only by institutions that have not yet adopted ASU 2016-13.

Memorandum items 5, 6, 7, and 8 are to be completed only by institutions that have adopted ASU 2016-13.

<sup>3.</sup> Memorandum items 5, 6, 7, and 8 are to be completed only by institutions that have adopted ASU 2016-13.

<sup>3.</sup> Memorandum items 5, 6, 7, and 8 are to be completed only by institutions that have adopted ASU 2016-13.

Memorandum items 5, 6, 7, and 8 are to be completed only by institutions that have adopted ASU 2016-13.

## Schedule RI-C Part I - Disaggregated Data on the Allowance for Loan and Lease Losses(Form Type - 031)

Schedule RI-C is to be completed by institutions with \$1 billion or more in total assets.

Dollar amounts in thousands	(Column A) Recorded Investment: Individually Evaluated for Impairment and Determined to be Impaired (ASC 310-10-35)	(Column B) Allowance Balance: Individually Evaluated for Impairment and Determined to be Impaired (ASC 310-10-35)	(Column C) Recorded Investment: Collectively Evaluated for Impairment (ASC 450-20)	(Column D) Allowance Balance: Collectively Evaluated for Impairment (ASC 450-20)	(Column E) Recorded Investment: Purchased Credit-Impaired Loans (ASC 310-30)	(Column F) Allowance Balance: Purchased Credit-Impaired Loans (ASC 310-30)	
1. Real estate loans:							1.
a. Construction loans	RCFDM708 NR	RCFDM709 NR	RCFDM710 NR	RCFDM711 NR	RCFDM712 NR	RCFDM713 NR	1.a.
b. Commercial real estate loans	RCFDM714 NR	RCFDM715 NR	RCFDM716 NR	RCFDM717 NR	RCFDM719 NR	RCFDM720 NR	1.b.
c. Residential real estate loans	RCFDM721 NR	RCFDM722 NR	RCFDM723 NR	RCFDM724 NR	RCFDM725 NR	RCFDM726 NR	1.c.
2. Commercial loans <sup>3</sup>	RCFDM727 NR	RCFDM728 NR	RCFDM729 NR	RCFDM730 NR	RCFDM731 NR	RCFDM732 NR	2.
3. Credit cards	RCFDM733 NR	RCFDM734 NR	RCFDM735 NR	RCFDM736 NR	RCFDM737 NR	RCFDM738 NR	3.
4. Other consumer loans	RCFDM739 NR	RCFDM740 NR	RCFDM741 NR	RCFDM742 NR	RCFDM743 NR	RCFDM744 NR	4.
5. Unallocated, if any				RCFDM745 NR			5.
6. Total (for each column, sum of items 1.a through 5) <sup>4</sup>	RCFDM746 NR	RCFDM747 NR	RCFDM748 NR	RCFDM749 NR	RCFDM750 NR	RCFDM751 NR	6.

<sup>3.</sup> Include all loans and leases not reported as real estate loans, credit cards, or other consumer loans in items 1, 3, or 4 of Schedule RI-C.

<sup>4.</sup> The sum of item 6, columns B, D, and F, must equal Schedule RC, item 4.c. Item 6, column E, must equal Schedule RC-C, Part I, Memorandum item 7.b. Item 6, column F, must equal Schedule RI-B, Part II, Memorandum item 4.

# Schedule RI-C Part II - Disaggregated Data on the Allowances for Credit Losses(Form Type - 031)

Dollar amounts in thousands	(Column A)	Amortized Cost	(Column B) Al	lowance Balance	
1. Real estate loans:					1.
a. Construction loans	RCFDJJ04	5,161,088	RCFDJJ12	78,698	1.a.
b. Commercial real estate loans	RCFDJJ05	10,180,825	RCFDJJ13	252,767	1.b.
c. Residential real estate loans	RCFDJJ06	20,054,630	RCFDJJ14	354,193	1.c.
2. Commercial loans <sup>3</sup>	RCFDJJ07	58,386,927	RCFDJJ15	778,684	2.
3. Credit cards	RCFDJJ08	1,690,122	RCFDJJ16	204,015	3.
4. Other consumer loans	RCFDJJ09	20,243,311	RCFDJJ17	239,409	4.
5. Unallocated, if any			RCFDJJ18	0	5.
6. Total (sum of items 1.a. through 5) <sup>4</sup>	RCFDJJ11	115,716,903	RCFDJJ19	1,907,766	6.

#### Dollar amounts in thousands

7. Securities issued by states and political subdivisions in the U.S	RCFDJJ20	0	7.
8. Mortgage-backed securities (MBS) (including CMOs, REMICs, and stripped MBS)	RCFDJJ21	0	8.
9. Asset-backed securities and structured financial products	RCFDJJ23	0	9.
10. Other debt securities	RCFDJJ24	0	10.
11. Total (sum of items 7 through 10) <sup>5</sup>	RCFDJJ25	0	11.

## Schedule RI-D - Income from Foreign Offices(Form Type - 031)

For all banks with foreign offices (including Edge or Agreement subsidiaries and IBFs) and total foreign office assets of \$10 billion or more where foreign office revenues, assets, or net income exceed 10 percent of consolidated total revenues, total assets, or net income.

Total interest income in foreign offices	RIADC899	0	1.
2. Total interest expense in foreign offices	RIADC900	0	2.
3. Provision for loan and lease losses in foreign offices <sup>1</sup>	RIADKW02	0	3.
4. Noninterest income in foreign offices:			4.
a. Trading revenue	RIADC902	0	4.a.
b. Investment banking, advisory, brokerage, and underwriting fees and commissions	RIADC903	0	4.b.
c. Net securitization income	RIADC904	0	4.c.
d. Other noninterest income	RIADC905	0	4.d.
5. Realized gains (losses) on held-to-maturity and available-for-sale debt securities and change in net unrealized holding gains (losses) on equity securities not held for trading in foreign offices	RIADJA28	0	5.
6. Total noninterest expense in foreign offices	RIADC907	0	6.
7. Adjustments to pretax income in foreign offices for internal allocations to foreign offices to reflect the effects of equity capital on overall bank funding costs	RIADC908	0	7.
8. Applicable income taxes (on items 1 through 7)	RIADC909	0	8.
9. Discontinued operations, net of applicable income taxes, in foreign offices	RIADGW64	0	9.
10. Net income attributable to foreign offices before internal allocations of income and expense (item 1 plus or minus items 2 through 9)	RIADC911	0	10.
11. Not applicable			11.
12. Eliminations arising from the consolidation of foreign offices with domestic offices	RIADC913	0	12.
13. Consolidated net income attributable to foreign offices (sum of items 10 and 12)	RIADC914	0	13.

<sup>3.</sup> Include all loans and leases not reported as real estate loans, credit cards, or other consumer loans in item 1, 3, or 4 of Schedule RI-C, Part II.

<sup>4.</sup> Item 6, column B must equal schedule RC, item 4.c.

<sup>5.</sup> Item 11 must equal Schedule RI-B, Part II, item 7, column B.

<sup>.</sup> Institutions that have adopted ASU 2016-13 should report the provisions for credit losses in foreign offices for all financial assets and off-balance-sheet credit exposures that fall within the scope of the standard in item 3.

# Schedule RI-E - Explanations (Form Type - 031)

Schedule RI-E is to be completed each quarter on a calendar year-to-date basis.

Detail all adjustments in Schedule RI-A and RI-B, all extraordinary items and other adjustments in Schedule RI, and all significant items of other noninterest income and other noninterest expense in Schedule RI. (See instructions for details.)

Dollar amounts in thousands		
1. Other noninterest income (from Schedule RI, item 5.I) Itemize and describe amounts greater than \$100,000 that exceed 7 percent of Schedule RI, item 5.I:		
a. Income and fees from the printing and sale of checks	RIADC013	3,556
b. Earnings on/increase in value of cash surrender value of life insurance	RIADC014	16,122
c. Income and fees from automated teller machines (ATMs)	RIADC016	6,905
d. Rent and other income from other real estate owned	RIAD4042	0
e. Safe deposit box rent	RIADC015	0
f. Bank card and credit card interchange fees	RIADF555	83,451
g. Income and fees from wire transfers	RIADT047	0
h. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT4461	Click here for value
2. Amount of component	RIAD4461	36,060
i. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT4462	Click here for value
2. Amount of component	RIAD4462	29,969
j. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT4463	Click here for value
2. Amount of component	RIAD4463	-144,619
. Other noninterest expense (from Schedule RI, item 7.d) Itemize and describe amounts greater than \$100,000 that xceed 7 percent of Schedule RI, item 7.d:		
a. Data processing expenses	RIADC017	0
b. Advertising and marketing expenses	RIAD0497	0
c. Directors' fees	RIAD4136	0
d. Printing, stationery, and supplies	RIADC018	0
e. Postage	RIAD8403	0
f. Legal fees and expenses	RIAD4141	0
g. FDIC deposit insurance assessments	RIAD4146	CONF
h. Accounting and auditing expenses	RIADF556	0
i. Consulting and advisory expenses	RIADF557	0
j. Automated teller machine (ATM) and interchange expenses	RIADF558	0
k. Telecommunications expenses	RIADF559	0
I. Other real estate owned expenses	RIADY923	0
m. Insurance expenses (not included in employee expenses, premises and fixed asset expenses, and other real estate owned expenses)	RIADY924	0
n. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT4464	Click here for value
2. Amount of component	RIAD4464	93,117
o. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT4467	Click here for value
2. Amount of component	RIAD4467	44,849
p. Disclose component and the dollar amount of that component:		
1. Describe component	TEXT4468	Click here for value
2. Amount of component	RIAD4468	31,548
Discontinued operations and applicable income tax effect (from Schedule RI, item 11) (itemize and describe each iscontinued operation):		
a. Disclose component, the gross dollar amount of that component, and its related income tax:		
1. Describe component	TEXTFT29	NR
2. Amount of component	RIADFT29	0

Donar amounts in thousands			
3. Applicable income tax effect	RIADFT30	0	3.a.3
b. Disclose component, the gross dollar amount of that component, and its related income tax:			3.b.
1. Describe component	TEXTFT31	NR	3.b.1
2. Amount of component	RIADFT31	0	3.b.2
3. Applicable income tax effect	RIADFT32	0	3.b.3
4. Cumulative effect of changes in accounting principles and corrections of material accounting errors (from Schedule RI-A, item 2) (itemize and describe all such effects):			4.
a. Effect of adoption of Current Expected Credit Losses Methodology - ASU 2016-13 <sup>1</sup>	RIADJJ26	NR	4.a.
b. Effect of adoption of lease accounting standard - ASC Topic 842	RIADKW17	NR	4.b.
c. Disclose component and the dollar amount of that component:			4.c.
1. Describe component	TEXTB526	NR	4.c.1
2. Amount of component	RIADB526	0	4.c.2
d. Disclose component and the dollar amount of that component:			4.d.
1. Describe component	TEXTB527	NR	4.d.
2. Amount of component	RIADB527	0	4.d.2
5. Other transactions with stockholders (including a parent holding company) (from Schedule RI-A, item 11) (itemize and describe all such transactions):			5.
a. Disclose component and the dollar amount of that component:			5.a.
1. Describe component	TEXT4498	NR	5.a.
2. Amount of component	RIAD4498	0	5.a.2
b. Disclose component and the dollar amount of that component:			5.b.
1. Describe component	TEXT4499	NR	5.b.1
2. Amount of component	RIAD4499	0	5.b.2
6. Adjustments to allowances for credit losses (from Schedule RI-B, part II, item 6) (itemize and describe all adjustments): <sup>3</sup>			6.
a. Initial allowances for credit losses recognized upon the acquisition of purchased credit-deteriorated assets on or after the effective date of ASU 2016-13 <sup>1</sup>	RIADJJ27	0	6.a.
b. Effect of adoption of current expected credit losses methodology on allowances for credit losses 1	RIADJJ28	NR	6.b.
c. Disclose component and the dollar amount of that component:			6.c.
1. Describe component	TEXT4521	NR	6.c.1
2. Amount of component	RIAD4521	0	6.c.2
d. Disclose component and the dollar amount of that component:			6.d.
1. Describe component	TEXT4522	NR	6.d. <sup>2</sup>
2. Amount of component	RIAD4522	0	6.d.2
7. Other explanations (the space below is provided for the bank to briefly describe, at its option, any other significant items affecting the Report of Income):			7.
a. Comments?	RIAD4769	Yes	7.a.
b. Other explanations	TEXT4769	Click here for value	7.b.

(TEXT4461) Operating lease income

(TEXT4462) Commercial commitment fees

(TEXT4463) See Schedule RI-E, Line 7

(TEXT4464) Software expense

(TEXT4467) Loan and lease expense

<sup>1.</sup> Only institutions that have adopted ASU 2016-13 should report amounts in items 4.a, 6.a and 6.b, if applicable.

<sup>3.</sup> Institutions that have not adopted ASU 2016-13 should report the allowance for loan and lease losses in item 6, where applicable.

<sup>1.</sup> Only institutions that have adopted ASU 2016-13 should report amounts in items 4.a, 6.a and 6.b, if applicable.

<sup>1.</sup> Only institutions that have adopted ASU 2016-13 should report amounts in items 4.a, 6.a and 6.b, if applicable.

FIFTH THIRD BANK, NATIONAL ASSOCIATION RSSD-ID 723112 Last Updated on 5/6/2022 FFIEC 031 Report Date 3/31/2022

#### (TEXT4468) Operating lease expense

(TEXT4769) Commercial syndication fees \$19MM, Gain on equity method investments \$11MM, International income \$10MM, Leasing business solutions revenue \$8MM, Merchant fees \$8MM, Miscellaneous commercial fees \$6MM, Intercompany (non bank) overhead allocation revenue \$4MM, Cardholder fees \$4MM, Net change in valuation of loans measured under the fair value option (\$6MM), Mark-to-market free-standing equity derivatives (\$11MM), Mortgage loan fees net of broker premiums (\$15MM), and Loss on MSR derivative hedges (\$181MM).

### Schedule RC - Balance Sheet(Form Type - 031)

All schedules are to be reported in thousands of dollars. Unless otherwise indicated, report the amount outstanding as of the last business day of the quarter.

Boliai amounto in trodounto			
Cash and balances due from depository institutions (from Schedule RC-A):			1.
a. Noninterest-bearing balances and currency and coin <sup>1</sup>	RCFD0081	3,037,831	1.a.
b. Interest-bearing balances <sup>2</sup>	RCFD0071	20,488,897	1.b.
2. Securities:			2.
a. Held-to-maturity securities (from Schedule RC-B, column A) <sup>3</sup>	RCFDJJ34	3,880	2.a.
b. Available-for-sale debt securities (from Schedule RC-B, column D)	RCFD1773	48,298,966	2.b.
c. Equity securities with readily determinable fair values not held for trading <sup>4</sup>	RCFDJA22	30,648	2.c.
Federal funds sold and securities purchased under agreements to resell:			3.
a. Federal funds sold in domestic offices	RCONB987	1,000	3.a.
b. Securities purchased under agreements to resell <sup>5</sup>	RCFDB989	0	3.b.
Loans and lease financing receivables (from Schedule RC-C):			4.
a. Loans and leases held for sale	RCFD5369	2,615,985	4.a.
b. Loans and leases held for investment	RCFDB528	115,861,742	4.b.
c. LESS: Allowance for loan and lease losses <sup>7</sup>	RCFD3123	1,907,766	4.c.
d. Loans and leases held for investment, net of allowance (item 4.b minus 4.c)	RCFDB529	113,953,976	4.d.
5. Trading assets (from Schedule RC-D)	RCFD3545	4,392,536	5.
6. Premises and fixed assets (including capitalized leases)	RCFD2145	2,312,679	6.
7. Other real estate owned (from Schedule RC-M)	RCFD2150	27,161	7.
B. Investments in unconsolidated subsidiaries and associated companies	RCFD2130	0	8.
). Direct and indirect investments in real estate ventures	RCFD3656	1,061,000	9.
0. Intangible assets (from Schedule RC-M)	RCFD2143	6,000,119	10.
1. Other assets (from Schedule RC-F) <sup>6</sup>	RCFD2160	7,927,846	11.
2. Total assets (sum of items 1 through 11)	RCFD2170	210,152,524	12.
3. Deposits:			13.
a. In domestic offices (sum of totals of columns A and C from Schedule RC-E, part I)	RCON2200	176,074,983	13.a.
1. Noninterest-bearing <sup>8</sup>	RCON6631	65,707,869	13.a.
2. Interest-bearing	RCON6636	110,367,114	13.a.
b. In foreign offices, Edge and Agreement subsidiaries, and IBFs (from Schedule RC-E, part II)	RCFN2200	114,718	13.b.
1. Noninterest-bearing	RCFN6631	0	13.b.
2. Interest-bearing	RCFN6636	114,718	13.b.
4. Federal funds purchased and securities sold under agreements to repurchase:			14.
a. Federal funds purchased in domestic offices <sup>9</sup>	RCONB993	250,110	14.a.
b. Securities sold under agreements to repurchase <sup>10</sup>	RCFDB995	500,533	14.b.
5. Trading liabilities (from Schedule RC-D)	RCFD3548	4,262,215	15.
6. Other borrowed money (includes mortgage indebtedness and obligations under capitalized leases) (from Schedule RC-M)	RCFD3190	2,645,028	16.
7. Not applicable			17.
8. Not applicable			18.
19. Subordinated notes and debentures <sup>1</sup>	RCFD3200	920,788	19.

<sup>1.</sup> Includes cash items in process of collection and unposted debits.

<sup>2.</sup> Includes time certificates of deposit not held for trading.

<sup>3.</sup> Institutions that have adopted ASU 2016-13 should report in item 2.a, amounts net of any applicable allowance for credit losses, and should equal to Schedule RC-B, item 8, column A less Schedule RI-B, Part II, item 7, column B.

<sup>4.</sup> Item 2.c is to be completed by all institutions. See the instructions for this item and the Glossary entry for "Securities Activities" for further detail on accounting for investments in equity securities.

<sup>5.</sup> Includes all securities resale agreements, regardless of maturity.

Institutions that have adopted ASU 2016-13 should report in item 4.c the allowance for credit losses on loans and leases.

<sup>6.</sup> Institutions that have adopted ASU 2016-13 should report in items 3.b and 11 amounts net of any applicable allowance for credit losses.

<sup>8.</sup> Includes noninterest-bearing demand, time, and savings deposits.

P. Report overnight Federal Home Loan Bank advances in Schedule RC, item 16, "Other borrowed money."

<sup>10.</sup> Includes all securities repurchase agreements, regardless of maturity.

Includes limited-life preferred stock and related surplus.

20. Other liabilities (from Schedule RC-G)	RCFD2930	4,087,163	20.
21. Total liabilities (sum of items 13 through 20)	RCFD2948	188,855,538	21.
22. Not applicable			22.
23. Perpetual preferred stock and related surplus	RCFD3838	0	23.
24. Common stock	RCFD3230	4,540	24.
25. Surplus (exclude all surplus related to preferred stock)	RCFD3839	16,290,280	25.
26. Not available			26.
a. Retained earnings	RCFD3632	6,094,169	26.a.
b. Accumulated other comprehensive income <sup>2</sup>	RCFDB530	-1,092,107	26.b.
c. Other equity capital components <sup>3</sup>	RCFDA130	0	26.c.
27. Not available			27.
a. Total bank equity capital (sum of items 23 through 26.c)	RCFD3210	21,296,882	27.a.
b. Noncontrolling (minority) interests in consolidated subsidiaries	RCFD3000	104	27.b.
28. Total equity capital (sum of items 27.a and 27.b)	RCFDG105	21,296,986	28.
29. Total liabilities and equity capital (sum of items 21 and 28)	RCFD3300	210,152,524	29.
Indicate in the box at the right the number of the statement below that best describes the most comprehensive level of auditing work performed for the bank by independent external auditors as of any date during 2021	RCFD6724	2a	M.1.
2. Bank's fiscal year-end date (report the date in MMDD format)	RCON8678	1231	M.2.

# Schedule RC-A - Cash and Balances Due From Depository Institutions(Form Type - 031)

Exclude assets held for trading.

Dollar amounts in thousands	(Column A) Consolidated Bank		(Column B) Domestic Offices		]
1. Cash items in process of collection, unposted debits, and currency and coin	RCFD0022	2,697,988			1.
a. Cash items in process of collection and unposted debits			RCON0020	968,032	1.a.
b. Currency and coin			RCON0080	1,729,956	1.b.
2. Balances due from depository institutions in the U.S	RCFD0082	2,033,122	RCON0082	2,033,122	2.
3. Balances due from banks in foreign countries and foreign central banks	RCFD0070	297,529	RCON0070	168,375	3.
4. Balances due from Federal Reserve Banks	RCFD0090	18,498,089	RCON0090	18,498,089	4.
5. Total	RCFD0010	23,526,728	RCON0010	23,397,574	5.

<sup>2.</sup> Includes, but is not limited to, net unrealized holding gains (losses) on available-for-sale securities, accumulated net gains (losses) on cash flow hedges, cumulative foreign currency translation adjustments, and accumulated defined benefit pension and other postretirement plan adjustments.

<sup>3.</sup> Includes treasury stock and unearned Employee Stock Ownership Plan shares.

# Schedule RC-B - Securities(Form Type - 031)

Exclude assets held for trading.

Dollar amounts in thousands	Held-to-	ımn A) ·maturity zed Cost	Held-to-m	ımn B) naturity Fair alue	Availab	umn C) le-for-sale zed Cost	Available-	ımn D) for-sale Fair alue	
1. U.S. Treasury securities	RCFD0211	0	RCFD0213	0	RCFD1286	1,729,221	RCFD1287	1,687,765	1.
2. U.S. Government agency and sponsored agency obligations (exclude mortgage-backed securities) <sup>1</sup>	RCFDHT50	0	RCFDHT51	0	RCFDHT52	0	RCFDHT53	0	2.
Securities issued by states and political subdivisions in the U.S	RCFD8496	3,880	RCFD8497	3,880	RCFD8498	2,755	RCFD8499	2,682	3.
4. Mortgage-backed securities (MBS):									4.
a. Residential mortgage pass-through securities:									4.a.
1. Guaranteed by GNMA	RCFDG300	0	RCFDG301	0	RCFDG302	1,940,406	RCFDG303	1,901,900	4.a.1
2. Issued by FNMA and FHLMC	RCFDG304	0	RCFDG305	0	RCFDG306	2,122,593	RCFDG307	2,115,407	4.a.2
3. Other pass-through securities	RCFDG308	0	RCFDG309	0	RCFDG310	88	RCFDG311	88	4.a.3
<ul> <li>b. Other residential mortgage-backed securities (include CMOs, REMICs, and stripped MBS):</li> </ul>									4.b.
Issued or guaranteed by U.S. Government agencies or sponsored agencies	RCFDG312	0	RCFDG313	0	RCFDG314	7,003,163	RCFDG315	6,873,239	4.b.1
2. Collateralized by MBS issued or guaranteed by U.S.	RCFDG316	0	RCFDG317	0	RCFDG318	0	RCFDG319	0	4.b.2
Government agencies or sponsored agencies <sup>1</sup>					101 20010				-
3. All other residential MBS	RCFDG320	0	RCFDG321	0	RCFDG322	1	RCFDG323	1	4.b.3
c. Commercial MBS:									4.c.
1. Commercial mortgage pass-through securities:									4.c.1
a. Issued or guaranteed by FNMA, FHLMC, or GNMA	RCFDK142	0	RCFDK143	0	RCFDK144	25,368,736	RCFDK145	24,593,719	4c1a
b. Other pass-through securities	RCFDK146	0	RCFDK147	0	RCFDK148	0	RCFDK149	0	4c1k
2. Other commercial MBS:									4.c.2
a. Issued or guaranteed by U.S. Government agencies or sponsored agencies <sup>1</sup>	RCFDK150	0	RCFDK151	0	RCFDK152	0	RCFDK153	0	4c2a
b. All other commercial MBS	RCFDK154	0	RCFDK155	0	RCFDK156	5,125,090	RCFDK157	4,969,162	4c2b
5. Asset-backed securities and structured financial products:									5.
a. Asset-backed securities (ABS)	RCFDC026	0	RCFDC988	0	RCFDC989	6,343,947	RCFDC027	6,153,003	5.a.
b. Structured financial products	RCFDHT58	0	RCFDHT59	0	RCFDHT60	0	RCFDHT61	0	5.b.
6. Other debt securities:									6.
a. Other domestic debt securities	RCFD1737	0	RCFD1738	0	RCFD1739	0	RCFD1741	0	6.a.
b. Other foreign debt securities	RCFD1742	0	RCFD1743	0	RCFD1744	2,000	RCFD1746	2,000	-
7. Not applicable.						,:70		,.,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	7.
8. Total (sum of items 1 through 6.b) <sup>2</sup>	RCFD1754	3 880	RCFD1771	3 880	RCFD1772	49,638,000	RCFD1773	48,298 966	8
o. Iolai (suili oi items 1 through 6.b)	1101 017 04	3,000	INGI DITTI	3,300	1.01 01772	-3,030,000	1.0101113	-0,230,300	] ".

closed-end first lien 1-4 family residential mortgages with a remaining maturity or next repricing date of:   1. Three months or less	1. Pledged securities <sup>1</sup>	RCFD0416	9,404,794	M.1.
U.S., other non-mortgage debt securities; and mortgage pass-through securities other than those backed by closed-end first lien 1-4 family residential mortgages with a remaining maturity or next repricing date of:  1. Three months or less.  2. Over three months through 12 months.  3. Over one year through three years.  4. Over three years through five years.  5. Over five years through 15 years.  6. Over 15 years.  1. Three months or less.  RCFDA552  3. 0, 0, 0, 0, 0, 0, 0, 0, 0, 0, 0, 0, 0,	2. Maturity and repricing data for debt securities (excluding those in nonaccrual status): <sup>1</sup>			M.2.
1. Three months or less				M.2.a.
2. Over three months through 12 months. RCFDA550 515 M2.a. RCFDA551 586,110 M2.a. RCFDA551 586,110 M2.a. RCFDA551 586,110 M2.a. RCFDA552 3,033,115 M2.a. RCFDA552 3,033,115 M2.a. RCFDA552 3,033,115 M2.a. RCFDA553 15,943,782 M2.a. RCFDA553 15,943,782 M2.a. RCFDA553 15,943,782 M2.a. RCFDA554 6,813,148 M2.a. M2.a. RCFDA554 6,813,148 M2.a. M2.a. RCFDA555 6,0 W2.b. RCFDA555 88 M2.b. Mortgage pass-through securities backed by closed-end first lien 1-4 family residential mortgages with a remaining maturity or next repricing date of: RCFDA555 88 M2.b. RCFDA555 88 M2.b. RCFDA555 88 M2.b. RCFDA556 0 M2.b. RCFDA556 0 M2.b. RCFDA556 0 M2.b. RCFDA557 0 M2.b. RCFDA559 0 M2.b. RCFDA560 1 1,024,094 M2.b. RCFDA560 1	closed-end first lien 1-4 family residential mortgages with a remaining maturity or next repricing date of: <sup>2</sup>			
3. Over one year through three years. 4. Over three years through five years. 5. Over five years through 15 years. 6. Over 15 years. 7. Over five years through securities backed by closed-end first lien 1-4 family residential mortgages with a remaining maturity or next repricing date of. 2  1. Three months or less. 2. Over three months through 12 months. 3. Over one year through three years. 4. Over three years through five years. 5. Over five years through five years. 6. Over 15 years. 7. Over five years through three years. 8. Over one year through three years. 8. Over one year through three years. 8. Over 15 years. 8. Over 16 years or less. 8. Over 17 years. 8. Over 18 years or less. 8. Over 19 yea	1. Three months or less	RCFDA549	6,066,379	M.2.a.1
4. Over three years through five years.  5. Over five years through 15 years.  6. Over 15 years.  6. Over 15 years.  7. Nortgage pass-through securities backed by closed-end first lien 1-4 family residential mortgages with a remaining maturity or next repricing date of. 2  1. Three months or less.  8. RCFDA555  8. RCFDA556  9. RCFDA557  9. RCFDA558  9. RCFDA558  9. RCFDA558  9. RCFDA559  9. R	2. Over three months through 12 months	RCFDA550	515	M.2.a.2
5. Over five years through 15 years. 6. Over 15 years. 7. Over 15 years. 8. Over three months securities backed by closed-end first lien 1-4 family residential mortgages with a remaining maturity or next repricing date of: 2  1. Three months or less. 8. Over three months through 12 months. 8. Over one year through three years. 8. Over one year through five years. 9. Over five years through 15 years. 9. Over five years through 15 years. 9. Over three years deverage life of: 5  1. Three years or less. 9. Over three years deverage life of: 5  1. Three years or less. 9. Over three years. 1. Debt securities with a REMAINING MATURITY of one year or less (included in Memorandum litems 2.a through 2.c a blove).  Memorandum litem 3 is to be completed semiannually in the June and December reports only. 9. Amortized cost of held-to-maturity securities sold or transferred to available-for-sale or trading securities during the calendar year-to-date (report the amortized cost at date of sale or transfer).  9. Amortized cost.  9. RCFD8782  9. M2.b.  9. RCFD1778  9. NR  9. M.4.a.  9. RCFD8782  9. M.4.a.	3. Over one year through three years	RCFDA551	586,110	M.2.a.3
6. Over 15 years. b. Mortgage pass-through securities backed by closed-end first lien 1-4 family residential mortgages with a remaining maturity or next repricing date of: 2  1. Three months or less. 2. Over three months through 12 months. 3. Over one year through three years. 4. Over three years through five years. 5. Over five years through 15 years. 6. Over 15 years. 7. Other mortgage-backed securities (include CMOs, REMICs, and stripped MBS; exclude mortgage pass-through securities) with an expected average life of: 5  1. Three years or less. 3. Over three years. 4. Over three years. 5. Over three years. 6. Over 15 years. 7. Other mortgage-backed securities (include CMOs, REMICs, and stripped MBS; exclude mortgage pass-through securities) with an expected average life of: 5  1. Three years or less. 3. Amortized cost of held-to-maturity securities sold or transferred to available-for-sale or trading securities during the calendar year-to-date (report the amortized cost at date of sale or transfer).  4. Structured notes (included in the held-to-maturity and available-for-sale accounts in Schedule RC-B, items 2, 3, 5, and 6):  8. Amortized cost.  8. CFDA555 8. M.2.b.  8. CFDA555 9. M.2.b.  8. CFDA560 4. A,017,307 4. 2.b.  8. CFDA560 4. D,018 A,018	4. Over three years through five years	RCFDA552	3,033,115	M.2.a.4
b. Mortgage pass-through securities backed by closed-end first lien 1-4 family residential mortgages with a remaining maturity or next repricing date of: 2  1. Three months or less	5. Over five years through 15 years	RCFDA553	15,943,782	M.2.a.5
remaining maturity or next repricing date of: 2  1. Three months or less	6. Over 15 years	RCFDA554	6,813,148	M.2.a.6
2. Over three months through 12 months	, , ,			M.2.b.
3. Over one year through three years	1. Three months or less	RCFDA555	88	M.2.b.1
4. Over three years through five years.  5. Over five years through 15 years.  6. Over 15 years.  c. Other mortgage-backed securities (include CMOs, REMICs, and stripped MBS; exclude mortgage pass-through securities) with an expected average life of:   1. Three years or less.  2. Over three years.  3. Obet securities with a REMAINING MATURITY of one year or less (included in Memorandum items 2.a through 2.c above).  Memorandum item 3 is to be completed semiannually in the June and December reports only.  3. Amortized cost of held-to-maturity securities sold or transferred to available-for-sale or trading securities during the calendar year-to-date (report the amortized cost at date of sale or transfer).  4. Structured notes (included in the held-to-maturity and available-for-sale accounts in Schedule RC-B, items 2, 3, 5, and 6):  a. Amortized cost  RCFDA558  0 M.2.b.  RCFDA560  4,017,307  M.2.b.  RCFDA561  1,024,094  RCFDA562  10,818,308  RCFDA248  731  M.2.d.  RCFD1778  NR  M.3.  RCFD1778  NR  M.4.  A. Structured notes (included in the held-to-maturity and available-for-sale accounts in Schedule RC-B, items 2, 3, 5, and 6):  A. Amortized cost  RCFD8782  0 M.4.a.	2. Over three months through 12 months	RCFDA556	0	M.2.b.2
5. Over five years through 15 years	3. Over one year through three years	RCFDA557	0	M.2.b.3
6. Over 15 years	4. Over three years through five years	RCFDA558	0	M.2.b.4
c. Other mortgage-backed securities (include CMOs, REMICs, and stripped MBS; exclude mortgage pass-through securities) with an expected average life of: 5  1. Three years or less	5. Over five years through 15 years	RCFDA559	0	M.2.b.5
securities) with an expected average life of: 5  1. Three years or less	6. Over 15 years	RCFDA560	4,017,307	M.2.b.6
2. Over three years				M.2.c.
d. Debt securities with a REMAINING MATURITY of one year or less (included in Memorandum items 2.a through 2.c above)  Memorandum item 3 is to be completed semiannually in the June and December reports only.  3. Amortized cost of held-to-maturity securities sold or transferred to available-for-sale or trading securities during the calendar year-to-date (report the amortized cost at date of sale or transfer)  4. Structured notes (included in the held-to-maturity and available-for-sale accounts in Schedule RC-B, items 2, 3, 5, and 6):  a. Amortized cost  RCFD1778  NR  M.3.  M.4.  RCFD8782  0  M.4.a.	1. Three years or less	RCFDA561	1,024,094	M.2.c.1
2.c above)	2. Over three years	RCFDA562	10,818,308	M.2.c.2
3. Amortized cost of held-to-maturity securities sold or transferred to available-for-sale or trading securities during the calendar year-to-date (report the amortized cost at date of sale or transfer)		RCFDA248	731	M.2.d.
4. Structured notes (included in the held-to-maturity and available-for-sale accounts in Schedule RC-B, items 2, 3, 5, and 6):  a. Amortized cost	, , , , , , , , , , , , , , , , , , , ,			
and 6):  a. Amortized cost	,	RCFD1778	NR	M.3.
d. / illotazed cook				M.4.
b. Fair value	a. Amortized cost	RCFD8782	0	M.4.a.
	b. Fair valueb.	RCFD8783	0	M.4.b.

Includes Small Business Administration "Guaranteed Loan Pool Certificates"; U.S. Maritime Administration obligations; Export-Import Bank participation certificates; and obligations (other than mortgage-backed securities) issued by the Farm Credit System, the Federal Home Loan Bank System, the Federal Home Loan Mortgage Corporation, the Federal National Mortgage Association, the Financing Corporation, Resolution Funding Corporation, the Student Loan Marketing Association, and the Tennessee Valley Authority.

<sup>1.</sup> U.S. Government agencies include, but are not limited to, such agencies as the Government National Mortgage Association (GNMA), the Federal Deposit Insurance Corporation (FDIC), and the National Credit Union Administration (NCUA). U.S. Government-sponsored agencies include, but are not limited to, such agencies as the Federal Home Loan Mortgage Corporation (FHLMC) and the Federal National Mortgage Association (FNMA).

U.S. Government agencies include, but are not limited to, such agencies as the Government National Mortgage Association (GNMA), the Federal Deposit Insurance Corporation (FDIC), and
the National Credit Union Administration (NCUA). U.S. Government-sponsored agencies include, but are not limited to, such agencies as the Federal Home Loan Mortgage Corporation (FHLMC)
and the Federal National Mortgage Association (FNMA).

<sup>2.</sup> For institutions that have adopted ASU 2016-13, the total reported in column A must equal Schedule RC, item 2.a, plus Schedule RI-B, Part II, item 7, column B. For institutions that have not adopted ASU 2016-13, the total reported in column A must equal Schedule RC, item 2.a. For all institutions, the total reported in column D must equal Schedule RC, item 2.b.

Dollar amounts in thousands				(Column B) Held-to-maturity Fair Value		ımn C) e-for-sale zed Cost	Available-	ımn D) for-sale Fair alue	.]
Memorandum items 5.a through 5.f and 6.a through 6.g are to be completed by banks with \$10 billion or more in total assets.									
5. Asset-backed securities (ABS) (for each column, sum of Memorandum items 5.a through 5.f must equal Schedule RC-B,									M.5
item 5.a): <sup>1</sup>									
a. Credit card receivables	RCFDB838	0	RCFDB839	0	RCFDB840	0	RCFDB841	0	M5.
b. Home equity lines	RCFDB842	0	RCFDB843	0	RCFDB844	0	RCFDB845	0	M5.
c. Automobile loans	RCFDB846	0	RCFDB847	0	RCFDB848	1,330,344	RCFDB849	1,291,710	M5
d. Other consumer loans	RCFDB850	0	RCFDB851	0	RCFDB852	4,087,353	RCFDB853	3,979,886	M5
e. Commercial and industrial loans	RCFDB854	0	RCFDB855	0	RCFDB856	0	RCFDB857	0	M5
f. Other	RCFDB858	0	RCFDB859	0	RCFDB860	926,250	RCFDB861	881,407	M.5
<ol> <li>Structured financial products by underlying collateral or reference assets (for each column, sum of Memorandum items 6.a through 6.g must equal Schedule RC-B item 5.b):</li> </ol>									M.6
a. Trust preferred securities issued by financial institutions	RCFDG348	0	RCFDG349	0	RCFDG350	0	RCFDG351	0	M6.
b. Trust preferred securities issued by real estate investment trusts	RCFDG352	0	RCFDG353	0	RCFDG354	0	RCFDG355	0	M.6.
c. Corporate and similar loans	RCFDG356	0	RCFDG357	0	RCFDG358	0	RCFDG359	0	M.6
d. 1-4 family residential MBS issued or guaranteed by U.S. government-sponsored enterprises (GSEs)	RCFDG360	0	RCFDG361	0	RCFDG362	0	RCFDG363	0	M6.
e. 1-4 family residential MBS not issued or guaranteed by GSEs	RCFDG364	0	RCFDG365	0	RCFDG366	0	RCFDG367	0	M6.
f. Diversified (mixed) pools of structured financial products	RCFDG368	0	RCFDG369	0	RCFDG370	0	RCFDG371	0	M.6
g. Other collateral or reference assets	RCFDG372	0	RCFDG373	0	RCFDG374	0	RCFDG375	0	M6.

<sup>1.</sup> Includes held-to-maturity securities at amortized cost, available-for-sale debt securities at fair value, and equity securities with readily determinable fair values not held for trading (reported in Schedule RC, item 2.c) at fair value.

<sup>1.</sup> Includes held-to-maturity securities at amortized cost, available-for-sale debt securities at fair value, and equity securities with readily determinable fair values not held for trading (reported in Schedule RC, item 2.c) at fair value.

<sup>2.</sup> Report fixed-rate debt securities by remaining maturity and floating-rate debt securities by next repricing date.

<sup>2.</sup> Report fixed-rate debt securities by remaining maturity and floating-rate debt securities by next repricing date.

<sup>5.</sup> Sum of Memorandum items 2.c.(1) and 2.c.(2) plus any nonaccrual "Other mortgage-backed securities" included in Schedule RC-N, item 10, column C, must equal Schedule RC-B, sum of items 4.b and 4.c.(2), columns A and D.

The \$10 billion asset size test is based on the total assets reported on the June 30, 2018, Report of Condition.

# Schedule RC-C Part I - Loans and Leases(Form Type - 031)

Do not deduct the allowance for loan and lease losses or the allocated transfer risk reserve from amounts reported in this schedule. Report (1) loans and leases held for sale at the lower of cost or fair value, (2) loans and leases held for investment, net of unearned income, and (3) loans and leases accounted for at fair value under a fair value option. Exclude assets held for trading and commercial paper.

Dollar amounts in thousands	(Column A) Co	nsolidated Bank	(Column B) Do	omestic Offices
Loans secured by real estate <sup>2</sup>	RCFD1410	NR		
a. Construction, land development, and other land loans:				
1. 1-4 family residential construction loans	RCFDF158	254,989	RCONF158	254,989
2. Other construction loans and all land development and other land loans	RCFDF159	4,555,438	RCONF159	4,555,438
b. Secured by farmland (including farm residential and other improvements)	RCFD1420	53,664	RCON1420	53,664
c. Secured by 1-4 family residential properties:				
Revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit	RCFD1797	3,614,177	RCON1797	3,614,177
Closed-end loans secured by 1-4 family residential properties:				
a. Secured by first liens	RCFD5367	19,573,843	RCON5367	19,573,843
b. Secured by junior liens	RCFD5368	109,874	RCON5368	109,874
d. Secured by multifamily (5 or more) residential properties	RCFD1460	1,147,332	RCON1460	1,147,332
e. Secured by nonfarm nonresidential properties:				
Loans secured by owner-occupied nonfarm nonresidential properties	RCFDF160	5,099,138	RCONF160	5,098,768
2. Loans secured by other nonfarm nonresidential properties	RCFDF161	3,726,434	RCONF161	3,726,434
Loans to depository institutions and acceptances of other banks:				
a. To commercial banks in the U.S			RCONB531	10,016
1. To U.S. branches and agencies of foreign banks	RCFDB532	0		
2. To other commercial banks in the U.S	RCFDB533	10,016		
b. To other depository institutions in the U.S	RCFDB534	0	RCONB534	0
c. To banks in foreign countries			RCONB535	2,530
1. To foreign branches of other U.S. banks	RCFDB536	0		
2. To other banks in foreign countries	RCFDB537	2,530		
Loans to finance agricultural production and other loans to farmers	RCFD1590	22,944	RCON1590	22,944
Commercial and industrial loans:				
a. To U.S. addressees (domicile)	RCFD1763	46,835,146	RCON1763	46,795,031
b. To non-U.S. addressees (domicile)	RCFD1764	3,201,263	RCON1764	2,772,650
Not applicable				
Loans to individuals for household, family, and other personal expenditures (i.e., consumer ans) (includes purchased paper):				
a. Credit cards	RCFDB538	1,690,122	RCONB538	1,690,122
b. Other revolving credit plans	RCFDB539	1,057,474	RCONB539	1,057,474
c. Automobile loans	RCFDK137	15,741,910	RCONK137	15,741,910
d. Other consumer loans (includes single payment and installment loans other than automobile loans, and all student loans)	RCFDK207	3,443,927	RCONK207	3,443,927
Loans to foreign governments and official institutions (including foreign central banks)	RCFD2081	0	RCON2081	0
Obligations (other than securities and leases) of states and political subdivisions in the S	RCFD2107	575,496	RCON2107	575,496
Loans to nondepository financial institutions and other loans	RCFD1563	4,845,347		
a. Loans to nondepository financial institutions			RCONJ454	2,315,860
b. Other loans:				
Loans for purchasing or carrying securities (secured and unsecured)			RCON1545	274,568
2. All other loans (exclude consumer loans)			RCONJ451	2,254,919
Lease financing receivables (net of unearned income)			RCON2165	2,914,285
a. Leases to individuals for household, family, and other personal expenditures (i.e., consumer leases)	RCFDF162	0		
b. All other leases	RCFDF163	2,916,663		
LESS: Any unearned income on loans reflected in items 1-9 above	RCFD2123	0	RCON2123	0
2. Total loans and leases held for investment and held for sale (item 12, column A must equal	RCFD2122	118,477,727	RCON2122	118,006,251

FIFTH THIRD BANK, NATIONAL ASSOCIATION RSSD-ID 723112 Last Updated on 5/6/2022 FFIEC 031 Report Date 3/31/2022

<sup>2.</sup> When reporting "Loans secured by real estate," "large institutions" and "highly complex institutions," as defined for deposit insurance assessment purposes in FDIC regulations, should complete items 1.a.(1) through 1.e.(2) in column A and B (but not item 1 in column A); all other institutions should complete item 1 in column A and items 1.a.(1) through 1.e.(2) in column B (but not items 1.a.(1) through 1.e.(2) in column A).

1. Loans restructured in troubled debt restructurings that are in compliance with their modified terms (included in Schedule RC-C, part 1, and not reported as past due or nonaccrual in Schedule RC-N, Memorandum item 1):			M.1.
a. Construction, land development, and other land loans in domestic offices:			M.1.a.
1. 1-4 family residential construction loans	RCONK158	3,545	M.1.a.1.
2. Other construction loans and all land development and other land loans	RCONK159	71,064	M.1.a.2.
b. Loans secured by 1-4 family residential properties in domestic offices	RCONF576	511,898	M.1.b.
c. Secured by multifamily (5 or more) residential properties in domestic offices	RCONK160	0	M.1.c.
d. Secured by nonfarm nonresidential properties in domestic offices:			M.1.d.
Loans secured by owner-occupied nonfarm nonresidential properties	RCONK161	6,186	M.1.d.1.
2. Loans secured by other nonfarm nonresidential properties	RCONK162	0	M.1.d.2.
e. Commercial and industrial loans:			M.1.e.
1. To U.S. addressees (domicile)	RCFDK163	138,303	M.1.e.1.
2. To non-U.S. addressees (domicile)	RCFDK164	0	M.1.e.2.
f. All other loans (include loans to individuals for household, family, and other personal expenditures)	RCFDK165	102,150	M.1.f.
Itemize loan categories included in Memorandum item 1.f, above that exceed 10 percent of total loans restructured in troubled debt restructurings that are in compliance with their modified terms (sum of Memorandum items 1.a through 1.f):	RCONK166	0	M.1.f.1.
Loans secured by farmland in domestic offices			M 4 60
2. Not applicable	DOEDIGAGO		M.1.f.2.
3. Loans to finance agricultural production and other loans to farmers	RCFDK168		M.1.f.3.
4. Loans to individuals for household, family, and other personal expenditures:	DOEDIGOS		M.1.f.4.
a. Credit cards	RCFDK098		M.1.f.4.a
b. Automobile loans	RCFDK203		M.1.f.4.b
c. Other (includes revolving credit plans other than credit cards and other consumer loans)	RCFDK204	0	M.1.f.4.c
g. Total loans restructured in troubled debt restructurings that are in compliance with their modified terms (sum of Memorandum items 1.a.(1) through 1.f)	RCFDHK25	833,146	
Maturity and repricing data for loans and leases (excluding those in nonaccrual status):     a. Closed-end loans secured by first liens on 1-4 family residential properties in domestic offices (reported in Schedule RC-C, part I, item 1.c.(2)(a), column B) with a remaining maturity or next repricing date of:			M.2. M.2.a.
1. Three months or less	RCONA564	218,329	M.2.a.1.
2. Over three months through 12 months	RCONA565	418,418	M.2.a.2.
3. Over one year through three years	RCONA566	536,768	M.2.a.3.
4. Over three years through five years	RCONA567	584,276	M.2.a.4.
5. Over five years through 15 years	RCONA568	5,423,735	M.2.a.5.
6. Over 15 years	RCONA569	12,308,844	M.2.a.6.
b. All loans and leases (reported in Schedule RC-C, part I, items 1 through 10, column A) EXCLUDING closed-end loans secured by first liens on 1-4 family residential properties in domestic offices (reported in Schedule RC-C, part I, item 1.c.(2)(a), column B) with a remaining maturity or next repricing date of:			M.2.b.
1. Three months or less	RCFDA570	66,260,315	M.2.b.1.
2. Over three months through 12 months	RCFDA571	2,236,628	M.2.b.2.
3. Over one year through three years	RCFDA572	5,073,995	M.2.b.3.
4. Over three years through five years	RCFDA573	10,617,709	M.2.b.4.
5. Over five years through 15 years	RCFDA574	13,150,277	M.2.b.5.
6. Over 15 years	RCFDA575	1,110,522	M.2.b.6.
c. Loans and leases (reported in Schedule RC-C, part I, items 1 through 10, column A) with a REMAINING MATURITY of one year or less (excluding those in nonaccrual status)	RCFDA247	13,408,226	M.2.c.
3. Loans to finance commercial real estate, construction, and land development activities (not secured by real estate)	RCFD2746	2,137,732	M.3.
included in Schedule RC-C, part I, items 4 and 9, column A <sup>4</sup>		_,,	
4. Adjustable rate closed-end loans secured by first liens on 1-4 family residential properties in domestic offices (included in Schedule RC-C, part I, item 1.c.(2)(a), column B)	RCON5370	2,177,993	M.4.
5. Loans secured by real estate to non-U.S. addressees (domicile) (included in Schedule RC-C, Part I, item 1, column A, or Schedule RC-C, Part I, items 1.a.(1) through 1.e.(2), column A, as appropriate)	RCFDB837	11,997	M.5.
Memorandum item 6 is to be completed by banks that (1) together with affiliated institutions, have outstanding credit card receivables (as defined in the instructions) that exceed \$500 million as of the report date, or (2) are credit card specialty banks as defined for Uniform Bank Performance Report purposes.  6. Outstanding credit card fees and finance charges included in Schedule RC-C, part I, item 6.a, column A	RCFDC391	14,550	M.6.

Memorandum items 7.a and 7.b are to be completed by all banks semiannually in the June and December reports only.  7. Purchased credit-impaired loans held for investment accounted for in accordance with FASB ASC 310-30 (former AICPA Statement of Position 03-3) (exclude loans held for sale): <sup>5</sup>			M.7.
a. Outstanding balance	RCFDC779	NR	M.7.a.
b. Amount included in Schedule RC-C, part I, items 1 through 9	RCFDC780	NR	M.7.b.
Memorandum items 8.a, 8.b, and 8.c are to be completed semiannually in the June and December reports only.  8. Closed-end loans with negative amortization features secured by 1-4 family residential properties in domestic offices:			M.8.
a. Total amount of closed-end loans with negative amortization features secured by 1-4 family residential properties (included in Schedule RC-C, part I, items 1.c.(2)(a) and 1.c.(2)(b))	RCONF230	NR	M.8.a.
Memorandum items 8.b and 8.c are to be completed semiannually in the June and December reports only by banks that had closed-end loans with negative amortization features secured by 1-4 family residential properties (as reported in Schedule RC-C, Part I, Memorandum item 8.a) as of December 31, 2021, that exceeded the lesser of \$100 million or 5 percent of total loans and leases held for investment and held for sale in domestic offices (as reported in Schedule RC-C, Part I, item 12, column B).	RCONF231	NR	M.8.b.
b. Total maximum remaining amount of negative amortization contractually permitted on closed-end loans secured by 1-4 family residential properties			
c. Total amount of negative amortization on closed-end loans secured by 1-4 family residential properties included in the amount reported in Memorandum item 8.a above	RCONF232	NR	M.8.c.

9. Loans secured by 1-4 family residential properties in domestic offices in process of foreclosure (included in Schedule RC-C, part I, items 1.c.(1), 1.c.(2)(a), and 1.c.(2)(b))	RCONF577	146,416	M.
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# Dollar amounts in thousands 10. Not applicable 11. Not applicable M.10. M.11.

Dollar amounts in thousands			acquired loans and leases contractual amounts at acquisition date receivable at acquisition contractual cash flo		contractual amounts receivable at acquisition		ition date of cash flows not	
Memorandum items 12.a, 12.b, 12.c, and 12.d are to be completed semiannually in the June and December reports only.								
12. Loans (not subject to the requirements of FASB ASC 310-30 (former AlCPA Statement of Position 03-3)) and leases held for investment that were acquired							M.12.	
in business combinations with acquisition dates in the current calendar year: $\!\!^{1}$								
a. Loans secured by real estate	RCFDG091	NR	RCFDG092	NR	RCFDG093	NR	M12a	
b. Commercial and industrial loans	RCFDG094	NR	RCFDG095	NR	RCFDG096	NR	M12b.	
c. Loans to individuals for household, family, and other personal expenditures	RCFDG097	NR	RCFDG098	NR	RCFDG099	NR	M12c.	
d. All other loans and all leases	RCFDG100	NR	RCFDG101	NR	RCFDG102	NR	M12d	

Dollar amounts in thousands			
Memoranda item 13 is to be completed by banks that had construction, land development, and other land loans in domestic offices (as reported in Schedule RC-C, Part I, item 1.a., column B) that exceeded 100 percent of the sum of tier 1 capital (as reported in Schedule RC-R, Part I, item 26) plus the allowance for loan and lease losses or the allowance for credit losses on loans and leases, as applicable (as reported in Schedule RC, item 4.c) as of December 31, 2021.			M.13.
13. Construction, land development, and other land loans in domestic offices with interest reserves:			
a. Amount of loans that provide for the use of interest reserves (included in Schedule RC-C, part I, item 1.a, column B)	RCONG376	0	M.13.a
b. Amount of interest capitalized from interest reserves on construction, land development, and other land loans that is included in interest and fee income on loans during the quarter (included in Schedule RI, item 1.a.(1)(a)(2)).	RIADG377	0	M.13.b
Memorandum item 14 is to be completed by all banks.	RCFDG378	69,088,277	M.14.
14. Pledged loans and leases			
Memorandum item 15 is to be completed for the December report only.  15. Reverse mortgages in domestic offices:			M.15.
a. Reverse mortgages outstanding that are held for investment (included in Schedule RC-C, item 1.c, above):			M.15.a
1. Home Equity Conversion Mortgage (HECM) reverse mortgages	RCONJ466	NR	M.15.a
2. Proprietary reverse mortgages	RCONJ467	NR	M.15.a
<ul> <li>b. Estimated number of reverse mortgage loan referrals to other lenders during the year from whom compensation has been received for services performed in connection with the origination of the reverse mortgages:</li> </ul>			M.15.b
1. Home Equity Conversion Mortgage (HECM) reverse mortgages	RCONJ468	NR	M.15.b
2. Proprietary reverse mortgages	RCONJ469	NR	M.15.b
c. Principal amount of reverse mortgage originations that have been sold during the year:			M.15.c
1. Home Equity Conversion Mortgage (HECM) reverse mortgages	RCONJ470	NR	M.15.c
2. Proprietary reverse mortgages	RCONJ471	NR	M.15.0
Memorandum item 16 is to be completed by all banks.			
16. Revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit in domestic offices that have converted to non-revolving closed-end status (included in item 1.c.(1) above)	RCONLE75	175,449	M.16.
Amounts reported in Memorandum items 17.a and 17.b will not be made available to the public on an individual institution basis.			
17. Eligible loan modifications under Section 4013, Temporary Relief from Troubled Debt Restructurings, of the 2020 Coronavirus Aid, Relief, and Economic Security Act:			M.17.
a. Number of Section 4013 loans outstanding	RCONLG24	CONF	M.17.a
b. Outstanding balance of Section 4013 loans	RCONLG25	CONF	M.17.k
· · · · · · · · · · · · · · · · · · ·			

<sup>1.</sup> Institutions that have adopted ASU 2016-13 should report only loans held for investment not considered purchased credit-deteriorated in Memorandum item 12.

## Schedule RC-C Part II - Loans to Small Businesses and Small Farms(Form Type - 031)

Report the number and amount currently outstanding as of the report date of business loans with "original amounts" of \$1,000,000 or less and farm loans with "original amounts" of \$500,000 or less. The following guidelines should be used to determine the "original amount" of a loan:

(1) For loans drawn down under lines of credit or loan commitments, the "original amount" of the loan is the size of the line of credit or loan commitment when the line of credit or loan commitment was most recently approved, extended, or renewed prior to the report date. However, if the amount currently outstanding as of the report date exceeds this size, the "original amount" is the amount currently outstanding on the report date. (2) For loan participations and syndications, the "original amount" of the loan participation or syndication is the entire amount of the credit originated by the lead lender. (3) For all other loans, the "original amount" is the total amount of the loan at origination or the amount currently outstanding as of the report date, whichever is larger.

# Dollar amounts in thousands 1. Not applicable 2. Not applicable 2. To applicable 2. Not applicable 3. To applicable 3. To applicable 4. To applicable 5. To applicable 6. To applicable 7. To applicable 8. To applicable 9. To ap

	(Column A) N	lumber of Loans	Loans (Column B) Amount Currently		
Dollar amounts in thousands			Outstanding		
3. Number and amount currently outstanding of "Loans secured by nonfarm nonresidential properties" in domestic offices reported in Schedule RC-C, part I, items 1.e.(1) and 1.e.(2), column B:					3.
a. With original amounts of \$100,000 or less	RCON5564	438	RCON5565	18,875	3.a.
b. With original amounts of more than \$100,000 through \$250,000	RCON5566	905	RCON5567	118,293	3.b.
c. With original amounts of more than \$250,000 through \$1,000,000	RCON5568	1760	RCON5569	766,064	3.c.
4. Number and amount currently outstanding of "Commercial and industrial loans to U.S. addressees" in domestic offices reported in Schedule RC-C, part I, item 4.a, column B:					4.
a. With original amounts of \$100,000 or less	RCON5570	41447	RCON5571	542,596	4.a.
b. With original amounts of more than \$100,000 through \$250,000	RCON5572	2925	RCON5573	309,409	4.b.
c. With original amounts of more than \$250,000 through \$1,000,000	RCON5574	3763	RCON5575	1,475,102	4.c.

Dollar amounts in thousands		
5. Not applicable		5
6. Not applicable		6

Dollar amounts in thousands	(Column A) N	lumber of Loans	, ,	mount Currently tanding	
7. Number and amount currently outstanding of "Loans secured by farmland (including farm residential and other improvements)" in domestic offices reported in Schedule RC-C, part I, item 1.b, column B:				_	7.
a. With original amounts of \$100,000 or less	RCON5578	532	RCON5579	10,642	7.a.
b. With original amounts of more than \$100,000 through \$250,000	RCON5580	104	RCON5581	5,160	7.b.
c. With original amounts of more than \$250,000 through \$500,000	RCON5582	34	RCON5583	4,477	7.c.
8. Number and amount currently outstanding of "Loans to finance agricultural production and other loans to farmers" in domestic offices reported in Schedule RC-C, part I, item 3, column B:					8.
a. With original amounts of \$100,000 or less	RCON5584	35	RCON5585	475	8.a.
b. With original amounts of more than \$100,000 through \$250,000	RCON5586	7	RCON5587	558	8.b.
c. With original amounts of more than \$250,000 through \$500,000	RCON5588	1	RCON5589	300	8.c.

## Schedule RC-D - Trading Assets and Liabilities(Form Type - 031)

Schedule RC-D is to be completed by banks that reported total trading assets of \$10 million or more in any of the four preceding calendar quarters, and all banks meeting the FDIC's definition of a large or highly complex institution for deposit insurance assessment purposes.

Dollar amounts in thousands	Consolidate	ed Bank
1. U.S. Treasury securities	RCFD3531	49,510
2. U.S. Government agency obligations (exclude mortgage-backed securities)	RCFD3532	12,263
. Securities issued by states and political subdivisions in the U.S	RCFD3533	20,227
. Mortgage-backed securities (MBS):		
a. Residential mortgage pass-through securities issued or guaranteed by FNMA, FHLMC, or GNMA	RCFDG379	4
b. Other residential MBS issued or guaranteed by U.S. Government agencies or sponsored agencies (include CMOs, REMICs, and stripped MBS) <sup>1</sup>	RCFDG380	9,164
c. All other residential MBS	RCFDG381	0
d. Commercial MBS issued or guaranteed by U.S. Government agencies or sponsored agencies <sup>1</sup>	RCFDK197	0
e. All other commercial MBS	RCFDK198	0
Other debt securities:		
a. Structured financial products	RCFDHT62	0
b. All other debt securities	RCFDG386	223,358
. Loans:		
a. Loans secured by real estate		
1. Loans secured by 1-4 family residential properties	RCFDHT63	0
2. All other loans secured by real estate	RCFDHT64	0
b. Commercial and industrial loans	RCFDF614	0
c. Loans to individuals for household, family, and other personal expenditures (i.e., consumer loans) (includes purchased paper)	RCFDHT65	0
d. Other loans	RCFDF618	0
Not appliable		
Not applicable		
Other trading assets	RCFD3541	224,540
D. Not applicable		
1. Derivatives with a positive fair value	RCFD3543	3,853,470
2. Total trading assets (sum of items 1 through 11) (total of column A must equal Schedule RC, item 5)	RCFD3545	4,392,536
3. Not available		
a. Liability for short positions	RCFD3546	278,557
b. Other trading liabilities	RCFDF624	0
4. Derivatives with a negative fair value	RCFD3547	3,983,658
5. Total trading liabilities (sum of items 13.a through 14) (total of column A must equal Schedule RC, item 15)	RCFD3548	4,262,215
Unpaid principal balance of loans measured at fair value (reported in Schedule RC-D, items 6.a through 6.d):		
a. Loans secured by real estate		
1. Loans secured by 1-4 family residential properties	RCFDHT66	0
2. All other loans secured by real estate	RCFDHT67	0
b. Commercial and industrial loans	RCFDF632	0
c. Loans to individuals for household, family, and other personal expenditures (i.e., consumer loans) (includes purchased paper)	RCFDHT68	0
d. Other loans	RCFDF636	0
lemorandum items 2 through 10 are to be completed by banks with \$10 billion or more in total trading assets.		
Loans measured at fair value that are past due 90 days or more: <sup>1</sup>		
a. Fair value	RCFDF639	NR
b. Unpaid principal balance	RCFDF640	NR

U.S. Government agencies include, but are not limited to, such agencies as the Government National Mortgage Association (GNMA), the Federal Deposit Insurance Corporation (FDIC), and
the National Credit Union Administration (NCUA). U.S. Government-sponsored agencies include, but are not limited to, such agencies as the Federal Home Loan Mortgage Corporation (FHLMC)
and the Federal National Mortgage Association (FNMA).

<sup>1.</sup> The \$10 billion trading asset-size test is based on total trading assets reported on the June 30, 2018, Report of Condition.

Dollar amounts in thousands	Consoli	dated Bank	]
Memorandum items 3 through 10 are to be completed by banks with \$10 billion or more in total trading assets.  3. Structured financial products by underlying collateral or reference assets (for each column, sum of Memorandum items 3.a through 3.g must equal Schedule RC-D, sum of items 5.a.(1) through (3)):			M.3.
a. Trust preferred securities issued by financial institutions	RCFDG299	NR	M.3.a.
b. Trust preferred securities issued by real estate investment trusts	RCFDG332	NR	M.3.b.
c. Corporate and similar loans	RCFDG333	NR	M.3.c.
d. 1-4 family residential MBS issued or guaranteed by U.S. government-sponsored enterprises (GSEs)	RCFDG334	NR	M.3.d.
e. 1-4 family residential MBS not issued or guaranteed by GSEs	RCFDG335	NR	M.3.e.
f. Diversified (mixed) pools of structured financial products	RCFDG651	NR	M.3.f.
g. Other collateral or reference assets	RCFDG652	NR	M.3.g.
4. Pledged trading assets:			M.4.
a. Pledged securities	RCFDG387	NR	M.4.a.
b. Pledged loans	RCFDG388	NR	M.4.b.

Dollar amounts in thousands			_
5. Asset-backed securities:			M.5.
a. Credit card receivables	RCFDF643	NR	M.5.a.
b. Home equity lines	RCFDF644	NR	M.5.b.
c. Automobile loans	RCFDF645	NR	M.5.c.
d. Other consumer loans	RCFDF646	NR	M.5.d.
e. Commercial and industrial loans	RCFDF647	NR	M.5.e.
f. Other	RCFDF648	NR	M.5.f.
6. Retained beneficial interests in securitizations (first-loss or equity tranches)			M.6.
7. Equity securities (included in Schedule RC-D, item 9, above):			M.7.
a. Readily determinable fair values	RCFDF652	NR	M.7.a.
b. Other	RCFDF653	NR	M.7.b.
8. Loans pending securitization	RCFDF654	NR	M.8.
9. Other trading assets (itemize and describe amounts included in Schedule RC-D, item 9, that are greater than			M.9.
\$1,000,000 and exceed 25% of the item): <sup>1</sup>			101.5.
a. Disclose component and the dollar amount of that component:			M.9.a.
1. Describe component	TEXTF655	NR	M.9.a.
2. Amount of component	RCFDF655	NR	M.9.a.
b. Disclose component and the dollar amount of that component:			M.9.b.
(TEXTF656) NR	RCFDF656	NR	M.9.b.
c. Disclose component and the dollar amount of that component:			M.9.c.
(TEXTF657) NR	RCFDF657	NR	M.9.c.
10. Other trading liabilities (itemize and describe amounts included in Schedule RC-D, item 13.b, that are greater than \$1,000,000 and exceed 25% of the item):			M.10.
a. Disclose component and the dollar amount of that component:			M.10.a
1. Describe component	TEXTF658	NR	M.10.a
2. Amount of component	RCFDF658	NR	M.10.a
b. Disclose component and the dollar amount of that component:			M.10.b
(TEXTF659) NR	RCFDF659	NR	M.10.b
c. Disclose component and the dollar amount of that component:			M.10.d
(TEXTF660) NR	RCFDF660	NR	M.10.

# Schedule RC-E Part I - Deposits in Domestic Offices(Form Type - 031)

Dollar amounts in thousands	Accou Transaction (including	ction accounts demand deposits To		(Column C) Nontransaction Accounts Total nontransaction accounts (including MMDAs)			
Deposits of:							ĺ
Individuals, partnerships, and corporations (include all certified and official checks)	RCONB549	114,688,685			RCONB550	55,672,012	1.
2. U.S. Government	RCON2202	475			RCON2520	0	2.
3. States and political subdivisions in the U.S	RCON2203	4,841,574			RCON2530	398,739	3.
4. Commercial banks and other depository institutions in the U.S	RCONB551	473,409			RCONB552	0	4.
5. Banks in foreign countries	RCON2213	89			RCON2236	0	5.
6. Foreign governments and official institutions (including foreign central banks)	RCON2216	0			RCON2377	0	6.
7. Total (sum of items 1 through 6) (sum of columns A and C must equal Schedule RC, item 13.a)	RCON2215	120,004,232	RCON2210	118,283,269	RCON2385	56,070,751	7.

I. Selected components of total deposits (i.e., sum of item 7, columns A and C):		
a. Total Individual Retirement Accounts (IRAs) and Keogh Plan accounts	RCON6835	2,423,174
b. Total brokered deposits	RCON2365	1,713,423
c. Brokered deposits of \$250,000 or less (fully insured brokered deposits) <sup>2</sup>	RCONHK05	1,713,423
d. Maturity data for brokered deposits:		
Brokered deposits of \$250,000 or less with a remaining maturity of one year or less (included in Memorandum item 1.c above)	RCONHK06	1,711,194
2. Not applicable		
Brokered deposits of more than \$250,000 with a remaining maturity of one year or less (included in Memorandum item 1.b above)	RCONK220	0
e. Preferred deposits (uninsured deposits of states and political subdivisions in the U.S. reported in item 3 above which are secured or collateralized as required under state law) (to be completed for the December report only).	RCON5590	NR
f. Estimated amount of deposits obtained through the use of deposit listing services that are not brokered deposits	RCONK223	0
g. Total reciprocal deposits (as of the report date)	RCONJH83	0
Memorandum items 1.h.(1)(a), 1.h.(2)(a), 1.h.(3)(a), and 1.h.(4)(a) are to be completed by banks with \$100 billion or more in total assets		
h. Sweep deposits:		
1. Fully insured, affiliate sweep deposits	RCONMT87	800,544
a. Fully insured, affiliate, retail sweep deposits	RCONMT88	800,544
2. Not fully insured, affiliate sweep deposits	RCONMT89	0
a. Not fully insured, affiliate, retail sweep deposits	RCONMT90	0
3. Fully insured, non-affiliate sweep deposits	RCONMT91	3,372,292
a. Fully insured, non-affiliate, retail sweep deposits	RCONMT92	3,372,292
4. Not fully insured, non-affiliate sweep deposits	RCONMT93	0
a. Not fully insured, non-affiliate, retail sweep deposits	RCONMT94	0
i. Total sweep deposits that are not brokered deposits	RCONMT95	3,368,020
Components of total nontransaction accounts (sum of Memorandum items 2.a through 2.d must equal item 7, column above):		
a. Savings deposits:		
1. Money market deposit accounts (MMDAs)	RCON6810	29,947,393
2. Other savings deposits (excludes MMDAs)	RCON0352	23,622,310
b. Total time deposits of less than \$100,000	RCON6648	1,848,895
c. Total time deposits of \$100,000 through \$250,000	RCONJ473	461,820
d. Total time deposits of more than \$250,000	RCONJ474	190,333
e. Individual Retirement Accounts (IRAs) and Keogh Plan accounts of \$100,000 or more included in Memorandum items 2.c and 2.d above	RCONF233	117,695
. Maturity and repricing data for time deposits of \$250,000 or less:		
a. Time deposits of \$250,000 or less with a remaining maturity or next repricing date of:		
1. Three months or less	RCONHK07	781,807
2. Over three months through 12 months	RCONHK08	1,094,652
3. Over one year through three years	RCONHK09	328,622
4. Over three years	RCONHK10	105,634
b. Time deposits of \$250,000 or less with a REMAINING MATURITY of one year or less (included in Memorandum items 3.a.(1) and 3.a.(2) above) <sup>3</sup>	RCONHK11	1,875,731
Maturity and repricing data for time deposits of more than \$250,000:		
a. Time deposits of more than \$250,000 with a remaining maturity or next repricing date of:		
1. Three months or less	RCONHK12	66,781
2. Over three months through 12 months	RCONHK13	95,307
3. Over one year through three years	RCONHK14	27,454
, , ,		

<sup>2.</sup> The dollar amount used as the basis for reporting in Memorandum item 1.c reflects the deposit insurance limit in effect on the report date.

<sup>3.</sup> Report both fixed- and floating-rate time deposits by remaining maturity. Exclude floating rate time deposits with a next repricing date of one year or less that have a remaining maturity of over one year.

b. Time deposits of more than \$250,000 with a REMAINING MATURITY of one year or less (included in			1
Memorandum items 4.a.(1) and 4.a.(2) above) <sup>3</sup>	RCONK222	162,088	M.4.b.
5. Does your institution offer one or more consumer deposit account products, i.e., transaction account or nontransaction savings account deposit products intended primarily for individuals for personal, household, or family use?	RCONP752	Yes	M.5.
Memorandum items 6 and 7 are to be completed by institutions with \$1 billion or more in total assets that answered "Yes" to Memorandum item 5 above.			
6. Components of total transaction account deposits of individuals, partnerships, and corporations (sum of Memorandum			M.6.
items 6.a and 6.b must be less than or equal to item 1, column A, above): <sup>5</sup>			
a. Total deposits in those noninterest-bearing transaction account deposit products intended primarily for individuals for personal, household, or family use	RCONP753	14,158,805	M.6.a.
b. Total deposits in those interest-bearing transaction account deposit products intended primarily for individuals for personal, household, or family use	RCONP754	23,459,320	M.6.b.
7. Components of total nontransaction account deposits of individuals, partnerships, and corporations (sum of Memorandum items 7.a.(1), 7.a.(2), 7.b.(1), and 7.b.(2) plus all time deposits of individuals, partnerships, and corporations must equal item 1, column C, above):			M.7.
a. Money market deposit accounts (MMDAs) of individuals, partnerships, and corporations (sum of Memorandum items 7.a.(1) and 7.a.(2) must be less than or equal to Memorandum item 2.a.(1) above):			M.7.a.
Total deposits in those MMDA deposit products intended primarily for individuals for personal, household, or family use	RCONP756	22,108,503	M.7.a.1.
2. Deposits in all other MMDAs of individuals, partnerships, and corporations	RCONP757	7,559,938	M.7.a.2.
<ul> <li>b. Other savings deposit accounts of individuals, partnerships, and corporations (sum of Memorandum items 7.b.(1) and 7.b.(2) must be less than or equal to Memorandum item 2.a.(2) above):</li> </ul>			M.7.b.
Total deposits in those other savings deposit account deposit products intended primarily for individuals for personal, household, or family use	RCONP758	22,470,481	M.7.b.1.
2. Deposits in all other savings deposit accounts of individuals, partnerships, and corporations	RCONP759	1,088,514	M.7.b.2.

# Schedule RC-E Part II - Deposits in Foreign Offices including Edge and Agreement subsidiaries and IBFs(Form Type - 031)

Deposits of:			
1. Individuals, partnerships, and corporations (include all certified and official checks)	RCFNB553	114,718	1
2. U.S. banks (including IBFs and foreign branches of U.S. banks) and other U.S. depository institutions	RCFNB554	0	2
3. Foreign banks (including U.S. branches and agencies of foreign banks, including their IBFs)	RCFN2625	0	3
l. Foreign governments and official institutions (including foreign central banks)	RCFN2650	0	4
5. U.S. Government and states and political subdivisions in the U.S	RCFNB555	0	5
3. Total	RCFN2200	114,718	6
1. Time deposits with a remaining maturity of one year or less (included in Schedule RC, item 13.b)	RCFNA245	0	) N

# Schedule RC-F - Other Assets(Form Type - 031)

1. Accrued interest receivable <sup>2</sup>	RCFDB556	437,469	1.
2. Net deferred tax assets <sup>3</sup>		180,427	4
Net deletted tax assets     Interest-only strips receivable (not in the form of a security) <sup>4</sup>			3.
			4
4. Equity investments without readily determinable fair values <sup>5</sup>	RCFD1752	804,155	4.
5. Life insurance assets:			5.
a. General account life insurance assets	RCFDK201	568,375	5.a.
b. Separate account life insurance assets	RCFDK202	547,652	5.b.
c. Hybrid account life insurance assets	RCFDK270	921,987	5.c.
6. All other assets (itemize and describe amounts greater than \$100,000 that exceed 25% of this item)	RCFD2168	4,467,781	6.
a. Prepaid expenses	RCFD2166	0	6.a.
b. Repossessed personal property (including vehicles)	RCFD1578	0	6.b.
c. Derivatives with a positive fair value held for purposes other than trading	RCFDC010	0	6.c.
d. FDIC loss-sharing indemnification assets	RCFDJ448	0	6.d.
e. Computer software	RCFDFT33	0	6.e.
f. Accounts receivable	RCFDFT34	2,715,272	6.f.
g. Receivables from foreclosed government-guaranteed mortgage loans	RCFDFT35	0	6.g.
h. Disclose component and the dollar amount of that component:			6.h.
1. Describe component	TEXT3549	NR	6.h.
2. Amount of component	RCFD3549	0	6.h.:
i. Disclose component and the dollar amount of that component:			6.i.
1. Describe component	TEXT3550	NR	6.i.1
2. Amount of component	RCFD3550	0	6.i.2
j. Disclose component and the dollar amount of that component:			6.j.
1. Describe component	TEXT3551	NR	6.j.1
2. Amount of component	RCFD3551	0	6.j.2
7. Total (sum of items 1 through 6) (must equal Schedule RC, item 11)	RCFD2160	7,927,846	7.

<sup>2.</sup> Include accrued interest receivable on loans, leases, debt securities, and other interest-bearing assets. Exclude accrued interest receivables on financial assets that are reported elsewhere on the balance sheet.

<sup>3.</sup> See discussion of deferred income taxes in Glossary entry on "income taxes."

<sup>4.</sup> Report interest-only strips receivable in the form of a security as available-for-sale securities in Schedule RC, item 2.b, or as trading assets in Schedule RC, item 5, as appropriate.

Include Federal Reserve stock, Federal Home Loan Bank stock, and bankers' bank stock.

# Schedule RC-G - Other Liabilities(Form Type - 031)

1. Not available			1.
a. Interest accrued and unpaid on deposits in domestic offices <sup>6</sup>	RCON3645	1,350	1.a.
b. Other expenses accrued and unpaid (includes accrued income taxes payable)	RCFD3646	900,296	1.b.
2. Net deferred tax liabilities <sup>2</sup>	RCFD3049	8,470	2.
3. Allowance for credit losses on off-balance sheet credit exposures <sup>7</sup>	RCFDB557	177,075	3.
4. All other liabilities (itemize and describe amounts greater than \$100,000 that exceed 25 percent of this item)	RCFD2938	2,999,972	4.
a. Accounts payable	RCFD3066	1,469,643	4.a.
b. Deferred compensation liabilities	RCFDC011	0	4.b.
c. Dividends declared but not yet payable	RCFD2932	0	4.c.
d. Derivatives with a negative fair value held for purposes other than trading	RCFDC012	0	4.d.
e. Operating lease liabilities	RCFDLB56	0	4.e.
f. Disclose component and the dollar amount of that component:			4.f.
1. Describe component	TEXT3552	NR	4.f.1.
2. Amount of component	RCFD3552	0	4.f.2.
g. Disclose component and the dollar amount of that component:			4.g.
1. Describe component	TEXT3553	NR	4.g.1
2. Amount of component	RCFD3553	0	4.g.2
h. Disclose component and the dollar amount of that component:			4.h.
1. Describe component	TEXT3554	NR	4.h.1
2. Amount of component	RCFD3554	0	4.h.2
5. Total	RCFD2930	4,087,163	5.

<sup>6.</sup> For savings banks, include "dividends" accrued and unpaid on deposits.

<sup>2.</sup> See discussion of deferred income taxes in Glossary entry on "income taxes."

<sup>7.</sup> Institutions that have adopted ASU 2016-13 should report in Schedule RC-G, item 3 the allowance for credit losses on those off-balance sheet credit exposures that are not unconditionally cancelable.

# Schedule RC-H - Selected Balance Sheet Items for Domestic Offices(Form Type - 031)

To be completed only by banks with foreign offices.

#### Dollar amounts in thousands

1. Not applicable		
2. Not applicable		
3. Securities purchased under agreements to resell	RCONB989	0
4. Securities sold under agreements to repurchase	RCONB995	500,533
5. Other borrowed money	RCON3190	2,644,576
EITHER  6. Net due from own foreign offices, Edge and Agreement subsidiaries, and IBFs	RCON2163	491,991
OR  7. Net due to own foreign offices, Edge and Agreement subsidiaries, and IBFs	RCON2941	0
8. Total assets (excludes net due from foreign offices, Edge and Agreement subsidiaries, and IBFs)	RCON2192	209,542,682
9. Total liabilities (excludes net due to foreign offices, Edge and Agreement subsidiaries, and IBFs)	RCON3129	188,737,688

Dollar amounts in thousands		mortized Cost of urity Securities		) Fair Value of -Sale Securities	
10. U.S. Treasury securities	RCON0211	0	RCON1287	1,687,765	10.
11. U.S. Government agency obligations (exclude mortgage-backed securities)	RCON8492	0	RCON8495	0	11.
12. Securities issued by states and political subdivisions in the U.S	RCON8496	3,880	RCON8499	2,682	12.
13. Mortgage-backed securities (MBS):					13.
a. Mortgage pass-through securities:					13.a.
1. Issued or guaranteed by FNMA, FHLMC, or GNMA	RCONG389	0	RCONG390	28,611,026	13.a.1
2. Other mortgage pass-through securities	RCON1709	0	RCON1713	88	13.a.2
b. Other mortgage-backed securities (include CMOs, REMICs, and stripped MBS):					13.b.
1. Issued or guaranteed by U.S. Government agencies or sponsored agencies <sup>1</sup>	RCONG393	0	RCONG394	6,873,239	13.b.
2. All other mortgage-backed securities	RCON1733	0	RCON1736	4,969,163	13.b.2
14. Other domestic debt securities (include domestic structured financial products and domestic asset-backed securities)	RCONG397	0	RCONG398	6,153,003	14.
15. Other foreign debt securities (include foreign structured financial products and foreign asset-backed securities)	RCONG399	0	RCONG400	2,000	15.
16. Not applicable.					16.
17. Total held-to-maturity and available-for-sale debt securities (sum of items 10 through 15)	RCON1754	3,880	RCON1773	48,298,966	17.

18. Equity investments not held for trading:			18.
a. Equity securities with readily determinable fair values <sup>4</sup>	RCONJA22	30,648	18.a.
b. Equity investments without readily determinable fair values	RCON1752	804,155	18.b.
Items 19, 20 and 21 are to be completed by banks that reported total trading assets of \$10 million or more in any of the four preceding calendar quarters and all banks meeting the FDIC's definition of a large or highly complex institution for deposit insurance assessment purposes.  19. Total trading assets	RCON3545	4,392,536	19.
20. Total trading liabilities	RCON3548	4,262,215	20.
21. Total loans held for trading	RCONHT71	0	21.
tem 22 is to be completed by banks that: (1) have elected to report financial instruments or servicing assets and liabilities at fair value under a fair value option with changes in fair value recognized in earnings, or (2) are required to complete Schedule RC-D, Trading Assets and Liabilities.  22. Total amount of fair value option loans held for investment and held for sale	RCONJF75	1,003,252	22.

U.S. Government agencies include, but are not limited to, such agencies as the Government National Mortgage Association (GNMA), the Federal Deposit Insurance Corporation (FDIC), and
the National Credit Union Administration (NCUA). U.S. Government-sponsored agencies include, but are not limited to, such agencies as the Federal Home Loan Mortgage Corporation (FHLMC)
and the Federal National Mortgage Association (FNMA).

<sup>4.</sup> Item 18.a is to be completed by all institutions. See the instructions for this item and the Glossary entry for "Securities Activities" for further detail on accounting for investments in equity securities.

## Schedule RC-I - Assets and Liabilities of IBFs(Form Type - 031)

To be completed only by banks with IBFs and other "foreign" offices.

#### Dollar amounts in thousands

1. Total IBF assets of the consolidated bank (component of Schedule RC, item 12)	RCFN2133	NR	1.
2. Total IBF liabilities (component of Schedule RC, item 21)	RCFN2898	NR	2.

### Schedule RC-K - Quarterly Averages(Form Type - 031)

Dollar amounts in thousands			_
Interest-bearing balances due from depository institutions	RCFD3381	28,287,030	1.
2. U.S. Treasury securities and U.S. Government agency obligations (excluding mortgage-backed securities) <sup>2</sup>	RCFDB558	887,238	2.
3. Mortgage-backed securities <sup>2</sup>	RCFDB559	34,444,991	3.
4. All other debt securities and equity securities with readily determinable fair values not held for trading <sup>2</sup>	RCFDB560	5,728,613	4.
5. Federal funds sold and securities purchased under agreements to resell	RCFD3365	57	5.
6. Loans:			6.
a. Loans in domestic offices:			6.a
1. Total loans	RCON3360	113,713,685	6.a
2. Loans secured by real estate:			6.a.
a. Loans secured by 1-4 family residential properties	RCON3465	23,865,534	6.a.
b. All other loans secured by real estate	RCON3466	14,583,962	6.a.
3. Loans to finance agricultural production and other loans to farmers	RCON3386	24,160	6.a.
4. Commercial and industrial loans	RCON3387	48,267,474	6.a.
5. Loans to individuals for household, family, and other personal expenditures:			6.a
a. Credit cards	RCONB561	1,707,938	6.a
b. Other (includes revolving credit plans other than credit cards, automobile loans, and other consumer loans)	RCONB562	19,992,201	6.a.
b. Total loans in foreign offices, Edge and Agreement subsidiaries, and IBFs	RCFN3360	464,487	6.b.
Item 7 is to be completed by banks with total trading assets of \$10 million or more in any of the four preceding calendar quarters and all banks meeting the FDIC's definition of a large or highly complex institution for deposit insurance assessment purposes. 7. Trading assets	RCFD3401	3,534,416	7.
8. Lease financing receivables (net of unearned income)	RCFD3484	2,943,498	8.
9. Total assets <sup>4</sup>	RCFD3368	207,736,274	9.
10. Interest-bearing transaction accounts in domestic offices (interest-bearing demand deposits, NOW accounts, ATS accounts, and telephone and preauthorized transfer accounts)	RCON3485	54,561,894	10.
11. Nontransaction accounts in domestic offices:			11.
a. Savings deposits (includes MMDAs)	RCONB563	53,034,897	11.8
b. Time deposits of \$250,000 or less	RCONHK16	2,430,608	11.
c. Time deposits of more than \$250,000	RCONHK17	199,653	11.0
12. Interest-bearing deposits in foreign offices, EDGE and Agreement subsidiaries, and IBFs	RCFN3404	125,805	12.
13. Federal funds purchased and securities sold under agreements to repurchase	RCFD3353	750,159	13.
14. Other borrowed money (includes mortgage indebtedness and obligations under capitalized leases)	RCFD3355	2,659,650	14.

Quarterly averages for all debt securities should be based on amortized cost.

Quarterly averages for all debt securities should be based on amortized cost.

<sup>4.</sup> The quarterly average for total assets should reflect securities not held for trading as follows: a) Debt securities at amortized cost, b) Equity securities with readily determinable fair values at fair value, c) Equity investments without readily determinable fair values, their balance sheet carrying values (i.e., fair value or, if elected, cost minus impairment, if any, plus or minus changes resulting from observable price changes).

# Schedule RC-L - Derivatives and Off-Balance Sheet Items(Form Type - 031)

Please read carefully the instructions for the preparation of Schedule RC-L. Some of the amounts reported in Schedule RC-L are regarded as volume indicators and not necessarily as measures of risk.

1. Unused commitments:			1.
a. Revolving, open-end lines secured by 1-4 family residential properties, i.e., home equity lines	RCFD3814	7,550,616	1.a.
Item 1.a.(1) is to be completed for the December report only.  1. Unused commitments for reverse mortgages outstanding that are held for investment in domestic offices	RCONHT72	NR	1.a.1.
b. Credit card lines (Sum of items 1.b.(1) and 1.b.(2) must equal item 1.b)	RCFD3815	11,639,411	1.b.
Items 1.b.(1) and 1.b.(2) are to be completed by banks with either \$300 million or more in total assets or \$300 million or more in credit card lines. (Sum of items 1.b.(1) and 1.b.(2) must equal item 1.b)  Items 1.b.(1) and 1.b.(2) are to be completed semiannually in the June and December reports only.	RCFDJ455	NR	1.b.1.
1. Unused consumer credit card lines			
Other unused credit card lines	RCFDJ456	NR	1.b.2.
c. Commitments to fund commercial real estate, construction, and land development loans:			1.c.
1. Secured by real estate:			1.c.1.
a. 1-4 family residential construction loan commitments	RCFDF164	302,071	1.c.1.a
b. Commercial real estate, other construction loan, and land development loan commitments	RCFDF165	3,550,637	1.c.1.l
2. Not secured by real estate	RCFD6550	1,326,672	1.c.2.
d. Securities underwriting	RCFD3817	7,894	1.d.
e. Other unused commitments:			1.e.
1. Commercial and industrial loans	RCFDJ457	46,900,767	1.e.1.
2. Loans to financial institutions	RCFDJ458	2,245,661	1.e.2.
3. All other unused commitments	RCFDJ459	5,588,217	1.e.3.
Financial standby letters of credit and foreign office guarantees	RCFD3819	1,199,351	2.
Item 2.a is to be completed by banks with \$1 billion or more in total assets.	DOEDOOO	0.040	
a. Amount of financial standby letters of credit conveyed to others <sup>1</sup>	RCFD3820	6,619	2.a.
3. Performance standby letters of credit and foreign office guarantees	RCFD3821	870,694	3.
Item 3.a is to be completed by banks with \$1 billion or more in total assets.	DOEDOOO		
a. Amount of performance standby letters of credit conveyed to others <sup>1</sup>	RCFD3822	U	3.a.
4. Commercial and similar letters of credit	RCFD3411	3,959	4.
5. Not applicable			5.
6. Securities lent and borrowed:			6.
a. Securities lent (including customers' securities lent where the customer is indemnified against loss by the reporting bank)	RCFD3433	0	6.a.
b. Securities borrowed	RCFD3432	0	6.b.

Dollar amounts in thousands	(Column A) Sold Protection (Column B) Purchase Protection				
7. Credit derivatives:					7.
a. Notional amounts:					7.a.
1. Credit default swaps	RCFDC968	0	RCFDC969	0	7.a.
2. Total return swaps	RCFDC970	0	RCFDC971	0	7.a
3. Credit options	RCFDC972	0	RCFDC973	0	7.a
4. Other credit derivatives	RCFDC974	3,710,482	RCFDC975	1,512,727	7.a.
b. Gross fair values:					7.b.
1. Gross positive fair value	RCFDC219	0	RCFDC221	0	7.b.
2. Gross negative fair value	RCFDC220	8,104	RCFDC222	0	7.b.

c. Notional amounts by regulatory capital treatment: <sup>1</sup>			7.c.
1. Positions covered under the Market Risk Rule:			7.c.1.
a. Sold protection	RCFDG401	0	7.c.1.a.
b. Purchased protection	RCFDG402	0	7.c.1.b.
2. All other positions:			7.c.2.
a. Sold protection	RCFDG403	3,710,482	7.c.2.a.
b. Purchased protection that is recognized as a guarantee for regulatory capital purposes	RCFDG404	1,512,727	7.c.2.b.
c. Purchased protection that is not recognized as a guarantee for regulatory capital purposes	RCFDG405	0	7.c.2.c.

Dollar amounts in thousands	Maturity of One Year or Maturity of Over One Year Maturity of Over			Maturity of One Year or Maturity of Over One Year		Maturity of Over Five		
d. Notional amounts by remaining maturity:							7.d.	
1. Sold credit protection: <sup>2</sup>							7.d.1.	
a. Investment grade	RCFDG406	465,980	RCFDG407	1,112,365	RCFDG408	441,038	7.d.1.a.	
b. Subinvestment grade	RCFDG409	346,625	RCFDG410	886,407	RCFDG411	458,067	7.d.1.b.	
2. Purchased credit protection: <sup>3</sup>							7.d.2.	
a. Investment grade	RCFDG412	31,250	RCFDG413	198,033	RCFDG414	247,461	7.d2a.	
b. Subinvestment grade	RCFDG415	292,961	RCFDG416	543,381	RCFDG417	199,641	7.d2b.	

<sup>1.</sup> The asset-size tests and the \$300 million credit card lines test are based on the total assets and credit card lines reported in the June 30, 2018, Report of Condition.

<sup>1.</sup> The asset-size tests and the \$300 million credit card lines test are based on the total assets and credit card lines reported in the June 30, 2018, Report of Condition.

8. Spot foreign exchange contracts	RCFD8765	143,238	В.
All other off-balance sheet liabilities (exclude derivatives) (itemize and describe each component of this item over 25% of Schedule RC, item 27.a, "Total bank equity capital")	RCFD3430	0	9.
a. Not applicable		9	9.a.
b. Commitments to purchase when-issued securities	RCFD3434	0	9.b.
c. Standby letters of credit issued by another party (e.g., a Federal Home Loan Bank) on the bank's behalf	RCFDC978	0	9.c.
d. Disclose component and the dollar amount of that component:		9	9.d.
1. Describe component	TEXT3555	NR 9	9.d.1.
2. Amount of component	RCFD3555	0	9.d.2.
e. Disclose component and the dollar amount of that component:		9	9.e.
1. Describe component	TEXT3556	NR 9	9.e.1.
2. Amount of component	RCFD3556	0	9.e.2.
f. Disclose component and the dollar amount of that component:		9	9.f.
(TEXT3557) NR	RCFD3557	0	9.f.1.
10. All other off-balance sheet assets (exclude derivatives) (itemize and describe each component of this item over 25% of Schedule RC, item 27.a, "Total bank equity capital")	RCFD5591	0	10.
a. Commitments to sell when-issued securities	RCFD3435	0 1	10.a.
b. Disclose component and the dollar amount of that component:		1	10.b.
1. Describe component	TEXT5592	NR 1	10.b.1.
2. Amount of component	RCFD5592	0 1	10.b.2.
c. Disclose component and the dollar amount of that component:		1	10.c.
1. Describe component	TEXT5593	NR 1	10.c.1.
2. Amount of component	RCFD5593	0 1	10.c.2.
d. Disclose component and the dollar amount of that component:		1	10.d.
1. Describe component	TEXT5594	NR 1	10.d.1.
2. Amount of component	RCFD5594	0 1	10.d.2.
e. Disclose component and the dollar amount of that component:		1	10.e.
1. Describe component	TEXT5595	NR 1	10.e.1.
2. Amount of component	RCFD5595	0 1	10.e.2.
Items 11.a and 11.b are to be completed semiannually in the June and December reports only.  11. Year-to-date merchant credit card sales volume:		1	11.
a. Sales for which the reporting bank is the acquiring bank	RCFDC223	NR 1	11.a.
b. Sales for which the reporting bank is the agent bank with risk	RCFDC224	NR 1	11.b.

<sup>1.</sup> Sum of items 7.c.(1)(a) and 7.c.(2)(a), must equal sum of items 7.a.(1) through (4), column A. Sum of items 7.c.(1)(b), 7.c.(2)(b), and 7.c.(2)(c) must equal sum of items 7.a.(1) through (4), column B.

<sup>2.</sup> Sum of items 7.d.(1)(a) and (b), columns A through C, must equal sum of items 7.a.(1) through (4), column A.

<sup>3.</sup> Sum of items 7.d.(2)(a) and (b), columns A through C, must equal sum of items 7.a.(1) through (4), column B.

Dollar amounts in thousands	(Column A) Interest Rate Contracts		(Column B) Foreign Exchange Contracts			C) Equity Contracts	Commodit	ımn D) y and Other tracts	
									12.
12. Gross amounts (e.g., notional amounts):		400 700						4 000 050	
a. Futures contracts			RCFD8694		RCFD8695		RCFD8696	1,839,256	12.a.
b. Forward contracts	RCFD8697	3,153,362	RCFD8698	4,355,880	RCFD8699	0	RCFD8700	0	12.b.
c. Exchange-traded option contracts:									12.c.
1. Written options	RCFD8701	0	RCFD8702	0	RCFD8703	0	RCFD8704	85,277	12c1.
2. Purchased options	RCFD8705	16,900	RCFD8706	0	RCFD8707	0	RCFD8708	59,452	12c2
d. Over-the-counter option contracts:									12.d.
1. Written options	RCFD8709	10,752,246	RCFD8710	4,273,017	RCFD8711	0	RCFD8712	2,556,007	12d1.
2. Purchased options	RCFD8713	17,896,110	RCFD8714	4,273,017	RCFD8715	0	RCFD8716	2,628,128	12d2
e. Swaps	RCFD3450	78,682,894	RCFD3826	9,405,484	RCFD8719	3,627,406	RCFD8720	7,551,880	12.e.
13. Total gross notional amount of derivative contracts held for trading	RCFDA126	73,320,935	RCFDA127	22,307,398	RCFD8723	0	RCFD8724	14,720,000	13.
14. Total gross notional amount of derivative contracts held for purposes other than trading	RCFD8725	37,644,363	RCFD8726	0	RCFD8727	3,627,406	RCFD8728	0	14.
Interest rate swaps where the bank has agreed to pay a fixed rate	RCFDA589	0							14.a.
15. Gross fair values of derivative contracts:									15.
a. Contracts held for trading:									15.a.
1. Gross positive fair value	RCFD8733	430,424	RCFD8734	367,084	RCFD8735	0	RCFD8736	3,055,997	15a1.
2. Gross negative fair value	RCFD8737	667,228	RCFD8738	357,079	RCFD8739	0	RCFD8740	2,951,362	15a2
b. Contracts held for purposes other than trading:									15.b.
1. Gross positive fair value	RCFD8741	159,962	RCFD8742	0	RCFD8743	0	RCFD8744	0	15.b1.
2. Gross negative fair value	RCFD8745	32,543	RCFD8746	0	RCFD8747	198,312	RCFD8748	0	15b2

Dollar amounts in thousands	(Column A) Banks and Securities Firms	(Column B)	(Column C) Hedge Funds	(Column D) Sovereign Governments	(Column E) Corporations and All Other Counterparties	
Item 16 is to be completed only by banks with total assets of \$10 billion or more.						ļ.,
16. Over-the counter derivatives: <sup>1</sup>						16.
a. Net current credit exposure	RCFDG418 451,613		RCFDG420 0	RCFDG421 0	RCFDG422 2,284,396	16.a.
b. Fair value of collateral:						16.b.
1. Cash - U.S. dollar	RCFDG423 507,417		RCFDG425 0	RCFDG426 0	RCFDG427 16,457	16.b.1.
2. Cash - Other currencies	RCFDG428 0		RCFDG430 0	RCFDG431 0	RCFDG432 0	16.b.2.
3. U.S. Treasury securities	RCFDG433 0		RCFDG435 0	RCFDG436 0	RCFDG437 0	16.b.3.
4. U.S. Government agency and U.S. Government-sponsored agency debt securities	RCFDG438 0		RCFDG440 0	RCFDG441 0	RCFDG442 0	16.b.4.
5. Corporate bonds	RCFDG443 0		RCFDG445 0	RCFDG446 0	RCFDG447 0	16.b.5.
6. Equity securities	RCFDG448 0		RCFDG450 0	RCFDG451 0	RCFDG452 0	16.b.6.
7. All other collateral	RCFDG453		RCFDG455 0	RCFDG456 0	RCFDG457 750	16.b.7.
8. Total fair value of collateral (sum of items 16.b.(1) through (7))	RCFDG458 507,426		RCFDG460 0	RCFDG461 0	RCFDG462 17,207	16.b.8.

<sup>1.</sup> The \$10 billion asset-size test is based on the total assets reported on the June 30, 2018, Report of Condition.

# Schedule RC-M - Memoranda(Form Type - 031)

Dollar amounts in thousands		
1. Extensions of credit by the reporting bank to its executive officers, directors, principal shareholders, and their related interests as of the report date:		
a. Aggregate amount of all extensions of credit to all executive officers, directors, principal shareholders, and their related interests	RCFD6164	186,931
b. Number of executive officers, directors, and principal shareholders to whom the amount of all extensions of credit by the reporting bank (including extensions of credit to related interests) equals or exceeds the lesser of \$500,000 or 5 percent of total capital as defined for this purpose in agency regulations	RCFD6165	13
2. Intangible assets:		
a. Mortgage servicing assets	RCFD3164	1,444,095
Estimated fair value of mortgage servicing assets	RCFDA590	1,444,095
b. Goodwill	RCFD3163	4,411,409
c. All other intangible assets	RCFDJF76	144,615
d. Total (sum of items 2.a, 2.b, and 2.c) (must equal Schedule RC, item 10)	RCFD2143	6,000,119
B. Other real estate owned:		
a. Construction, land development, and other land in domestic offices	RCON5508	2
b. Farmland in domestic offices	RCON5509	0
c. 1-4 family residential properties in domestic offices	RCON5510	3,769
d. Multifamily (5 or more) residential properties in domestic offices	RCON5511	0
e. Nonfarm nonresidential properties in domestic offices	RCON5512	23,390
f. In foreign offices	RCFN5513	0
g. Total (sum of items 3.a through 3.g) (must equal Schedule RC, item 7)	RCFD2150	27,161
. Cost of equity securities with readily determinable fair values not held for trading (the fair value of which is reported a Schedule RC, item 2.c)	RCFDJA29	31,081
5. Other borrowed money:		
a. Federal Home Loan Bank advances:		
1. Advances with a remaining maturity or next repricing date of: <sup>1</sup>		
a. One year or less	RCFDF055	1,687
b. Over one year through three years	RCFDF056	24,870
c. Over three years through five years	RCFDF057	4,505
d. Over five years	RCFDF058	7,598
2. Advances with a remaining maturity of one year or less (included in item 5.a.(1)(a) above) <sup>2</sup>	RCFD2651	1,687
3. Structured advances (included in items 5.a.(1)(a) - (d) above)	RCFDF059	0
b. Other borrowings:		
1. Other borrowings with a remaining maturity or next repricing date of: <sup>3</sup>		
a. One year or less	RCFDF060	780,713
b. Over one year through three years	RCFDF061	106,361
c. Over three years through five years	RCFDF062	1,557,214
d. Over five years	RCFDF063	162,080
2. Other borrowings with a remaining maturity of one year or less (included in item 5.b.(1)(a) above) <sup>4</sup>	RCFDB571	780,713
c. Total (sum of items 5.a.(1)(a)-(d) and items 5.b.(1)(a)-(d)) (must equal Schedule RC, item 16)	RCFD3190	2,645,028
5. Does the reporting bank sell private label or third party mutual funds and annuities?	RCFDB569	Yes
'. Assets under the reporting bank's management in proprietary mutual funds and annuities	RCFDB570	0
3. Internet Web site addresses and physical office trade names:		
a. Uniform Resource Locator (URL) of the reporting institution's primary Internet Web site (home page), if any (Example: www.examplebank.com):	TEXT4087	Click here for value
<u> </u>		

<sup>1.</sup> Item 4 is to be completed only by insured state banks that have been approved by the FDIC to hold grandfathered equity investments. See instructions for this item and the Glossary entry for "Securities Activities" for further detail on accounting for investments in equity securities.

<sup>1.</sup> Report fixed-rate advances by remaining maturity and floating-rate advances by next repricing date.

<sup>2.</sup> Report both fixed- and floating-rate advances by remaining maturity. Exclude floating-rate advances with a next repricing date of one year or less that have a remaining maturity of over one year.

<sup>3.</sup> Report fixed-rate other borrowings by remaining maturity and floating-rate other borrowings by next repricing date.

<sup>4.</sup> Report both fixed- and floating-rate other borrowings by remaining maturity. Exclude floating rate other borrowings with a next repricing date of one year or less that have a remaining maturity of over one year.

b. UKLs of all other public-facing internet web sites that the reporting institution uses to accept or solicit deposits		1	8.b.
from the public, if any (Example: www.examplebank.biz): <sup>1</sup>	TENANTON	ND	
1. URL 1	TE01N528	NR 8	
2. URL 2	TE02N528	NR 8	
3. URL 3	TE03N528	NR 8	
4. URL 4	TE04N528	NR 8	
5. URL 5	TE05N528	NR 8	
6. URL 6	TE06N528	NR 8	
7. URL 7	TE07N528	NR 8	8.b.7.
8. URL 8	TE08N528	NR	
9. URL 9	TE09N528	NR 8	8.b.9.
10. URL 10	TE10N528	NR 8	8.b.10.
c. Trade names other than the reporting institution's legal title used to identify one or more of the institution's physical offices at which deposits are accepted or solicited from the public, if any:			8.c.
1. Trade name 1	TE01N529	NR	8.c.1.
2. Trade name 2	TE02N529	NR 8	8.c.2.
3. Trade name 3	TE03N529	NR 8	8.c.3.
4. Trade name 4	TE04N529	NR	8.c.4.
5. Trade name 5	TE05N529	NR 8	8.c.5.
6. Trade name 6	TE06N529	NR 8	8.c.6.
Item 9 is to be completed annually in the December report only.			
9. Do any of the bank's Internet Web sites have transactional capability, i.e., allow the bank's customers to execute transactions on their accounts through the Web site?	RCFD4088	NR	9.
10. Secured liabilities:			10.
a. Amount of "Federal funds purchased in domestic offices" that are secured (included in Schedule RC, item     14.a)	RCONF064	0	10.a.
b. Amount of "Other borrowings" that are secured (included in Schedule RC-M, items 5.b.(1)(a) - (d))	RCFDF065	418,318	10.b.
11. Does the bank act as trustee or custodian for Individual Retirement Accounts, Health Savings Accounts, and other similar accounts?	RCONG463	Yes	11.
12. Does the bank provide custody, safekeeping, or other services involving the acceptance of orders for the sale or purchase of securities?	RCONG464	Yes	12.
13. Assets covered by loss-sharing agreements with the FDIC:			13.
a. Loans and leases (included in Schedule RC, items 4.a and 4.b):			13.a.
1. Loans secured by real estate in domestic offices:			13.a.1.
a. Construction, land development, and other land loans:		•	13.a.1.a.
1. 1-4 family residential construction loans	RCONK169	0	13.a.1.a.1
2. Other construction loans and all land development and other land loans	RCONK170	0	13.a.1.a.2
b. Secured by farmland	RCONK171	0	13.a.1.b.
c. Secured by 1-4 family residential properties:			13.a.1.c.
Revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit	RCONK172	0	13.a.1.c.1
2. Closed-end loans secured by 1-4 family residential properties:			13.a.1.c.2
a. Secured by first liens	RCONK173	0	13.a.1.c2.a
b. Secured by junior liens	RCONK174	0	13a.1.c2.b
d. Secured by multifamily (5 or more) residential properties	RCONK175	0	13.a.1.d.
e. Secured by nonfarm nonresidential properties:			13.a.1.e.
Loans secured by owner-occupied nonfarm nonresidential properties	RCONK176	0	13.a.1.e.1
Loans secured by other nonfarm nonresidential properties	RCONK177	0	13.a.1.e.2
2. Not applicable			13.a.2.
3. Not applicable			13.a.3.
4. Not applicable  4. Not applicable			13.a.4.
5. All other loans and all leases	RCFDK183		13.a.5.
J. All Other Idaha and all teases	1101 511100	٠	. 0.4.0.

<sup>1.</sup> Report only highest level URLs (for example, report www.examplebank.biz, but do not also report www.examplebank.biz/checking). Report each top level domain name used (for example, report both www.examplebank.biz and www.examplebank.net).

Dollar amounts in mousands		
b. Other real estate owned (included in Schedule RC, item 7):		
1. Construction, land development, and other land in domestic offices	RCONK187	0
2. Farmland in domestic offices	RCONK188	0
3. 1-4 family residential properties in domestic offices	RCONK189	0
4. Multifamily (5 or more) residential properties in domestic offices	RCONK190	0
5. Nonfarm nonresidential properties in domestic offices	RCONK191	0
6. In foreign offices	RCFNK260	0
7. Portion of covered other real estate owned included in items 13.b.(1) through (6) above that is protected by FDIC loss-sharing agreements	RCFDK192	0
c. Debt securities (included in Schedule RC, items 2.a and 2.b)	RCFDJ461	0
d. Other assets (exclude FDIC loss-sharing indemnification assets)	RCFDJ462	0
ems 14.a and 14.b are to be completed annually in the December report only.  4. Captive insurance and reinsurance subsidiaries:		
a. Total assets of captive insurance subsidiaries <sup>2</sup>	RCFDK193	NR
b. Total assets of captive reinsurance subsidiaries <sup>2</sup>	RCFDK194	NR
em 15 is to be completed by institutions that are required or have elected to be treated as a Qualified Thrift Lender.  5. Qualified Thrift Lender (QTL) test:		
a. Does the institution use the Home Owners' Loan Act (HOLA) QTL test or the Internal Revenue Service Domestic Building and Loan Association (IRS DBLA) test to determine its QTL compliance? (for the HOLA QTL test, enter 1; for the IRS DBLA test, enter 2)	RCONL133	NR
b. Has the institution been in compliance with the HOLA QTL test as of each month end during the quarter or the IRS DBLA test for its most recent taxable year, as applicable?	RCONL135	NR
em 16.a and, if appropriate, items 16.b.(1) through 16.b.(3) are to be completed annually in the December report only.		
6. International remittance transfers offered to consumers: <sup>1</sup>		
Estimated number of international remittance transfers provided by your institution during the calendar year ending on the report date	RCONN523	NR
Items 16.b.(1) through 16.b.(3) are to be completed by institutions that reported 501 or more international remittance transfers in item 16.a in either or both of the current report or the most recent prior report in which item 16.a was required to be completed.		
<ul> <li>Estimated dollar value of remittance transfers provided by your institution and usage of regulatory exceptions during the calendar year ending on the report date:</li> </ul>		
Estimated dollar value of international remittance transfers	RCONN524	NR
Estimated number of international remittance transfers for which your institution applied the permanent exchange rate exception	RCONMM07	NR
Estimated number of international remittance transfers for which your institution applied the permanent covered third-party fee exception	RCONMQ52	NR
7. U.S. Small Business Administration Paycheck Protection Program (PPP) loans and the Federal Reserve PPP iquidity Facility (PPPLF): <sup>3</sup>		
a. Number of PPP loans outstanding	RCONLG26	11313
b. Outstanding balance of PPP loans	RCONLG27	736,590
c. Outstanding balance of PPP loans pledged to the PPPLF	RCONLG28	0
d. Outstanding balance of borrowings from Federal Reserve Banks under the PPPLF with a remaining maturity of:		
1. One year or less	RCONLL59	0
2. More than one year	RCONLL60	0
e. Quarterly average amount of PPP loans pledged to the PPPLF and excluded from "Total assets for the leverage ratio" reported in Schedule RC-R, Part I, item 30	RCONLL57	0
B. Money Market Mutual Fund Liquidity Facility (MMLF):		
a. Outstanding balance of assets purchased under the MMLF	RCONLL61	0
b. Quarterly average amount of assets purchased under the MMLF and excluded from "Total assets for the		

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<sup>2.</sup> Report total assets before eliminating intercompany transactions between the consolidated insurance or reinsurance subsidiary and other offices or consolidated subsidiaries of the reporting bank.

<sup>1.</sup> Report information about international electronic transfers of funds offered to consumers in the United States that: (a) are "remittance transfers" as defined by subpart B of Regulation E (12 CFR § 1005.30(e)), or (b) would qualify as "remittance transfers" under subpart B of Regulation E (12 CFR § 1005.30(e)) but are excluded from that definition only because the provider is not providing those transfers in the normal course of its business. See 12 CFR § 1005.30(f). For purposes of this item 16, such trans

<sup>3.</sup> Paycheck Protection Program (PPP) covered loans as defined in sections 7(a)(36) and 7(a)(37) of the Small Business Act (15 U.S.C. 636(a)(36) and (37)). The PPP was established by Section 1102 of the 2020 Coronavirus Aid, Relief, and Economic Security Act.

# Schedule RC-N - Past Due and Nonaccrual Loans Leases and Other Assets(Form Type - 031)

Dollar amounts in thousands		(Column A) Past due 30 through 89 days and still accruing		(Column B) Past due 90 days or more and still accruing		(Column C) Nonaccrual	
Loans secured by real estate:							1.
a. Construction, land development, and other land loans in domestic offices:							1.8
1. 1-4 family residential construction loans	RCONF172	180	RCONF174	0	RCONF176	676	1.a
2. Other construction loans and all land development and other land	RCONF173	10,663	RCONF175	4,153	RCONF177	7,828	1.8
b. Secured by farmland in domestic offices	RCON3493	80		0	RCON3495	204	1.1
c. Secured by 1-4 family residential properties in domestic offices:							1.0
Revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit	RCON5398	21,731	RCON5399	337	RCON5400	66,506	1
2. Closed-end loans secured by 1-4 family residential properties:							1.0
a. Secured by first liens	RCONC236	94,659	RCONC237	326,327	RCONC229	83,473	1.0
b. Secured by junior liens	RCONC238	2,028	RCONC239	618	RCONC230	8,935	1.c.
d. Secured by multifamily (5 or more) residential properties in domestic offices	RCON3499	0	RCON3500	0	RCON3501	749	1.0
e. Secured by nonfarm nonresidential properties in domestic offices:							1.6
Loans secured by owner-occupied nonfarm nonresidential properties	RCONF178	4,462	RCONF180	0	RCONF182	33,075	1.6
2. Loans secured by other nonfarm nonresidential properties	RCONF179	3,427	RCONF181	987	RCONF183	0	1.6
f. In foreign offices	RCFNB572	0	RCFNB573	0	RCFNB574	0	1.f
2. Loans to depository institutions and acceptances of other banks:							2.
a. To U.S. banks and other U.S. depository institutions	RCFD5377	0	RCFD5378	0	RCFD5379	0	2.8
b. To foreign banks	RCFD5380	0	RCFD5381	0	RCFD5382	0	2.t
3. Loans to finance agricultural production and other loans to farmers	RCFD1594	0	RCFD1597	0	RCFD1583	133	3.
4. Commercial and industrial loans:							4.
a. To U.S. addressees (domicile)	RCFD1251	60,198	RCFD1252	5,404	RCFD1253	180,607	4.a
b. To non-U.S. addressees (domicile)	RCFD1254	20,621	RCFD1255	0	RCFD1256	32,116	4.b
5. Loans to individuals for household, family, and other personal expenditures:							5.
a. Credit cards	RCFDB575	16,978	RCFDB576	14,436	RCFDB577	23,433	5.8
b. Automobile loans	RCFDK213	98,411	RCFDK214	8,323	RCFDK215	20,090	5.t
c. Other (includes revolving credit plans other than credit cards and other consumer loans)	RCFDK216	20,581	RCFDK217	1,006	RCFDK218	2,555	5.0
6. Loans to foreign governments and official institutions	RCFD5389	0	RCFD5390	0	RCFD5391	0	6.
7. All other loans	RCFD5459	11,789	RCFD5460	4,123	RCFD5461	74,663	7.
8. Lease financing receivables:							8.
a. Leases to individuals for household, family, and other personal expenditures	RCFDF166	0	RCFDF167	0	RCFDF168	0	8.8
b. All other leases	RCFDF169	819	RCFDF170	17	RCFDF171	2,868	8.t
9. Total loans and leases (sum of items 1 through 8.b)	RCFD1406	366,627	RCFD1407	365,731	RCFD1403	537,911	9.
10. Debt securities and other assets (exclude other real estate owned and other repossessed assets)	RCFD3505	0	RCFD3506	0	RCFD3507	0	10
11. Loans and leases reported in items 1 through 8 above that are wholly or partially guaranteed by the U.S. Government, excluding loans and leases covered by loss-sharing agreements with the FDIC:	RCFDK036	90,642	RCFDK037	319,228	RCFDK038	28,400	11
Guaranteed portion of loans and leases included in item 11 above, excluding rebooked "GNMA loans"	RCFDK039	48,177	RCFDK040	145,903	RCFDK041	20,046	11
b. Rebooked "GNMA loans" that have been repurchased or are eligible for repurchase included in item 11 above	RCFDK042	42,449	RCFDK043	173,105	RCFDK044	0	11
12. Loans and leases reported in items 1 through 8 above that are covered by loss-sharing agreements with the FDIC: $\frac{1}{2} = \frac{1}{2} \left( \frac{1}{2} + \frac{1}{2} \right) \left( \frac{1}{2} + \frac{1}{2} + \frac{1}{2} \right) \left( \frac{1}{2} + 1$							12
a. Loans secured by real estate in domestic offices:							12
1. Construction, land development, and other land loans:							12.
a. 1-4 family residential construction loans	RCONK045	0	RCONK046	0	RCONK047	0	12:

		) Past due 30 days and still ruing	days or m	) Past due 90 ore and still ruing	(Column C) Nonaccrual			
b. Other construction loans and all land development and other land loans	RCONK048	0	RCONK049	0	RCONK050	0	) 1	
2. Secured by farmland	RCONK051	0	RCONK052	0	RCONK053	0	) 1	
3. Secured by 1-4 family residential properties:							1	
a. Revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit	RCONK054	0	RCONK055	0	RCONK056	0		
b. Closed-end loans secured by 1-4 family residential properties:								
1. Secured by first liens	RCONK057	0	RCONK058	0	RCONK059	0	)	
2. Secured by junior liens	RCONK060	0	RCONK061	0	RCONK062	0	)	
4. Secured by multifamily (5 or more) residential properties	RCONK063	0	RCONK064	0	RCONK065	0	)	
5. Secured by nonfarm nonresidential properties:								
Loans secured by owner-occupied nonfarm nonresidential properties	RCONK066	0	RCONK067	0	RCONK068	0	,	
b. Loans secured by other nonfarm nonresidential properties	RCONK069	0	RCONK070	0	RCONK071	0	)	
b. Not applicable								
c. Not applicable								
d. Not applicable								
e. All other loans and all leases	RCFDK087	0	RCFDK088	0	RCFDK089	0	Ī	
f. Portion of covered loans and leases included in items 12.a through 12.e above that is protected by FDIC loss-sharing agreements	RCFDK102	0	RCFDK103	0	RCFDK104	0	,	
pans restructured in troubled debt restructurings included in Schedule N, items 1 through 7, above (and not reported in Schedule RC-C, Part 1, norandum item 1):								
a. Construction, land development, and other land loans in domestic offices:								
1. 1-4 family residential construction loans	RCONK105	104	RCONK106	0	RCONK107	450	)	
Other construction loans and all land development and other land loans	RCONK108	28	RCONK109	160	RCONK110	229	,	
b. Loans secured by 1-4 family residential properties in domestic offices	RCONF661	27,772	RCONF662	81,574	RCONF663	76,258	3	
c. Secured by multifamily (5 or more) residential properties in domestic offices	RCONK111	0	RCONK112	0	RCONK113	0	)	
d. Secured by nonfarm nonresidential properties in domestic offices:								
Loans secured by owner-occupied nonfarm nonresidential properties	RCONK114	0	RCONK115	0	RCONK116	22,736	6	
2. Loans secured by other nonfarm nonresidential properties	RCONK117	0	RCONK118	0	RCONK119	0	)	
e. Commercial and industrial loans:								
1. To U.S. addressees (domicile)	RCFDK120	1,405	RCFDK121	0	RCFDK122	148,925	5	
2. To non-U.S. addressees (domicile)	RCFDK123	0	RCFDK124	0	RCFDK125	0	)	
f. All other loans (include loans to individuals for household, family, and other personal expenditures)	RCFDK126	6,926	RCFDK127	32	RCFDK128	46,974	ļ	
Itemize loan categories included in Memorandum item 1.f, above that exceed 10 percent of total loans restructured in troubled debt restructurings that are past due 30 days or more or in nonaccrual status (sum of Memorandum items 1.a through 1.f, columns A through C):  1. Loans secured by farmland in domestic offices	RCONK130	0	RCONK131	0	RCONK132	0	)	
2. Not applicable							1	
Loans to finance agricultural production and other loans to farmers	RCFDK138	0	RCFDK139	0	RCFDK140	0	,	
4. Loans to individuals for household, family, and other personal expenditures:								
a. Credit cards	RCFDK274	0	RCFDK275	0	RCFDK276	0	)	
b. Automobile loans	RCFDK277	0	RCFDK278	0	RCFDK279	0	ار	
c. Other (includes revolving credit plans other than credit cards and other consumer loans)	RCFDK280	0	RCFDK281	0	RCFDK282	0	)	
g. Total loans restructured in troubled debt restructurings included in Schedule RC-N, items 1 through 7, above and not reported in Schedule RC-C, Part I, Memorandum item 1 (sum of items Memorandum item 1.a.(1) through Memorandum item 1.f) <sup>1</sup>	RCFDHK26	36,235	RCFDHK27	81,766	RCFDHK28	295,572	!	

4	0

Dollar amounts in thousands	through 89	) Past due 30 days and still ruing	days or m	) Past due 90 ore and still cruing	(Column C	) Nonaccrual	
Loans to finance commercial real estate, construction, and land development activities (not secured by real estate) included in Schedule RC-N, items 4 and 7, above	RCFD6558	5	RCFD6559	1	RCFD6560	29,074	M.2.
3. Loans secured by real estate to non-U.S. addressees (domicile) (included in Schedule RC-N, item 1, above)	RCFD1248	471	RCFD1249	124	RCFD1250	539	M.3.
4. Not applicable							M.4.
5. Loans and leases held for sale (included in Schedule RC-N, items 1 through 8, above)	RCFDC240	14,400	RCFDC241	65,004	RCFDC226	4,125	M.5.

Dollar amounts in thousands		st due 30 through days	, ,	st due 90 days or nore	
6. Derivative contracts: Fair value of amounts carried as assets	RCFD3529	0	RCFD3530	0	M.6.

Memorandum items 7, 8, 9.a, and 9.b are to be completed semiannually in the June and December reports only.  7. Additions to nonaccrual assets during the previous six months	RCFDC410	NR	M.7.
8. Nonaccrual assets sold during the previous six months	RCFDC411	NR	M.8.

Dollar amounts in thousands	through 89	) Past due 30 days and still cruing	days or m	) Past due 90 lore and still cruing	(Column C	) Nonaccrual	
Purchased credit-impaired loans accounted for in accordance with FASB ASC 310-30 (former AICPA Stament of Position 03-3): <sup>2</sup>							М.9
,							١
a. Outstanding balance	RCFDL183	NR	RCFDL184	NR	RCFDL185	NR	M.9
b. Amount included in Schedule RC-N, items 1 through 7, above	RCFDL186	NR	RCFDL187	NR	RCFDL188	NR	M.9

## Schedule RC-O - Other Data for Deposit Insurance and FICO Assessments(Form Type - 031)

All FDIC-insured depository institutions must complete items 1 through 9, 10, and 11, Memorandum item 1, and, if applicable, item 9.a, Memorandum items 2, 3, and 6 through 18 each quarter. Unless otherwise indicated, complete items 1 through 11 and Memorandum items 1 through 3 on an "unconsolidated single FDIC certificate number basis" (see instructions) and complete Memorandum items 6 through 18 on a fully consolidated basis.

Dollar amounts in thousands		
. Total deposit liabilities before exclusions (gross) as defined in Section 3(I) of the Federal Deposit Insurance Act and EDIC regulations	RCFDF236	201,583,527
t. Total allowable exclusions, including interest accrued and unpaid on allowable exclusions (including foreign leposits)	RCFDF237	114,718
s. Total foreign deposits, including interest accrued and unpaid thereon (included in item 2 above)	RCFNF234	114,718
. Average consolidated total assets for the calendar quarter	RCFDK652	207,736,274
a. Averaging method used (for daily averaging, enter 1; for weekly averaging, enter 2)	RCFDK653	1
. Average tangible equity for the calendar quarter <sup>1</sup>	RCFDK654	17,010,184
Holdings of long-term unsecured debt issued by other FDIC-insured depository institutions	RCFDK655	9,774
Unsecured "Other borrowings" with a remaining maturity of (sum of items 7.a through 7.d must be less than or equal Schedule RC-M, items 5.b.(1)(a)-(d) minus item 10.b):		
a. One year or less	RCFDG465	767,111
b. Over one year through three years	RCFDG466	0
c. Over three years through five years	RCFDG467	1,370,651
d. Over five years	RCFDG468	50,288
Subordinated notes and debentures with a remaining maturity of (sum of items 8.a through 8.d must equal Schedule C, item 19):		
a. One year or less	RCFDG469	0
b. Over one year through three years	RCFDG470	0
c. Over three years through five years	RCFDG471	748,443
d. Over five years	RCFDG472	172,345
Brokered reciprocal deposits (included in Schedule RC-E, Part I, Memorandum item 1.b)	RCONG803	0
Item 9.a is to be completed on a fully consolidated basis by all institutions that own another insured depository institution.	RCONL190	NR
a. Fully consolidated brokered reciprocal deposits      Banker's bank certification: Does the reporting institution meet both the statutory definition of a banker's bank and e business conduct test set forth in FDIC regulations? If the answer to item 10 is "YES," complete items 10.a and	RCFDK656	No
If the answer to item 10 is "YES," complete items 10.a and 10.b.  a. Banker's bank deduction	RCFDK657	NR
b. Banker's bank deduction limit	RCFDK658	NR
Custodial bank certification: Does the reporting institution meet the definition of a custodial bank set forth in FDIC gulations? If the answer to item 11 is "YES," complete items 11.a and 11.b	RCFDK659	Yes
If the answer to item 11 is "YES," complete items 11.a and 11.b. a. Custodial bank deduction	RCFDK660	49,140,127
b. Custodial bank deduction limit	RCFDK661	4,497,248
Total deposit liabilities of the bank (including related interest accrued and unpaid) less allowable exclusions (including related interest accrued and unpaid) (sum of Memorandum items 1.a.(1), 1.b.(1), 1.c.(1), and 1.d.(1) must equal chedule RC-O, item 1 less item 2):		
a. Deposit accounts (excluding retirement accounts) of \$250,000 or less: <sup>1</sup>		
1. Amount of deposit accounts (excluding retirement accounts) of \$250,000 or less	RCONF049	76,519,842
2. Number of deposit accounts (excluding retirement accounts) of \$250,000 or less	RCONF050	6088996
b. Deposit accounts (excluding retirement accounts) of more than \$250,000: <sup>1</sup>		
Amount of deposit accounts (excluding retirement accounts) of more than \$250,000	RCONF051	122,525,793
2. Number of deposit accounts (excluding retirement accounts) of more than \$250,000	RCONF052	62935
c. Retirement deposit accounts of \$250,000 or less: <sup>1</sup>		
1. Amount of retirement deposit accounts of \$250,000 or less	RCONF045	2,377,177
2. Number of retirement deposit accounts of \$250,000 or less	RCONF046	390671
d. Retirement deposit accounts of more than \$250,000: <sup>1</sup>		

<sup>1.</sup> See instructions for averaging methods. For deposit insurance assessment purposes, tangible equity is defined as Tier 1 capital as set forth in the banking agencies' regulatory capital standards and reported in Schedule RC-R, Part I, item 26, except as described in the instructions.

<sup>1.</sup> The dollar amounts used as the basis for reporting in Memorandum items 1.a through 1.d reflect the deposit insurance limits in effect on the report date.

Dollar amounts in thousands			
1. Amount of retirement deposit accounts of more than \$250,000	RCONF047	45,997	7 м
2. Number of retirement deposit accounts of more than \$250,000	RCONF048	127	<b>7</b> м
femorandum item 2 is to be completed by banks with \$1 billion or more in total assets.  Estimated amount of uninsured deposits in domestic offices of the bank and in insured branches in Puerto Rico and	RCON5597	110,672,010	<b>)</b> м
.S. territories and possessions, including related interest accrued and unpaid (see instructions) <sup>3</sup>			
Has the reporting institution been consolidated with a parent bank or savings association in that parent bank's or arent savings association's Call Report? If so, report the legal title and FDIC Certificate Number of the parent bank reparent savings association:			м
a. Legal title	TEXTA545	NR	R M
b. FDIC Certificate Number	RCONA545	0	М
Dually payable deposits in the reporting institution's foreign branches	RCFNGW43	0	) м
femorandum items 5 through 12 are to be completed by "large institutions" and "highly complex institutions" as defined in FDIC regulations.  Applicable portion of the CECL transitional amount or modified CECL transitional amount that has been added to etained earnings for regulatory capital purposes as of the current report date and is attributable to loans and leases eld for investment.	RCFDMW53	362,211	i M
Criticized and classified items:			М
a. Special mention	RCFDK663	CONF	ЕМ
b. Substandard	RCFDK664	CONF	П
c. Doubtful	RCFDK665	CONF	М
d. Loss	RCFDK666	CONF	= M
"Nontraditional 1-4 family residential mortgage loans" as defined for assessment purposes only in FDIC regulations:			N
a. Nontraditional 1-4 family residential mortgage loans	RCFDN025	CONF	- №
b. Securitizations of nontraditional 1-4 family residential mortgage loans	RCFDN026	CONF	- N
"Higher-risk consumer loans" as defined for assessment purposes only in FDIC regulations:			M
a. Higher-risk consumer loans	RCFDN027	CONF	- №
b. Securitizations of higher-risk consumer loans	RCFDN028	CONF	- М
"Higher-risk commercial and industrial loans and securities" as defined for assessment purposes only in FDIC egulations:			М
a. Higher-risk commercial and industrial loans and securities	RCFDN029	CONF	= м
b. Securitizations of higher-risk commercial and industrial loans and securities	RCFDN030	CONF	= м
D. Commitments to fund construction, land development, and other land loans secured by real estate for the onsolidated bank:			М
a. Total unfunded commitments	RCFDK676	3,255,235	5 M
b. Portion of unfunded commitments guaranteed or insured by the U.S. government (including the FDIC)	RCFDK677	1,055	5 M
I. Amount of other real estate owned recoverable from the U.S. government under guarantee or insurance provisions xcluding FDIC loss-sharing agreements)	RCFDK669	261	I M
2. Nonbrokered time deposits of more than \$250,000 in domestic offices (included in Schedule RC-E, Memorandum em 2.d)	RCONK678	190,333	3 N
lemorandum item 13.a is to be completed by "large institutions" and "highly complex institutions" as defined in FDIC regulations. lemorandum items 13.b through 13.h are to be completed by "large institutions" only.			M
<ol> <li>Portion of funded loans and securities in domestic and foreign offices guaranteed or insured by the U.S. government acluding FDIC loss-sharing agreements):</li> </ol>			
a. Construction, land development, and other land loans secured by real estate	RCFDN177	14,213	3 M
b. Loans secured by multifamily residential and nonfarm nonresidential properties	RCFDN178	109,590	) N
c. Closed-end loans secured by first liens on 1-4 family residential properties	RCFDN179	3,094,575	۸ [5
d. Closed-end loans secured by junior liens on 1-4 family residential properties and revolving, open-end loans secured by 1-4 family residential properties and extended under lines of credit	RCFDN180	5,687	7 N
e. Commercial and industrial loans	RCFDN181	827,059	) N
f. Credit card loans to individuals for household, family, and other personal expenditures	RCFDN182	0	<b>D</b> N
g. All other loans to individuals for household, family, and other personal expenditures	RCFDN183	0	<b>D</b> N
h. Non-agency residential mortgage-backed securities	RCFDM963	0	<b>D</b> N
			_] ,,
femorandum items 14 and 15 are to be completed by "highly complex institutions" as defined in FDIC regulations. 4. Amount of the institution's largest counterparty exposure	RCFDK673	CONF	-   10

Bollar amounto in triodocarido			
Memorandum item 16 is to be completed by "large institutions" and "highly complex institutions" as defined in FDIC regulations.  16. Portion of loans restructured in troubled debt restructurings that are in compliance with their modified terms and are guaranteed or insured by the U.S. government (including the FDIC) (included in Schedule RC-C, part I, Memorandum item 1)	RCFDL189	191,871	M.16.
Memorandum item 17 is to be completed on a fully consolidated basis by those "large institutions" and "highly complex institutions" as defined in FDIC regulations that own another insured depository institution.			M.17.
17. Selected fully consolidated data for deposit insurance assessment purposes:			
a. Total deposit liabilities before exclusions (gross) as defined in Section 3(I) of the Federal Deposit Insurance     Act and FDIC regulations	RCFDL194	NR	M.17.a.
b. Total allowable exclusions, including interest accrued and unpaid on allowable exclusions (including foreign deposits)	RCFDL195	NR	M.17.b.
c. Unsecured "Other borrowings" with a remaining maturity of one year or less	RCFDL196	NR	M.17.c.
d. Estimated amount of uninsured deposits in domestic offices of the institution and in insured branches in Puerto Rico and U.S. territories and possessions, including related interest accrued and unpaid	RCONL197	NR	M.17.d.

Dollar amounts in thousands	Probability of Default (PD) <=	(Column B) Two-Year Probability of Default (PD) 1.01-4%	Probability of Default (PD)	Probability	Probability of Default (PD)	Probability of Default (PD)	Probability of Default (PD)	H) Two-Year Probability of Default (PD)	20.01-22%	J) Two-Year Probability of Default (PD)	Probability	Probability of Default (PD) >		Probability	(Column O) PDs Were Derived Using	
18. Outstanding balance of 1-4 family residential mortgage loans, consumer loans, and consumer leases by two-year probability of default:																M18.
a. "Nontraditional 1-4 family residential mortgage loans" as defined for assessment purposes only in FDIC regulations	RCFDM964 CONF	RCFDM965 CONF	RCFDM966 CONF	RCFDM967 CONF	RCFDM968 CONF	RCFDM969 CONF	RCFDM970 CONF		RCFDM972 CONF	RCFDM973 CONF	RCFDM974 CONF	RCFDM975 CONF		RCFDM977 CONF		
b. Closed-end loans secured by first liens on 1-4 family residential properties	RCFDM979 CONF	RCFDM980 CONF	RCFDM981 CONF	RCFDM982 CONF	RCFDM983 CONF	RCFDM984 CONF	RCFDM985 CONF			RCFDM988 CONF	RCFDM989 CONF	RCFDM990 CONF	RCFDM991 CONF	RCFDM992 CONF	RCFDM993 CONF	
c. Closed-end loans secured by junior liens on 1-4 family residential properties	RCFDM994 CONF	RCFDM995 CONF	RCFDM996 CONF	RCFDM997 CONF	RCFDM998 CONF	RCFDM999 CONF	RCFDN001 CONF		RCFDN003 CONF	RCFDN004 CONF	RCFDN005 CONF	RCFDN006 CONF	RCFDN007 CONF	RCFDN008 CONF	RCFDN009 CONF	M18c
<ul> <li>d. Revolving, open-end loans secured by</li> <li>1-4 family residential properties and extended under lines of credit</li> </ul>	RCFDN010 CONF	RCFDN011 CONF	RCFDN012 CONF	RCFDN013 CONF		RCFDN015 CONF	RCFDN016 CONF		RCFDN018 CONF	RCFDN019 CONF	RCFDN020 CONF	RCFDN021 CONF		RCFDN023 CONF		M18d
e. Credit cards	RCFDN040 CONF	RCFDN041 CONF	RCFDN042 CONF	RCFDN043 CONF	RCFDN044 CONF	RCFDN045 CONF	RCFDN046 CONF		RCFDN048 CONF	RCFDN049 CONF	RCFDN050 CONF	RCFDN051 CONF	RCFDN052 CONF	RCFDN053 CONF	RCFDN054 CONF	M18e
f. Automobile loans	RCFDN055 CONF	RCFDN056 CONF	RCFDN057 CONF	RCFDN058 CONF	RCFDN059 CONF	RCFDN060 CONF	RCFDN061 CONF		RCFDN063 CONF	RCFDN064 CONF	RCFDN065 CONF	RCFDN066 CONF	RCFDN067 CONF	RCFDN068 CONF	RCFDN069 CONF	M18f
g. Student loans	RCFDN070 CONF	CONF	CONF	CONF	CONF	CONF	CONF	CONF		CONF	CONF	CONF	RCFDN082 CONF	CONF	CONF	Mag
h. Other consumer loans and revolving credit plans other than credit cards	RCFDN085 CONF	RCFDN086 CONF	RCFDN087 CONF	RCFDN088 CONF	RCFDN089 CONF	RCFDN090 CONF	RCFDN091 CONF	RCFDN092 CONF	RCFDN093 CONF	RCFDN094 CONF	RCFDN095 CONF	RCFDN096 CONF	RCFDN097 CONF	RCFDN098 CONF	RCFDN099 CONF	M18h
i. Consumer leases	RCFDN100 CONF		RCFDN102 CONF	RCFDN103 CONF	RCFDN104 CONF	RCFDN105 CONF	RCFDN106 CONF		RCFDN108 CONF	RCFDN109 CONF	RCFDN110 CONF	RCFDN111 CONF	RCFDN112 CONF	RCFDN113 CONF	-	M18i
j. Total	RCFDN115 CONF	RCFDN116 CONF	RCFDN117 CONF	RCFDN118 CONF	RCFDN119 CONF	RCFDN120 CONF	RCFDN121 CONF	1 -	RCFDN123 CONF	RCFDN124 CONF	RCFDN125 CONF	RCFDN126 CONF	RCFDN127 CONF	RCFDN128 CONF		M18j

## Schedule RC-P - 1-4 Family Residential Mortgage Banking Activities in Domestic Offices(Form Type - 031)

Schedule RC-P is to be completed by banks at which either 1-4 family residential mortgage loan originations and purchases for resale from all sources, loan sales, or quarter-end loans held for sale or trading in domestic offices exceed \$10 million for two consecutive quarters.

Dollar amounts in thousands			
Retail originations during the quarter of 1-4 family residential mortgage loans for sale <sup>1</sup>	RCONHT81	738,886	1.
2. Wholesale originations and purchases during the quarter of 1-4 family residential mortgage loans for sale <sup>2</sup>	RCONHT82	1,540,584	2.
3. 1-4 family residential mortgage loans sold during the quarter	RCONFT04	3,399,717	3.
4. 1-4 family residential mortgage loans held for sale or trading at quarter-end (included in Schedule RC, items 4.a and 5)	RCONFT05	2,593,135	4.
5. Noninterest income for the quarter from the sale, securitization, and servicing of 1-4 family residential mortgage loans (included in Schedule RI, items 5.c, 5.f, 5.g, and 5.i)	RIADHT85	221,671	5.
6. Repurchases and indemnifications of 1-4 family residential mortgage loans during the quarter	RCONHT86	13,600	6.
7. Representation and warranty reserves for 1-4 family residential mortgage loans sold:			7.
a. For representations and warranties made to U.S. government agencies and government-sponsored agencies	RCONL191	CONF	7.a.
b. For representations and warranties made to other parties	RCONL192	CONF	7.b.
c. Total representation and warranty reserves (sum of items 7.a and 7.b)	RCONM288	8,838	7.c.

## Schedule RC-Q - Assets and Liabilities Measured at Fair Value on a Recurring Basis(Form Type - 031)

Schedule RC-Q is to be completed by banks that:

(1) Have elected to report financial instruments or servicing assets and liabilities at fair value under a fair value option with changes in fair value recognized in earnings, or (2) Are required to complete Schedule RC-D, Trading Assets and Liabilities.

	(Column A)Total Fair Value Reported on Schedule RC	LESS: Amounts Netted in the Determination of	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	(Column E) Level 3 Fair Value Measurements	
Dollar amounts in thousands		Total Fair Value				
Available-for-sale debt securities and equity securities with readily determinable fair values not held for trading <sup>1</sup>	RCFDJA36 48,329,614	RCFDG474 0	RCFDG475 1,707,276	RCFDG476 46,622,338	RCFDG477 0	1.
Federal funds sold and securities purchased under agreements to resell	RCFDG478	RCFDG479 0	RCFDG480	RCFDG481	RCFDG482	2.
3. Loans and leases held for sale	RCFDG483 858,413	RCFDG484 0	RCFDG485 0	RCFDG486 858,413	RCFDG487 0	3.
4. Loans and leases held for investment	RCFDG488 144,839	RCFDG489 0	RCFDG490 0	RCFDG491 0	RCFDG492 144,839	4.
5. Trading assets:						5.
a. Derivative assets	RCFD3543 3,853,470	RCFDG493 0	RCFDG494 59,823	RCFDG495 3,786,128	RCFDG496 7,519	5.a.
b. Other trading assets	RCFDG497 539,066	RCFDG498 0	RCFDG499 264,856	RCFDG500 274,210	RCFDG501 0	5.b.
Nontrading securities at fair value with changes in fair value reported in current earnings (included in Schedule RC-Q, item 5.b, above)	RCFDF240	RCFDF684	RCFDF692	RCFDF241	RCFDF242	5.b.1.
6. All other assets	RCFDG391 1,604,058	RCFDG392 0	RCFDG395 39,877	RCFDG396 120,086	RCFDG804 1,444,095	6.
7. Total assets measured at fair value on a recurring basis (sum of items 1 through 5.b plus item 6)	RCFDG502 55,329,460	RCFDG503 0	RCFDG504 2,071,832	RCFDG505 51,661,175	RCFDG506 1,596,453	7.
8. Deposits	RCFDF252 0	RCFDF686 0	RCFDF694 0	RCFDF253 0	RCFDF254 0	8.
9. Federal funds purchased and securities sold under agreements to repurchase	RCFDG507	RCFDG508 0	RCFDG509 0	RCFDG510 0	RCFDG511 0	9.
10. Trading liabilities:						10.
a. Derivative liabilities	RCFD3547 3,983,658	RCFDG512 0	RCFDG513 700,561	RCFDG514 3,273,510	RCFDG515 9,587	10.a.
b. Other trading liabilities	RCFDG516 278,557	RCFDG517	RCFDG518 70,136	RCFDG519 208,421	RCFDG520 0	10.b.

Exclude originations and purchases of 1–4 family residential mortgage loans that are held for investment.

The amount reported in item 1, column A, must equal the sum of Schedule RC, items 2.b and 2.c.

	(Column A) Total Fair Value Reported on	(Column B) LESS: Amounts Netted in the	(Column C) Level 1 Fair Value	(Column D) Level 2 Fair Value	(Column E) Level 3 Fair Value	
	Schedule RC	Determination of	Measurements	Measurements	Measurements	
Dollar amounts in thousands		Total Fair Value				
	RCFDG521	RCFDG522	RCFDG523	RCFDG524	RCFDG525	] 1
11. Other borrowed money	0	0	0	0	0	4'
12. Subordinated notes and debentures	RCFDG526 0	RCFDG527 0	RCFDG528 0	RCFDG529 0	RCFDG530 0	1:
13. All other liabilities	RCFDG805 230,855	RCFDG806 0	RCFDG807 7,057	RCFDG808 25,486	RCFDG809 198,312	1:
14. Total liabilities measured at fair value on a recurring basis (sum of items 8 through 13)	RCFDG531 4,493,070	RCFDG532 0	RCFDG533 777,754	RCFDG534 3,507,417	RCFDG535 207,899	1.
<ol> <li>All other assets (itemize and describe amounts included in Schedule RC-Q, item 6, that are greater than \$100,000 and exceed 25% of item 6):</li> </ol>						N
a. Mortgage servicing assets	RCFDG536 1,444,095	RCFDG537	RCFDG538	RCFDG539	RCFDG540 1,444,095	N

f. Disclose component and the dollar amount of that component:

1. Describe component.....

M.1.f.

**NR** M.1.f.1.

TEXTG561

Dollar amounts in thousands	(Column A) Total Fair Value Reported on Schedule RC	(Column B) LESS: Amounts Netted in the Determination of Total Fair Value	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	(Column E) Level 3 Fair Value Measurements
b. Nontrading derivative assets	RCFDG541 159,963	RCFDG542	RCFDG543 39,877	RCFDG544 120,08	RCFDG545
·	Dollar	amounts in tho	ousands		
Disclose component and the dollar amount of that component:					V
. Describe component			TE	(TG546	NR N
Dollar amounts in thousands	(Column A)Total Fair Value Reported on Schedule RC	(Column B) LESS: Amounts Netted in the Determination of Total Fair Value	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	(Column E) Level 3 Fair Value Measurements
. Amount of component	RCFDG546	RCFDG547	RCFDG548	RCFDG549	RCFDG550 0 0
. Describe component			TE>	(TG551	NR
	(Column A) Total Fair Value Reported on Schedule RC	(Column B) LESS: Amounts Netted in the Determination of	(Column C) Level 1 Fair Value Measurements	(Column D) Level 2 Fair Value Measurements	(Column E) Level 3 Fair Value Measurements
Dollar amounts in thousands	Fair Value Reported on Schedule RC	LESS: Amounts Netted in the Determination of Total Fair Value	Level 1 Fair Value Measurements	Level 2 Fair Value Measurements	Level 3 Fair Value Measurements
Dollar amounts in thousands	Fair Value Reported on Schedule RC  RCFDG551	LESS: Amounts Netted in the Determination of Total Fair Value RCFDG552	Level 1 Fair Value Measurements	Level 2 Fair Value Measurements RCFDG554	Level 3 Fair Value
	Fair Value Reported on Schedule RC RCFDG551	LESS: Amounts Netted in the Determination of Total Fair Value RCFDG552	Level 1 Fair Value Measurements RCFDG553	Level 2 Fair Value Measurements RCFDG554	Level 3 Fair Value Measurements
	Fair Value Reported on Schedule RC RCFDG551	LESS: Amounts Netted in the Determination of Total Fair Value RCFDG552	Level 1 Fair Value Measurements RCFDG553	Level 2 Fair Value Measurements RCFDG554	Level 3 Fair Value Measurements
. Amount of component	Fair Value Reported on Schedule RC  RCFDG551 0	LESS: Amounts Netted in the Determination of Total Fair Value RCFDG552 0 amounts in the	Level 1 Fair Value Measurements RCFDG553 0	Level 2 Fair Value Measurements RCFDG554	Level 3 Fair Value Measurements RCFDG555 0 0
. Amount of component	Fair Value Reported on Schedule RC  RCFDG551  Dollar  (Column A)Total Fair Value Reported on Schedule RC	LESS: Amounts Netted in the Determination of Total Fair Value RCFDG552 0 amounts in the (Column B) LESS: Amounts Netted in the Determination of	Level 1 Fair Value Measurements RCFDG553 0	Level 2 Fair Value Measurements RCFDG554	Level 3 Fair Value Measurements  RCFDG555  NR  NR  (Column E) Level 3 Fair Value
. Amount of component	Fair Value Reported on Schedule RC  RCFDG551  Dollar  (Column A)Total Fair Value Reported on Schedule RC	LESS: Amounts Netted in the Determination of Total Fair Value RCFDG552 0 amounts in tho (Column B) LESS: Amounts Netted in the Determination of Total Fair Value RCFDG557	Level 1 Fair Value Measurements  RCFDG553 0  DUSANDS  (Column C) Level 1 Fair Value Measurements  RCFDG558	Level 2 Fair Value Measurements  RCFDG554  (Column D) Level 2 Fair Value Measurements  RCFDG559	Level 3 Fair Value Measurements  RCFDG555  NR  NR  (Column E) Level 3 Fair Value

		Netted in the Determination of		Value Measurements	Value Measurements	
nounts in thousands		Total Fair Value				
	RCFDG581 0	RCFDG582 0	RCFDG583 0	RCFDG584 0	RCFDG585 0	M.2.e.2.

f. Disclose component and the dollar amount of that component:		M.2.f.
1. Describe component		M.2.f.1.
(TEXTG586) NR		IVI.Z.I. I.

Dollar am

2. Amount of component.....

57

	(Column A) Total	(Column B)	(Column C)	(Column D)	(Column E)	
	Fair Value	LESS: Amounts	Level 1 Fair	Level 2 Fair	Level 3 Fair	
	Reported on	Netted in the	Value	Value	Value	
	Schedule RC	Determination of	Measurements	Measurements	Measurements	
Dollar amounts in thousands		Total Fair Value				
	RCFDG586	RCFDG587	RCFDG588	RCFDG589	RCFDG590	M.2.f.2.
2. Amount of component	0	0	0	0	0	IVI.Z.I.Z.

Dollar amounts in thousands	Consolidate	ed Bank	
3. Loans measured at fair value (included in Schedule RC-C, Part I, items 1 through 9):			М.З.
a. Loans secured by real estate:			M.3.a.
1. Secured by 1-4 family residential properties	RCFDHT87	1,003,252	M.3.a
2. All other loans secured by real estate	RCFDHT88	0	M.3.a.
b. Commercial and industrial loans	RCFDF585	0	M.3.b.
c. Loans to individuals for household, family, and other personal expenditures (i.e., consumer loans) (includes purchased paper)	RCFDHT89	0	M.3.c.
d. Other loans	RCFDF589	0	M.3.d.
4. Unpaid principal balance of loans measured at fair value (reported in Schedule RC-Q, Memorandum item 3):			M.4.
a. Loans secured by real estate:			M.4.a.
1. Secured by 1-4 family residential properties	RCFDHT91	1,013,156	M.4.a
2. All other loans secured by real estate	RCFDHT92	0	M.4.a.
b. Commercial and industrial loans	RCFDF597	0	M.4.b.
c. Loans to individuals for household, family, and other personal expenditures (i.e., consumer loans) (includes purchased paper)	RCFDHT93	0	M.4.c.
d. Other loans	RCFDF601	0	M.4.d.

## Schedule RC-R Part I - Regulatory Capital Components and Ratios(Form Type - 031)

Part I is to be completed on a consolidated basis.

1. Common stock plus related surplus, net of treasury stock and unearned employee stock ownership plan (ESOP) shares	RCFAP742	16,294,820	1.
2. Retained earnings <sup>1</sup>	RCFAKW00	6,467,382	2.
To be completed only by institutions that have adopted ASU 2016-13:  a. Does your institution have a CECL transition election in effect as of the quarter-end report date? (enter "0" for No; enter "1" for Yes with a 3-year CECL transition election; enter "2" for Yes with a 5-year 2020 CECL transition election.)	RCOAJJ29	2	2.8
3. Accumulated other comprehensive income (AOCI)	RCFAB530	-1,092,107	3.
a. AOCI opt-out election (enter "1" for Yes; enter "0" for No.) (Advanced approaches institutions must enter "0" for No.)	RCOAP838	1	3.8
4. Common equity tier 1 minority interest includable in common equity tier 1 capital	RCFAP839	0	4.
5. Common equity tier 1 capital before adjustments and deductions (sum of items 1 through 4)	RCFAP840	21,670,095	5.
6. LESS: Goodwill net of associated deferred tax liabilities (DTLs)	RCFAP841	4,367,648	6.
7. LESS: Intangible assets (other than goodwill and mortgage servicing assets (MSAs)), net of associated DTLs	RCFAP842	117,821	7.
8. LESS: Deferred tax assets (DTAs) that arise from net operating loss and tax credit carryforwards, net of any related valuation allowances and net of DTLs	RCFAP843	3,033	8.
9. AOCI-related adjustments (items 9.a through 9.e are effective January 1, 2015) (if entered "1" for Yes in item 3.a, complete only items 9.a through 9.e; if entered "0" for No in item 3.a, complete only item 9.f):			9.
a. LESS: Net unrealized gains (losses) on available-for-sale debt securities (if a gain, report as a positive value; if a loss, report as a negative value)	RCFAP844	-1,040,086	9.4
b. Not applicable.			9.t
c. LESS: Accumulated net gains (losses) on cash flow hedges (if a gain, report as a positive value; if a loss, report as a negative value)	RCFAP846	-20,163	9.0
d. LESS: Amounts recorded in AOCI attributed to defined benefit postretirement plans resulting from the initial and subsequent application of the relevant GAAP standards that pertain to such plans (if a gain, report as a positive value; if a loss, report as a negative value)	RCFAP847	-31,858	9.0
e. LESS: Net unrealized gains (losses) on held-to-maturity securities that are included in AOCI (if a gain, report as a positive value; if a loss, report as a negative value)	RCFAP848	0	9.6
f. LESS: Accumulated net gain (loss) on cash flow hedges included in AOCI, net of applicable income taxes, that relate to the hedging of items that are not recognized at fair value on the balance sheet (if a gain, report as a positive value; if a loss, report as a negative value) (To be completed only by institutions that entered "0" for No in item 3.a)	RCFAP849	NR	9.f
10. Other deductions from (additions to) common equity tier 1 capital before threshold-based deductions:			10
a. LESS: Unrealized net gain (loss) related to changes in the fair value of liabilities that are due to changes in own credit risk (if a gain, report as a positive value; if a loss, report as a negative value)	RCFAQ258	0	10
b. LESS: All other deductions from (additions to) common equity tier 1 capital before threshold-based deductions.	RCFAP850	1,046,504	10

Dollar amounts in thousands		Non-advanced s Institutions	•	B) Advanced es Institutions	
11. LESS: Non-significant investments in the capital of unconsolidated financial institutions in the form of common stock that exceed the 10 percent threshold for non-significant investments			RCFWP851	NR	11.
12. Subtotal (for column A, item 5 minus items 6 through 10.b; for column B, item 5 minus items 6 through 11)	RCFAP852	17,227,196	RCFWP852	NR	12.
13. Not available					13.
a. LESS: Investments in the capital of unconsolidated financial institutions, net of associated DTLs, that exceed 25 percent of item 12	RCFALB58	0			13.a.
b. LESS: Significant investments in the capital of unconsolidated financial institutions in the form of common stock, net of associated DTLs, that exceed the 10 percent common equity tier 1 capital deduction threshold			RCFWP853	NR	13.b.
14. Not available					14.
a. LESS: MSAs, net of associated DTLs, that exceed 25 percent of item 12	RCFALB59	0			14.a.
b. LESS: MSAs, net of associated DTLs, that exceed the 10 percent common equity tier 1 capital deduction threshold			RCFWP854	NR	14.b.
15. Not available					15.
a. LESS: DTAs arising from temporary differences that could not be realized through net operating loss carrybacks, net of related valuation allowances and net of DTLs, that exceed 25 percent of item 12	RCFALB60	0			15.a.
b. LESS: DTAs arising from temporary differences that could not be realized through net operating loss carrybacks, net of related valuation allowances and net of DTLs, that exceed the 10 percent common equity tier 1 capital deduction threshold			RCFWP855	NR	15.b.
16. LESS: Amount of significant investments in the capital of unconsolidated financial institutions in the form of common stock, net of associated DTLs; MSAs, net of associated DTLs; and DTAs arising from temporary differences that could not be realized through net operating loss carrybacks, net of related valuation allowances and net of DTLs; that exceeds the 15 percent common equity tier 1 capital deduction threshold			RCFWP856	NR	16.
17. LESS: Deductions applied to common equity tier 1 capital due to insufficient amounts of additional tier 1 capital and tier 2 capital to cover deductions	RCFAP857	0	RCFWP857	NR	17.
18. Total adjustments and deductions for common equity tier 1 capital <sup>3</sup>	RCFAP858	0	RCFWP858	NR	18.
19. Common equity tier 1 capital (item 12 minus item 18)	RCFAP859	17,227,196	RCFWP859	NR	19.

20. Additional tier 1 capital instruments plus related surplus	RCFAP860	0	20.
21. Non-qualifying capital instruments subject to phase out from additional tier 1 capital	RCFAP861	0	21.
22. Tier 1 minority interest not included in common equity tier 1 capital	RCFAP862	0	22.
23. Additional tier 1 capital before deductions (sum of items 20, 21, and 22)	RCFAP863	0	23.
24. LESS: Additional tier 1 capital deductions	RCFAP864	0	24.
25. Additional tier 1 capital (greater of item 23 minus item 24, or zero)	RCFAP865	0	25.
26. Tier 1 capital <sup>1</sup>	RCFA8274	17,227,196	26.
27. Average total consolidated assets <sup>2</sup>	RCFAKW03	208,213,024	27.
28. LESS: Deductions from common equity tier 1 capital and additional tier 1 capital (sum of items 6, 7, 8, 10.b, 13 through 15, 17, and certain elements of item 24 - see instructions) <sup>3</sup>	RCFAP875	5,535,006	28.
29. LESS: Other deductions from (additions to) assets for leverage ratio purposes	RCFAB596	252,016	29.
30. Total assets for the leverage ratio (item 27 minus items 28 and 29)	RCFAA224	202,426,002	30.
31. Leverage ratio (item 26 divided by 30)	RCFA7204	8.5104%	31.
Does your institution have a community bank leverage ratio (CBLR) framework election in effect as of the quarter-end report date? (enter "1" for Yes; enter "0" for No)	RCOALE74	0	31.6
Item 31.b is to be completed only by non-advanced approaches institutions that elect to use the Standardized Approach for Counterparty Credit Risk (SA-CCR) for purposes of the standardized approach and supplementary leverage ratio.	RCOANC99	NR	31.1
b. Standardized Approach for Counterparty Credit Risk opt-in election (enter "1" for Yes; leave blank for No.) <sup>4</sup>			

<sup>1.</sup> Institutions that have adopted ASU 2016-13 and have elected to apply the 3-year or the 5-year 2020 CECL transition provision should include the applicable portion of the CECL transitional amount or the modified CECL transitional amount, respectively, in this item.

Dollar amounts in thousands	(Column	A) Amount	(Column E	3) Percentage	]
32. Total assets (Schedule RC, item 12); (must be less than \$10 billion)	RCFA2170	NR			32.
33. Trading assets and trading liabilities (Schedule RC, sum of items 5 and 15). Report as a dollar amount in Column A and as a percentage of total assets (5% limit) in Column B	RCFAKX77	NR	RCFAKX78	NR	33.
34. Off-balance sheet exposures:					34.
a. Unused portion of conditionally cancellable commitments	RCFAKX79	NR			34.a.
b. Securities lent and borrowed (Schedule RC-L, sum of items 6.a and 6.b)	RCFAKX80	NR			34.b.
c. Other off-balance sheet exposures	RCFAKX81	NR			34.c.
d. Total off-balance sheet exposures (sum of items 34.a through 34.c). Report as a dollar amount in Column A and as a percentage of total assets (25% limit) in Column B	RCFAKX82	NR	RCFAKX83	NR	34.d.

Dollar amounts in thousands			_
35. Unconditionally cancellable commitments	RCFAS540	NR	35.
36. Investments in the tier 2 capital of unconsolidated financial institutions	RCFALB61	NR	36.
37. Allocated transfer risk reserve	RCFA3128	NR	37.
38. Amount of allowances for credit losses on purchased credit-deteriorated assets: <sup>1</sup>			38.
a. Loans and leases held for investment	RCFAJJ30	NR	38.
b. Held-to-maturity debt securities	RCFAJJ31	NR	38.
c. Other financial assets measured at amortized cost	RCFAJJ32	NR	38.
39. Tier 2 capital instruments plus related surplus	RCFAP866	621,411	39.
40. Non-qualifying capital instruments subject to phase-out from tier 2 capital	RCFAP867	0	40.
41. Total capital minority interest that is not included in tier 1 capital	RCFAP868	0	41.
42. Allowance for loan and lease losses and eligible credit reserves includable in tier 2 capital			42.
a. Allowance for loan and lease losses includable in tier 2 capital <sup>3</sup>	RCFA5310	1,597,681	42.
b. (Advanced approaches institutions that exit parallel run only): Eligible credit reserves includable in tier 2 capital.	RCFW5310	NR	42.
43. Not applicable.			43.
44. Tier 2 capital before deductions			44.
a. Tier 2 capital before deductions (sum of items 39 through 42)	RCFAP870	2,219,092	44.
b. (Advanced approaches institutions that exit parallel run only): Tier 2 capital before deductions (sum of items 39 through 41, plus item 42.b)	RCFWP870	NR	44.
45. LESS: Tier 2 capital deductions	RCFAP872	0	45.
46. Tier 2 capital			46.
a. Tier 2 capital (greater of item 44.a minus item 45, or zero)	RCFA5311	2,219,092	46.
b. (Advanced approaches institutions that exit parallel run only): Tier 2 capital (greater of item 44.b minus item 45, or zero)	RCFW5311	NR	46.
47. Total capital			47.
a. Total capital (sum of items 26 and 46.a)	RCFA3792	19,446,288	47.
b. (Advanced approaches institutions that exit parallel run only): Total capital (sum of items 26 and 46.b)	RCFW3792	NR	47.
48. Total risk-weighted assets			48.
a. Total risk-weighted assets (from Schedule RC-R, Part II, item 31)	RCFAA223	158,832,272	48.
b. (Advanced approaches institutions that exit parallel run only): Total risk-weighted assets using advanced approaches rule (from FFIEC 101 Schedule A, item 60)	RCFWA223	NR	48.

<sup>3.</sup> Beginning with the June 30, 2020, report date, all non-advanced approaches institutions should report in item 18, column A, the sum of items 13.a, 14.a, 15.a, and 17, column A; all advanced approaches institutions should report in item 18, column B, the sum of items 13.b, 14.b, 15.b, 16, and 17, column B.

<sup>1.</sup> Beginning with the June 30, 2020, report date, all non-advanced approaches institutions should report the sum of item 19, column A, and item 25 in item 26; all advanced approaches institutions should report the sum of item 19, column B, and item 25 in item 26.

<sup>2.</sup> Institutions that have adopted ASU 2016-13 and have elected to apply the 3-year or the 5-year 2020 CECL transition provision should include the applicable portion of the CECL transitional amount or the modified CECL transitional amount, respectively, in item 27.

<sup>3.</sup> Beginning with the June 30, 2020, report date, all non-advanced approaches institutions should report in item 28 the sum of items 6, 7, 8, 10.b, 13.a, 14.a, 15.a, 17 (column A), and certain elements of item 24 - see instructions; all advanced approaches institutions should report in item 28, the sum of items 6, 7, 8, 10.b, 11, 13.b, 14.b, 15.b, 16, 17 (column B), and certain elements of item 24 - see instructions.

<sup>4.</sup> For the December 31, 2021, report date only, advanced approaches institutions that adopt SA-CCR prior to the mandatory compliance date should enter "1" in item 31.b.

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Dollar amounts in thousands	(Column A	A) Percentage	(Column E	3) Percentage	
49. Common equity tier 1 capital ratio (Column A: item 19, column A or B, as applicable, divided by item 48.a) (Advanced approaches institutions that exit parallel run only: Column B: item 19, column B, divided by item 48.b)	RCFAP793	10.8462%	RCFWP793	NR	49.
50. Tier 1 capital ratio (Column A: item 26 divided by item 48.a) (Advanced approaches institutions that exit parallel run only: Column B: item 26 divided by item 48.b)	RCFA7206	10.8462%	RCFW7206	NR	50.
51. Total capital ratio (Column A: item 47.a divided by item 48.a) (Advanced approaches institutions that exit parallel run only: Column B: item 47.b divided by item 48.b)	RCFA7205	12.2433%	RCFW7205	NR	51.

			_
52. Institution-specific capital buffer necessary to avoid limitations on distributions and discretionary bonus payments:			52.
a. Capital conservation buffer	RCFAH311	4.2433%	52.a.
b. Advanced approaches institutions and institutions subject to Category III capital standards only: Total applicable capital buffer	RCFWH312	NR	52.b.
53. Eligible retained income <sup>1</sup>	RCFAH313	NR	53.
54. Distributions and discretionary bonus payments during the quarter <sup>2</sup>	RCFAH314	NR	54.
55. Advanced approaches institutions and institutions subject to Category III capital standards only: Supplementary leverage ratio information:			55.
a. Total leverage exposure <sup>3</sup>	RCFAH015	NR	55.a.
b. Supplementary leverage ratio	RCFAH036	NR	55.b.

<sup>1.</sup> Items 38.a through 38.c should be completed only by institutions that have adopted ASU 2016-13.

<sup>3.</sup> Institutions that have adopted ASU 2016-13 should report the amount of adjusted allowances for credit losses (AACL), as defined in the regulatory capital rule, includable in tier 2 capital in item 42.a.

<sup>1.</sup> Institutions must complete item 53 only if the amount reported in item 52.a above is less than or equal to 2.5000 percent (plus any other applicable buffer if the institution is an advanced approaches institution or a Category III institution).

<sup>2.</sup> Institutions must complete item 54 only if the amount reported in Schedule RC-R, Part I, item 46.a, in the Call Report for the December 31, 2019, report date was less than or equal to 2.5000 percent (plus any other applicable buffer if the institution is an advanced approaches institution or a Category III institution).

<sup>3.</sup> Institutions that have adopted ASU 2016-13 and have elected to apply the 3-year or the 5-year 2020 CECL transition provision should include the applicable portion of the CECL transitional amount or the modified CECL transitional amount, respectively, in item 55.a.

### Schedule RC-R Part II - Risk-Weighted Assets(Form Type - 031)

Institutions are required to assign a 100 percent risk weight to all assets not specifically assigned a risk weight under Subpart D of the federal banking agencies' regulatory capital rules and not deducted from tier 1 or tier 2 capital.

Dellas arresenta in the conservata	(Column A) Totals from Schedule RC	(Column B) Adjustments to Totals Reported in	(Column C) Allocation by Risk-Weight Category 0%	(Column D) Allocation by Risk-Weight Category 2%	(Column E) Allocation by Risk-Weight Category 4%	Risk-Weight	(Column G) Allocation by Risk-Weight Category 20%	Risk-Weight	(Column I) Allocation by Risk-Weight Category	(Column J) Allocation by Risk-Weight Category
Dollar amounts in thousands	RCFDD957	Column A RCFDS396	RCFDD958				RCFDD959	RCFDS397	100% RCFDD960	150% RCFDS398
1. Cash and balances due from depository institutions	23,526,728		20,228,045				3,294,035		1,393	13
2. Securities:										
a. Held-to-maturity securities <sup>3</sup>	RCFDD961 3,880	RCFDS399 0	RCFDD962 0	RCFDHJ74 0	RCFDHJ75 0		RCFDD963 3,880	RCFDD964 0	RCFDD965 0	RCFDS400 0
b. Available-for-sale debt securities and equity securities with readily determinable fair values not held for trading	RCFDJA21 37,207,449	RCFDS402 -1,000,918	RCFDD967 10,376,371	RCFDHJ76	RCFDHJ77		RCFDD968 27,804,477	RCFDD969 1,055	RCFDD970 26,464	RCFDS403
Federal funds sold and securities purchased under agreements to resell:										
a. Federal funds sold in domestic offices	RCOND971 1,000		RCOND972 0				RCOND973 1,000	RCONS410 0	RCOND974 0	RCONS411 0
b. Securities purchased under agreements to resell	RCFDH171 0	RCFDH172 0								
4. Loans and leases held for sale:										
a. Residential mortgage exposures	RCFDS413 2,593,135	RCFDS414 0	RCFDH173 0				RCFDS415 1,878,455	RCFDS416 581,090	RCFDS417 133,590	
b. High volatility commercial real estate exposures	RCFDS419 0	RCFDS420 0	RCFDH174 0				RCFDH175 0	RCFDH176 0	RCFDH177 0	RCFDS421 0
c. Exposures past due 90 days or more or on nonaccrual <sup>3</sup>	RCFDS423 4,125	RCFDS424 0	RCFDS425	RCFDHJ78	RCFDHJ79 0		RCFDS426	RCFDS427	RCFDS428	RCFDS429 4,125

Dollar amounts in thousands		(Column L) Allocation by Risk-Weight Category 300%	(Column M) Allocation by Risk-Weight Category 400%	(Column N) Allocation by Risk-Weight Category 600%	(Column O) Allocation by Risk-Weight Category 625%	(Column P) Allocation by Risk-Weight Category 937.5%	(Column Q) Allocation by Risk-Weight Category 1,250%	(Column R) Application of Other Risk-Weighting Approaches Exposure Amount	(Column S) Application of Other Risk-Weighting Approaches Risk-Weighted Asset Amount	
1. Cash and balances due from depository institutions										1.
2. Securities:										2.
a. Held-to-maturity securities										2.a.
b. Available-for-sale debt securities and equity securities with readily determinable fair values not held for trading	RCFDH270 NR	RCFDS405 0		RCFDS406 0				RCFDH271 0	RCFDH272 0	2.b.
3. Federal funds sold and securities purchased under agreements to resell:										3.
a. Federal funds sold in domestic offices										3.a.

<sup>3.</sup> Institutions that have adopted ASU 2016-13 should report as a negative number allowances eligible for inclusion in tier 2 capital in Column B, which excludes PCD allowances.

<sup>3.</sup> For loans and leases held for sale, exclude residential mortgage exposures, high volatility commercial real estate exposures, or sovereign exposures that are past due 90 days or more or on nonaccrual.

	(Column K) Allocation by Risk-Weight Category 250%	(Column L) Allocation by Risk-Weight Category 300%	(Column M) Allocation by Risk-Weight Category 400%	(Column N) Allocation by Risk-Weight Category 600%	(Column O) Allocation by Risk-Weight Category 625%	(Column P) Allocation by Risk-Weight Category 937.5%	(Column Q) Allocation by Risk-Weight Category 1,250%	(Column R) Application of Other Risk-Weighting Approaches Exposure	(Column S) Application of Other Risk-Weighting Approaches Risk-Weighted	
Dollar amounts in thousands								Amount	Asset Amount	
b. Securities purchased under agreements to resell										3.b.
4. Loans and leases held for sale:										4.
a. Residential mortgage exposures								RCFDH273 0	RCFDH274 0	4.a.
b. High volatility commercial real estate exposures								RCFDH275 0	RCFDH276 0	4.b.

	(Column K)	(Column L)	(Column M)	(Column N)	(Column O)	(Column P)	(Column Q)	(Column R)	(Column S)	1
	Allocation by	Application of	Application of	1						
	Risk-Weight	Other	Other	1						
	Category 250%	Category 300%	Category 400%	Category 600%	Category 625%	Category	Category	Risk-Weighting	Risk-Weighting	1
						937.5%	1,250%	Approaches	Approaches	1
								Exposure	Risk-Weighted	1
Dollar amounts in thousands								Amount	Asset Amount	
								RCFDH277	RCFDH278	10
c. Exposures past due 90 days or more or on nonaccrual								0	0	1.0.

Dollar amounts in thousands	(Column A) Totals from Schedule RC	(Column B) Adjustments to Totals Reported in Column A	(Column C) Allocation by Risk-Weight Category 0%	(Column D) Allocation by Risk-Weight Category 2%	(Column E) Allocation by Risk-Weight Category 4%	(Column F) Allocation by Risk-Weight Category 10%	(Column G) Allocation by Risk-Weight Category 20%	(Column H) Allocation by Risk-Weight Category 50%	(Column I) Allocation by Risk-Weight Category 100%	(Column J) Allocation by Risk-Weight Category 150%	
4. Loans and leases held for sale (continued):											4.
d. All other exposures	RCFDS431 18,725	RCFDS432 0	RCFDS433 0	RCFDHJ80 0	RCFDHJ81 0		RCFDS434 0	RCFDS435 0	RCFDS436 18,725	RCFDS437 0	4.d.
5. Loans and leases held for investment:											5.
a. Residential mortgage exposures	RCFDS439 20,973,075	RCFDS440 530	RCFDH178 0				RCFDS441 1,052,909	RCFDS442 16,807,187	RCFDS443 3,112,449		5.a.
b. High volatility commercial real estate exposures	RCFDS445 292,663	RCFDS446 0	RCFDH179 0				RCFDH180 0	RCFDH181 0	RCFDH182 0	RCFDS447 292,663	5.b.
c. Exposures past due 90 days or more or on nonaccrual <sup>7</sup>	RCFDS449 413,268	RCFDS450 0	RCFDS451 2,241	RCFDHJ82 0	RCFDHJ83 0		RCFDS452 0	RCFDS453 0	RCFDS454 0	RCFDS455 411,027	5.c.
d. All other exposures	RCFDS457 90,514,982	RCFDS458 2,276	RCFDS459 784,348	RCFDHJ84 0	RCFDHJ85 0		RCFDS460 326,286	RCFDS461 678,706	RCFDS462 88,723,366	RCFDS463 0	5.d.
6. LESS: Allowance for loan and lease losses	RCFD3123 1,907,766	RCFD3123 1,907,766									6.
7. Trading assets	RCFDD976 4,392,536	RCFDS466 4,369,531	RCFDD977 0	RCFDHJ86 0	RCFDHJ87 0		RCFDD978 0	RCFDD979 0	RCFDD980 0	RCFDS467 0	7.
8. All other assets <sup>8</sup>	RCFDD981 17,328,805	RCFDS469 5,338,707	RCFDD982 510,820	RCFDHJ88 0	RCFDHJ89 0		RCFDD983 31,117	RCFDD984 0	RCFDD985 8,510,949	RCFDH185 390	8.
a. Separate account bank-owned life insurance											8.a.
b. Default fund contributions to central counterparties											8.b.

	(Column K) Allocation by Risk-Weight Category 250%	(Column L) Allocation by Risk-Weight Category 300%	(Column M) Allocation by Risk-Weight Category 400%	(Column N) Allocation by Risk-Weight Category 600%	(Column O) Allocation by Risk-Weight Category 625%	(Column P) Allocation by Risk-Weight Category 937.5%	(Column Q) Allocation by Risk-Weight Category 1,250%	Approaches	(Column S) Application of Other Risk-Weighting Approaches	
Dollar amounts in thousands								Exposure Amount	Risk-Weighted Asset Amount	
4. Loans and leases held for sale (continued):										4.
d. All other exposures								RCFDH279 0	RCFDH280 0	4.d.
5. Loans and leases held for investment:										5.
a. Residential mortgage exposures								RCFDH281 0	RCFDH282 0	5.a.
b. High volatility commercial real estate exposures								RCFDH283	RCFDH284 0	5.b.
c. Exposures past due 90 days or more or on nonaccrual 11								RCFDH285	RCFDH286 0	5.c.
d. All other exposures								RCFDH287	RCFDH288	5.d.
6. LESS: Allowance for loan and lease losses										6.
7. Trading assets	RCFDH289 NR	RCFDH186 0	RCFDH290 0	RCFDH187 0				RCFDH291 23,005	RCFDH292 4,601	7.
8. All other assets <sup>12</sup>	RCFDH293 1,444,095	RCFDH188 0	RCFDS470 0	RCFDS471 0				RCFDH294 0	RCFDH295 0	8.
a. Separate account bank-owned life insurance								RCFDH296 1,492,727	RCFDH297 983,615	8.a.
b. Default fund contributions to central counterparties								RCFDH298 0	RCFDH299 0	8.b.

<sup>6.</sup> For loans and leases held for sale, exclude residential mortgage exposures, high volatility commercial real estate exposures, or sovereign exposures that are past due 90 days or more or on nonaccrual.

<sup>7.</sup> For loans and leases, net of unearned income, exclude residential mortgage exposures, high volatility commercial real estate exposures, or sovereign exposures that are past due 90 days or more or on nonaccrual.

<sup>8.</sup> Includes premises and fixed assets; other real estate owned; investments in unconsolidated subsidiaries and associated companies; direct and indirect investments in real estate ventures; intangible assets; and other assets.

<sup>11.</sup> For loans and leases, net of unearned income, exclude residential mortgage exposures, high volatility commercial real estate exposures, or sovereign exposures that are past due 90 days or more or on nonaccrual.

<sup>12.</sup> Includes premises and fixed assets; other real estate owned; investments in unconsolidated subsidiaries and associated companies; direct and indirect investments in real estate ventures; intangible assets; and other assets.

Dollar amounts in thousands	(Column A) Totals	(Column B) Adjustments to Totals Reported in Column A	(Column Q) Exposure Amount 1,250%	(Column T) Total Risk-Weighted Asset Amount by Calculation Methodology SSFA	(Column U) Total Risk-Weighted Asset Amount by Calculation Methodology Gross-Up	
9. On-balance sheet securitization exposures:						9.
a. Held-to-maturity securities	RCFDS475 0	RCFDS476 0	RCFDS477 0	RCFDS478 0	RCFDS479 0	9.a.
b. Available-for-sale securities	RCFDS480 11,122,165	RCFDS481 11,122,165	RCFDS482 0	RCFDS483 2,726,887	RCFDS484 0	9.b.
c. Trading assets	RCFDS485 0	RCFDS486 0	RCFDS487 0	RCFDS488 0	RCFDS489 0	9.c.
d. All other on-balance sheet securitization exposures	RCFDS490 3,667,754	RCFDS491 3,667,754	RCFDS492 0	RCFDS493 1,056,444	RCFDS494 0	9.d.
10. Off-balance sheet securitization exposures	RCFDS495 681,894	RCFDS496 681,894	RCFDS497 0	RCFDS498 299,781	RCFDS499 0	10.

	(Column A)	(Column B)	(Column C)	(Column D)	(Column E)	(Column F)	(Column G)	(Column H)	(Column I)	(Column J)
	Totals From	Adjustments	Allocation by							
	Schedule RC	to Totals	Risk-Weight							
		Reported in	Category 0%	Category 2%	Category 4%	Category 10%	Category 20%	Category 50%	Category	Category
Dollar amounts in thousands		Column A							100%	150%
	RCFD2170	RCFDS500	RCFDD987	RCFDHJ90	RCFDHJ91		RCFDD988	RCFDD989	RCFDD990	RCFDS503
11. Total balance sheet assets <sup>14</sup>	210,152,524	21,595,345	31,901,825	0	0		34,392,159	18,068,214	100,526,936	708,218

	(Column K)	(Column L)	(Column M)	(Column N)	(Column O)	(Column P)	(Column Q)	(Column R)
	Allocation by	Allocation by	Application of					
	Risk-Weight	Risk-Weight	Risk-Weight	Risk-Weight	Risk-Weight	Risk-Weight	Risk-Weight	Other
	Category 250%	Category 300%	Category 400%	Category 600%	Category 625%	Category 937.5%	Category 1,250%	Risk-Weighting
								Approaches
								Exposure
Dollar amounts in thousands								Amount
	RCFDS504	RCFDS505	RCFDS506	RCFDS507			RCFDS510	RCFDH300
11. Total balance sheet assets 14	1,444,095	0	0	0			0	1,515,732

Dollar amounts in thousands	(Column A) Face, Notional, or Other Amount	(Column B) Credit Equivalent Amount	(Column C) Allocation by Risk-Weight Category 0%	Risk-Weight	Risk-Weight	 Risk-Weight		Risk-Weight	(Column J) Allocation by Risk-Weight Category 150%
12. Financial standby letters of credit	RCFDD991 1,199,351	RCFDD992 1,199,351	RCFDD993 141,740	RCFDHJ92 0	RCFDHJ93 0	RCFDD994 18,256	RCFDD995 0	RCFDD996 1,039,355	RCFDS511 0
13. Performance standby letters of credit and transaction-related contingent items	RCFDD997 870,692	RCFDD998 435,346	RCFDD999 7,182			RCFDG603 276	RCFDG604 0	RCFDG605 427,888	RCFDS512 0
14. Commercial and similar letters of credit with an original maturity of one year or less	RCFDG606 1,415	RCFDG607 283	RCFDG608 0	RCFDHJ94 0	RCFDHJ95 0	RCFDG609 0	RCFDG610 0	RCFDG611 283	RCFDS513 0
15. Retained recourse on small business obligations sold with recourse	RCFDG612 0	RCFDG613 0	RCFDG614 0			RCFDG615 0	RCFDG616 0	RCFDG617 0	RCFDS514 0

	(Column A)	(Column B)	(Column C)	(Column D)	(Column E)	(Column F)	(Column G)	(Column H)	(Column I)	(Column J)	
	Face, Notional, or	Credit Equivalent	Allocation by Risk-Weight	Allocation by Risk-Weight	Allocation by Risk-Weight			,	Allocation by Risk-Weight	Allocation by Risk-Weight	
	Other Amount	Amount	Category 0%			Category 10%			Category	Category	
Dollar amounts in thousands			, , , , , , , , , , , , , , , , , , ,		, , ,	, , , , ,	· · · · · · · · · · · · · · · · · · ·	J	100%	150%	
16. Repo-style transactions <sup>21</sup>	RCFDS515 500.533	RCFDS516 500.533	RCFDS517 500.533	RCFDS518	RCFDS519		RCFDS520	RCFDS521	RCFDS522	RCFDS523	16.
To repe diffe transactions	RCFDG618	RCFDG619	RCFDG620	<u> </u>			RCFDG621	RCFDG622	RCFDG623	RCFDS524	
17. All other off-balance sheet liabilities	123,306	123,306	0				0	45,951	77,355	0	17.
18. Unused commitments:*											18.
a. Original maturity of one year or less	RCFDS525 8,957,490	RCFDS526 1,791,498	RCFDS527 0	RCFDHJ96 0	RCFDHJ97 0		RCFDS528 1,579	RCFDS529 15,800	RCFDS530 1,770,501	RCFDS531 3,618	18.a

<sup>14.</sup> For each of columns A through R of item 11, report the sum of items 1 through 9. For item 11, the sum of columns B through R must equal column A. Item 11, column A, must equal Schedule RC, item 12.

<sup>21.</sup> Includes securities purchased under agreements to resell (reverse repos), securities sold under agreements to repurchase (repos), securities borrowed, and securities lent.

<sup>\*.</sup> Excludes unused commitments to asset-backed commercial paper conduits.

	(Column A) Face, Notional, or Other Amount	(Column B) Credit Equivalent Amount	(Column C) Allocation by Risk-Weight Category 0%	(Column D) Allocation by Risk-Weight Category 2%	Risk-Weight	Risk-Weight	Risk-Weight	(Column H) Allocation by Risk-Weight Category 50%	Risk-Weight Category	(Column J) Allocation by Risk-Weight Category	
Dollar amounts in thousands									100%	150%	
b. Original maturity exceeding one year	RCFDG624 49,438,922	RCFDG625 24,719,461	RCFDG626 0	RCFDHJ98 0	RCFDHJ99 0		RCFDG627 0	RCFDG628 60,322	RCFDG629 24,623,968	RCFDS539 35,171	18.b.
19. Unconditionally cancelable commitments	RCFDS540 19,645,976	RCFDS541 0									19.
20. Over-the-counter derivatives		RCFDS542 5,043,816	RCFDS543 489,990	RCFDHK00 0	RCFDHK01 0	RCFDS544 0	RCFDS545 1,330,324	RCFDS546 0	RCFDS547 3,223,502	RCFDS548	20.
21. Centrally cleared derivatives		RCFDS549 570,584	RCFDS550 16,284	RCFDS551 0	RCFDS552 554,300		RCFDS554 0	RCFDS555	RCFDS556 0	RCFDS557	21.
22. Unsettled transactions (failed trades) <sup>22</sup>	RCFDH191 0		RCFDH193 0				RCFDH194 0	RCFDH195 0	RCFDH196 0	RCFDH197 0	22.

Dollar amounts in thousands	(Column O) Allocation by Risk-Weight Category 625%	(Column P) Allocation by Risk-Weight Category 937.5%	(Column Q) Allocation by Risk-Weight Category 1,250%	(Column R) Application of Other Risk-Weighting Approaches Credit Equivalent Amount	(Column S) Application of Other Risk-Weighting Approaches Risk-Weighted Asset Amount	
16. Repo-style transactions <sup>24</sup>				RCFDH301 0	RCFDH302 0	16.
17. All other off-balance sheet liabilities						17.
18. Unused commitments:*						18.
a. Original maturity of one year or less				RCFDH303 0	RCFDH304 0	18.a.
b. Original maturity exceeding one year				RCFDH307 0	RCFDH308 0	18.b.
19. Unconditionally cancelable commitments						19.
20. Over-the-counter derivatives				RCFDH309 0	RCFDH310 0	20.
21. Centrally cleared derivatives						21.
22. Unsettled transactions (failed trades) <sup>25</sup>	RCFDH198 0	RCFDH199 0	RCFDH200 0			22.

<sup>24.</sup> Includes securities purchased under agreements to resell (reverse repos), securities sold under agreements to repurchase (repos), securities borrowed, and securities lent.

Excludes unused commitments to asset-backed commercial paper conduits.

<sup>25.</sup> For item 22, the sum of columns C through Q must equal column A.

Dollar amounts in thousands	(Column C) Allocation by Risk-Weight Category 0%	(Column D) Allocation by Risk-Weight Category 2%	(Column E) Allocation by Risk-Weight Category 4%	(Column F) Allocation by Risk-Weight Category 10%	(Column G) Allocation by Risk-Weight Category 20%	(Column H) Allocation by Risk-Weight Category 50%	(Column I) Allocation by Risk-Weight Category 100%	(Column J) Allocation by Risk-Weight Category 150%	
23. Total assets, derivatives, off-balance sheet items, and other items subject to risk weighting by risk-weight category (for each of columns C through P, sum of items 11 through 22; for column Q, sum of items 10 through 22)	RCFDG630 33,057,554	RCFDS558	RCFDS559 554,300	RCFDS560	RCFDG631 35,742,594	RCFDG632 18,190,287	RCFDG633 131,689,788	RCFDS561	23.
24. Risk weight factor									24.
25. Risk-weighted assets by risk-weight category (for each column, item 23 multiplied by item 24)	RCFDG634 0	RCFDS569 0	RCFDS570 22,172	RCFDS571 0	RCFDG635 7,148,519	RCFDG636 9,095,144	RCFDG637 131,689,788	RCFDS572 1,120,511	25.

Dollar amounts in thousands	(Column K) Allocation by Risk-Weight Category 250%	(Column L) Allocation by Risk-Weight Category 300%	(Column M) Allocation by Risk-Weight Category 400%	(Column N) Allocation by Risk-Weight Category 600%	(Column O) Allocation by Risk-Weight Category 625%	(Column P) Allocation by Risk-Weight Category 937.5%	(Column Q) Allocation by Risk-Weight Category 1,250%	
23. Total assets, derivatives, off-balance sheet items, and other items subject to risk weighting by risk-weight category (for each of columns C through P, sum of items 11 through 22; for column Q, sum of items 10 through 22)	RCFDS562 1,444,095	RCFDS563	RCFDS564	RCFDS565	RCFDS566	RCFDS567	RCFDS568	23.
24. Risk weight factor								24.
25. Risk-weighted assets by risk-weight category (for each column, item 23 multiplied by item 24)	RCFDS573 3,610,238	RCFDS574 0	RCFDS575 0	RCFDS576 0	RCFDS577 0	RCFDS578 0	RCFDS579	25.

26. Risk-weighted assets base for purposes of calculating the allowance for loan and lease losses 1.25 percent threshold	RCFDS580	157,757,700	26.
27. Standardized market-risk weighted assets (applicable only to banks that are covered by the market risk capital rule)	RCFDS581	1,074,572	27.
28. Risk-weighted assets before deductions for excess allowance of loan and lease losses and allocated risk transfer risk reserve <sup>27</sup>	RCFDB704	158,832,272	28
29. LESS: Excess allowance for loan and lease losses	RCFDA222	0	29.
30. LESS: Allocated transfer risk reserve	RCFD3128	0	30.
31. Total risk-weighted assets (item 28 minus items 29 and 30)	RCFDG641	158,832,272	31.
Current credit exposure across all derivative contracts covered by the regulatory capital rules	RCFDG642	2,728,720	М.

Dollar amounts in thousands	remaining n year	n A) With a naturity of One or less	remaining m	n B) With a naturity of Over through five ears	(Column remaining m five		
Notional principal amounts of over-the-counter derivative contracts:							M.2.
a. Interest rate	RCFDS582	8,655,653	RCFDS583	31,283,361	RCFDS584	11,011,643	M.2.a.
b. Foreign exchange rate and gold	RCFDS585	12,247,477	RCFDS586	5,786,905	RCFDS587	0	M.2.b.
c. Credit (investment grade reference asset)	RCFDS588	497,230	RCFDS589	1,310,398	RCFDS590	688,499	M.2.c.
d. Credit (non-investment grade reference asset)	RCFDS591	639,586	RCFDS592	1,429,788	RCFDS593	657,708	M.2.d.
e. Equity	RCFDS594	0	RCFDS595	3,627,406	RCFDS596	0	M.2.e.
f. Precious metals (except gold)	RCFDS597	0	RCFDS598	0	RCFDS599	0	M.2.f.
g. Other	RCFDS600	6,185,888	RCFDS601	3,994,119	RCFDS602	0	M.2.g.
3. Notional principal amounts of centrally cleared derivative contracts:							М.З.
a. Interest rate	RCFDS603	5,747,015	RCFDS604	35,981,531	RCFDS605	7,468,949	M.3.a.
b. Foreign exchange rate and gold	RCFDS606	0	RCFDS607	0	RCFDS608	0	M.3.b.
c. Credit (investment grade reference asset)	RCFDS609	0	RCFDS610	0	RCFDS611	0	M.3.c.
d. Credit (non-investment grade reference asset)	RCFDS612	0	RCFDS613	0	RCFDS614	0	M.3.d.
e. Equity	RCFDS615	0	RCFDS616	0	RCFDS617	0	M.3.e.
f. Precious metals (except gold)	RCFDS618	0	RCFDS619	0	RCFDS620	0	M.3.f.
g. Other	RCFDS621	1,247,040	RCFDS622	651,668	RCFDS623	0	M.3.g.

4. Amount of allowances for credit losses on purchased credit-deteriorated assets: 1			M.4.
a. Loans and leases held for investment	RCFDJJ30	2,807	M.4.a.
b. Held-to-maturity debt securities	RCFDJJ31	0	M.4.b.
c. Other financial assets measured at amortized cost	RCFDJJ32	0	M.4.c.

<sup>27.</sup> Sum of items 2.b through 20, column S; items 9.a, 9.b, 9.c, 9.d, and 10, columns T and U; item 25, columns C through Q; and item 27 (if applicable).

<sup>1.</sup> Memorandum items 4.a through 4.c should be completed only by institutions that have adopted ASU 2016-13.

### Schedule RC-S - Servicing Securitization and Asset Sale Activities(Form Type - 031)

	(Column A) 1-4 Family Residential Loans		(Column C) Credit Card Receivables	(Column D) Auto Loans	(Column E) Other Consumer Loans	(Column F) Commercial and Industrial Loans	(Column G) All Other Loans, All Leases, and All
Dollar amounts in thousands							Other Assets
Outstanding principal balance of assets sold and securitized by the reporting bank with servicing retained or with recourse or other seller-provided credit enhancements	RCFDB705	RCFDB706	RCFDB707	RCFDB708	RCFDB709	RCFDB710	RCFDB711
Maximum amount of credit exposure arising from recourse or other seller-provided credit enhancements provided to structures reported in item	RCFDHU09	RCFDHU10	RCFDHU11	RCFDHU12	RCFDHU13	RCFDHU14	RCFDHU15
Item 3 is to be completed by banks with \$100 billion or more in total assets.  3. Reporting bank's unused commitments to provide liquidity to structures reported in item 1 <sup>1</sup>	RCFDB726	RCFDB727	RCFDB728	RCFDB729 0	RCFDB730	RCFDB731	RCFDB732
4. Past due loan amounts included in item 1:							
a. 30-89 days past due	RCFDB733	RCFDB734 0	RCFDB735	RCFDB736	RCFDB737	RCFDB738	RCFDB739 0
b. 90 days or more past due	RCFDB740	RCFDB741 0	RCFDB742 0	RCFDB743	RCFDB744 0	RCFDB745	RCFDB746 0
5. Charge-offs and recoveries on assets sold and securitized with servicing retained or with recourse or other seller-provided credit enhancements (calendar year-to-date):							
a. Charge-offs	RIADB747	RIADB748 0	RIADB749 0	RIADB750 0	RIADB751 0	RIADB752 0	RIADB753 0
b. Recoveries	RIADB754	RIADB755 0	RIADB756	RIADB757	RIADB758	RIADB759 0	RIADB760 0
Item 6 is to be completed by banks with \$10 billion or more in total assets. 6. Total amount of ownership (or seller's) interest carried as securities or loans <sup>1</sup>		RCFDHU16	RCFDHU17			RCFDHU18	
7. Not applicable							
8. Not applicable							
9. Maximum amount of credit exposure arising from credit enhancements provided by the reporting bank to other institutions' securitization structures in the form of standby letters of credit, purchased subordinated securities, and other enhancements	RCFDB776			RCFDB779	RCFDB780	RCFDB781	RCFDB782
Item 10 is to be completed by banks with \$10 billion or more in total assets.  10. Reporting bank's unused commitments to provide liquidity to other institutions' securitization structures <sup>1</sup>	RCFDB783			RCFDB786	RCFDB787	RCFDB788	RCFDB789
11. Assets sold with recourse or other seller-provided credit enhancements and not securitized by the reporting bank	RCFDB790 123,306						RCFDB796 0
12. Maximum amount of credit exposure arising from recourse or other seller-provided credit enhancements provided to assets reported in item 11	RCFDB797 123,306						RCFDB803

<sup>1.</sup> The \$100 billion asset-size test is based on the total assets reported on the June 30, 2018, Report of Condition.

<sup>1.</sup> The \$10 billion asset-size test is based on the total assets reported on the June 30, 2018, Report of Condition.

<sup>1.</sup> The \$10 billion asset-size test is based on the total assets reported on the June 30, 2018, Report of Condition.

1. Not applicable			M.1.
2. Outstanding principal balance of assets serviced for others (includes participations serviced for others):			M.2.
a. Closed-end 1-4 family residential mortgages serviced with recourse or other servicer-provided credit enhancements	RCFDB804	123,306	M.2.a.
b. Closed-end 1-4 family residential mortgages serviced with no recourse or other servicer-provided credit enhancements	RCFDB805	97,612,231	M.2.b.
c. Other financial assets (includes home equity lines) <sup>1</sup>	RCFDA591	2,532,440	M.2.c.
d. 1-4 family residential mortgages serviced for others that are in process of foreclosure at quarter-end (includes closed-end and open-end loans)	RCFDF699	141,243	M.2.d.
Memorandum item 3 is to be completed by banks with \$10 billion or more in total assets.			M.3.
3. Asset-backed commercial paper conduits: <sup>2</sup>			IVI.J.
<ul> <li>a. Maximum amount of credit exposure arising from credit enhancements provided to conduit structures in the form of standby letters of credit, subordinated securities, and other enhancements:</li> </ul>			M.3.a.
1. Conduits sponsored by the bank, a bank affiliate, or the bank's holding company	RCFDB806	0	M.3.a.1.
2. Conduits sponsored by other unrelated institutions	RCFDB807	0	M.3.a.2.
b. Unused commitments to provide liquidity to conduit structures:			M.3.b.
1. Conduits sponsored by the bank, a bank affiliate, or the bank's holding company	RCFDB808	0	M.3.b.1.
2. Conduits sponsored by other unrelated institutions	RCFDB809	43,255	M.3.b.2.
4. Outstanding credit card fees and finance charges included in Schedule RC-S, item 1, column C <sup>2</sup>	RCFDC407	0	M.4.

### Schedule RC-T - Fiduciary and Related Services(Form Type - 031)

Does the institution have fiduciary powers? (If "NO," do not complete Schedule RC-T.)	RCFDA345	Yes	1.
2. Does the institution exercise the fiduciary powers it has been granted?	RCFDA346	Yes	2.
3. Does the institution have any fiduciary or related activity (in the form of assets or accounts) to report in this schedule? (If "NO," do not complete the rest of Schedule RC-T.)	RCFDB867	Yes	3.

Dollar amounts in thousands	` As	A) Managed ssets	,	umn B) aged Assets		C) Number of d Accounts	Non-M	) Number of lanaged ounts	f
4. Personal trust and agency accounts	RCFDB868	12,108,776	RCFDB869	1,407,603	RCFDB870	4800	RCFDB871	134	4.
5. Employee benefit and retirement-related trust and agency accounts:									5.
a. Employee benefit - defined contribution	RCFDB872	2,183,353	RCFDB873	12,326,072	RCFDB874	172	RCFDB875	371	5.
b. Employee benefit - defined benefit	RCFDB876	1,118,443	RCFDB877	2,317,867	RCFDB878	67	RCFDB879	37	5.
c. Other employee benefit and retirement-related accounts	RCFDB880	5,280,828	RCFDB881	460,589	RCFDB882	9716	RCFDB883	215	5.
6. Corporate trust and agency accounts	RCFDB884	0	RCFDB885	0	RCFDC001	0	RCFDC002	0	6.
7. Investment management and investment advisory agency accounts	RCFDB886	24,546,046	RCFDJ253	411,451	RCFDB888	10663	RCFDJ254	6	7.
8. Foundation and endowment trust and agency accounts	RCFDJ255	2,900,813	RCFDJ256	42,666	RCFDJ257	658	RCFDJ258	3	8.
9. Other fiduciary accounts	RCFDB890	1,197,267	RCFDB891	1,694,246	RCFDB892	1397	RCFDB893	118	9.
10. Total fiduciary accounts (sum of items 4 through 9)	RCFDB894	49,335,526	RCFDB895	18,660,494	RCFDB896	27473	RCFDB897	884	10
11. Custody and safekeeping accounts			RCFDB898	446,783,385			RCFDB899	3174	11
12. Fiduciary accounts held in foreign offices (included in items 10 and 11)	RCFNB900	0	RCFNB901	0	RCFNB902	0	RCFNB903	0	12
13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5.c and 11)	RCFDJ259	5,133,243	RCFDJ260	192,234	RCFDJ261	9676	RCFDJ262	178	1:

<sup>1.</sup> Memorandum item 2.c is to be completed if the principal balance of other financial assets serviced for others is more than \$10 million.

<sup>2.</sup> The \$10 billion asset-size test is based on the total assets reported on the June 30, 2018, Report of Condition.

<sup>2.</sup> Memorandum item 4 is to be completed by banks that (1) together with affiliated institutions, have outstanding credit card receivables (as defined in the instructions) that exceed \$500 million as of the report date, or (2) are credit card specialty banks as defined for Uniform Bank Performance Report purposes.

14. Personal trust and agency accounts	RIADB904	19,044	14.
15. Employee benefit and retirement-related trust and agency accounts:			15.
a. Employee benefit - defined contribution	RIADB905	2,759	15.a
b. Employee benefit - defined benefit	RIADB906	1,065	15.b
c. Other employee benefit and retirement-related accounts	RIADB907	12,760	15.c
16. Corporate trust and agency accounts	RIADA479	0	16.
17. Investment management and investment advisory agency accounts	RIADJ315	38,764	17.
18. Foundation and endowment trust and agency accounts	RIADJ316	4,482	18.
19. Other fiduciary accounts	RIADA480	698	19.
20. Custody and safekeeping accounts	RIADB909	6,714	20.
21. Other fiduciary and related services income	RIADB910	12,145	21.
22. Total gross fiduciary and related services income (sum of items 14 through 21) (must equal Schedule RI, item 5.a)	RIAD4070	98,431	22.
a. Fiduciary and related services income - foreign offices (included in item 22)	RIADB912	0	22.a
23. Less: Expenses	RIADC058	NR	23.
24. Less: Net losses from fiduciary and related services	RIADA488	NR	24.
25. Plus: Intracompany income credits for fiduciary and related services	RIADB911	NR	25.
26. Net fiduciary and related services income	RIADA491	98,431	26.
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Dollar amounts in thousands	(Column A) Personal Trust and Agency and Investment Management Agency Accounts		` Bene Retirement	B) Employee efit and Related Trust cy Accounts	,	C) All Other counts	
Managed assets held in fiduciary accounts:							M.1.
a. Noninterest-bearing deposits	RCFDJ263	NR	RCFDJ264	NR	RCFDJ265	NR	M.1.a.
b. Interest-bearing deposits	RCFDJ266	NR	RCFDJ267	NR	RCFDJ268	NR	M.1.b.
c. U.S. Treasury and U.S. Government agency obligations	RCFDJ269	NR	RCFDJ270	NR	RCFDJ271	NR	M.1.c.
d. State, county, and municipal obligations	RCFDJ272	NR	RCFDJ273	NR	RCFDJ274	NR	M.1.d.
e. Money market mutual funds	RCFDJ275	NR	RCFDJ276	NR	RCFDJ277	NR	M.1.e.
f. Equity mutual funds	RCFDJ278	NR	RCFDJ279	NR	RCFDJ280	NR	M.1.f.
g. Other mutual funds	RCFDJ281	NR	RCFDJ282	NR	RCFDJ283	NR	M.1.g.
h. Common trust funds and collective investment funds	RCFDJ284	NR	RCFDJ285	NR	RCFDJ286	NR	M.1.h.
i. Other short-term obligations	RCFDJ287	NR	RCFDJ288	NR	RCFDJ289	NR	M.1.i.
j. Other notes and bonds	RCFDJ290	NR	RCFDJ291	NR	RCFDJ292	NR	M.1.j.
k. Investments in unregistered funds and private equity investments	RCFDJ293	NR	RCFDJ294	NR	RCFDJ295	NR	M.1.k.
I. Other common and preferred stocks	RCFDJ296	NR	RCFDJ297	NR	RCFDJ298	NR	M.1.I.
m. Real estate mortgages	RCFDJ299	NR	RCFDJ300	NR	RCFDJ301	NR	M.1.m.
n. Real estate	RCFDJ302	NR	RCFDJ303	NR	RCFDJ304	NR	M.1.n.
o. Miscellaneous assets	RCFDJ305	NR	RCFDJ306	NR	RCFDJ307	NR	M.1.o.
p. Total managed assets held in fiduciary accounts (for each column, sum of Memorandum items 1.a through 1.o)	RCFDJ308	NR	RCFDJ309	NR	RCFDJ310	NR	M.1.p.

Dollar amounts in thousands	(Column A) Managed Assets (C		(Column B) Number of Managed Accounts		
q. Investments of managed fiduciary accounts in advised or sponsored mutual funds	RCFDJ311	NR	RCFDJ312	NR	M.1.q.

Dollar amounts in thousands		umber of Issues	(Column B) P Outs		
2. Corporate trust and agency accounts:					M.2.
a. Corporate and municipal trusteeships	RCFDB927	NR	RCFDB928	NR	M.2.a.
1. Issues reported in Memorandum item 2.a that are in default	RCFDJ313	NR	RCFDJ314	NR	M.2.a.1.
b. Transfer agent, registrar, paying agent, and other corporate agency	RCFDB929	NR			M.2.b.

Dollar amounts in thousands	(Column A) Number of Funds		(Column B) Market Value of Fund Assets		
Memoranda items 3.a through 3.g are to be completed by banks with collective investment funds and common trust funds with a total market value of \$1 billion or more as of the preceding December 31.  3. Collective investment funds and common trust funds:					М.З.
a. Domestic equity	RCFDB931	NR	RCFDB932	NR	M.3.a.
b. International/Global equity	RCFDB933	NR	RCFDB934	NR	M.3.b.
c. Stock/Bond blend	RCFDB935	NR	RCFDB936	NR	M.3.c.
d. Taxable bond	RCFDB937	NR	RCFDB938	NR	M.3.d.
e. Municipal bond	RCFDB939	NR	RCFDB940	NR	M.3.e.
f. Short term investments/Money market	RCFDB941	NR	RCFDB942	NR	M.3.f.
g. Specialty/Other	RCFDB943	NR	RCFDB944	NR	M.3.g.
h. Total collective investment funds (sum of Memorandum items 3.a through 3.g)	RCFDB945	6	RCFDB946	551,014	M.3.h.

Dollar amounts in thousands									
4. Fiduciary settlements, surcharges, and other losses:							M.4.		
a. Personal trust and agency accounts	RIADB947	NR	RIADB948	NR	RIADB949	NR	M.4.a.		
b. Employee benefit and retirement-related trust and agency accounts	RIADB950	NR	RIADB951	NR	RIADB952	NR	M.4.b		
c. Investment management agency accounts	RIADB953	NR	RIADB954	NR	RIADB955	NR	M.4.c		
d. Other fiduciary accounts and related services	RIADB956	NR	RIADB957	NR	RIADB958	NR	M.4.d.		
e. Total fiduciary settlements, surcharges, and other losses (sum of Memorandum items 4.a through 4.d) (sum of columns A and B minus column C must equal Schedule RC-T, item 24)	RIADB959	NR	RIADB960	NR	RIADB961	NR	M.4.e.		

## Schedule RC-V - Variable Interest Entities(Form Type - 031)

Dollar amounts in thousands	(Column A) Securitization Vehicles		(Column B) Other VIEs		
Assets of consolidated variable interest entities (VIEs) that can be used only to settle obligations of the consolidated VIEs:					1.
a. Cash and balances due from depository institutions	RCFDJ981	23,758	RCFDJF84	0	1.a.
b. Securities not held for trading	RCFDHU20	0	RCFDHU21	0	1.b.
c. Loans and leases held for investment, net of allowance, and held for sale	RCFDHU22	264,370	RCFDHU23	0	1.c.
d. Other real estate owned	RCFDK009	0	RCFDJF89	0	1.d.
e. Other assets	RCFDJF91	1,595	RCFDJF90	0	1.e.
2. Liabilities of consolidated VIEs for which creditors do not have recourse to the general credit of the reporting bank:					2.
a. Other borrowed money	RCFDJF92	208,705	RCFDJF85	0	2.a.
b. Other liabilities	RCFDJF93	480	RCFDJF86	0	2.b.
3. All other assets of consolidated VIEs (not included in items 1.a. through 1.e above)	RCFDK030	0	RCFDJF87	0	3.
4. All other liabilities of consolidated VIEs (not included in items 2.a through 2.b above)	RCFDK033	0	RCFDJF88	0	4.

5. Total assets of asset-backed commercial paper (ABCP) conduit VIEs	RCFDJF77	0 5
6. Total liabilities of ABCP conduit VIEs	RCFDJF78	<b>0</b> 6

# Optional Narrative Statement Concerning the Amounts Reported in the Consolidated Reports of Condition and Income(Form Type - 031)

Dollar amounts in thousands			_
1. Comments?	RCON6979	No	1.
2. Bank Management Statement	TEXT6980	NR	2.

#### **FDIC Coverage Rate**

FDIC insurance covers all types of deposits received at an insured bank, including:

- checking accounts,
- negotiable order of withdrawal (NOW) accounts,
- savings accounts,
- money market deposit accounts (MMDAs),
- · certificates of deposit (CD) and other time deposits, and
- official items issued by a bank (such as cashier's checks or money orders).

FDIC insurance covers depositors' accounts at each insured bank, dollar-for-dollar, including principal and any accrued interest through the date of the insured bank's closing, up to the insurance limit. The standard insurance amount is \$250,000 per person, per bank, per ownership category.





#### Statement of Community Involvement:

Fifth Third's community commitment is the largest made by a single bank in recent history:

- \$32 billion nationally, through 2020
- \$5.6 billion commitment to greater Chicago in community lending, community development investments, philanthropic donations, mortgage lending and small business lending



Fifth Third Bank is committed to promoting growth in the greater Chicago region. Our ongoing investments help build strong, vibrant communities throughout the area:

Advancing Equity in Banking Commission (AEBC). City Treasurer Melissa Conyears-Ervin and State Treasurer Michael Frerichs convened the Advancing Equity in Banking Commission (AEBC) last summer to work with local banks and enhance their accountability. Fifth Third voluntarily joined the AEBC, which is taking a collaborative, flexible approach to working with lenders on actionable solutions — including ongoing dialogues with local banking leaders, educational forums, identifying lending and investment gaps, and working with community partners to ensure that financial resources reach Chicagoans. Fifth Third Regional President Mark Hoppe is excited to serve on the AEBC as an inaugural commissioner.

**\$2.8 Billion Diversity and Inclusion Initiative.** Fifth Third announced a significant <u>diversity and inclusion initiative</u> in December 2020, with a \$2.8 billion investment to accelerate racial equity, equality and inclusion. This initiative will provide \$2.2 billion in lending, \$500 million in investments, \$60 million in financial accessibility and \$40 million in philanthropy over the next three years.

As part of the initiative above, we announced on **October 13, 2021** the establishment of a \$180 million neighborhood program to support and revitalize nine key **majority-Black** communities across seven states that have suffered from the effects of disinvestment. One of the areas chosen for investment was the **South Chicago neighborhood**, **which will receive up to \$20 million in lending and investments**, including philanthropic support from the Fifth Third Foundation, to contribute toward Claretian Associates' transformation of over 700 acres of vacant land and undeveloped lakefront real estate. In total, the proposal will preserve and create 235 affordable homes, generate 28 full-time jobs and produce over 160 construction jobs.

\$32 Billion Commitment Through National Community Reinvestment Coalition. In December 2020, Fifth Third Bank completed a commitment of \$30 billion made in January 2016 through a partnership with the National Community Reinvestment Coalition. In 2018, the Bank increased our commitment to \$32 billion to reflect our expansion in Chicago. The additional \$2 billion was invested entirely in Chicagoland and increased the total Chicago-related commitment from \$3.6 billion to \$5.6 billion and was all made by the end of last year, the original time frame for the commitment.

Our Community Commitment included product innovation to address community needs, and included down payment assistance, support for housing counseling, and other activities, including affirmative marketing and outreach, evaluation and improvement of our Fair Housing/Lending program, and the continuation of its current policy of not imposing minimum loan amounts. Moreover, the Community Commitment had a holistic focus on housing and included our investment of over \$174 million in equity for affordable housing projects. This includes investing \$5 million in loan pools with Neighborhood Housing Services of Chicago and \$30 million to Community Investment Corporation to maintain affordable housing.



**Fifth Third Bank Community Mortgage**. In May 2019, the Bank announced a new mortgage product that provides an affordable option for low-income families and borrowers purchasing homes in low-to-moderate income communities. The Fifth Third Bank Community Mortgage helps pay certain **closing costs and fees, up to \$1,500 for gualified borrowers**. The Fifth Third Community Mortgage requires a low down payment of about 3%.

**Down Payment Assistance Program.** Additionally, the Fifth Third Bank Community Mortgage can be combined with another successful program that the Bank operates, our Down Payment Assistance (DPA) program. The DPA is a grant program and currently offers **up to \$7,500 for qualified buyers to help with a down payment** when purchasing a home. That assistance does not need to be paid back and is part of our Community Commitment referenced above. We have so far provided **over \$1.5 billion to low-to-moderate income borrowers and to borrowers in low-to-moderate income communities** through affordable mortgage lending in Illinois.

**Philanthropic Commitments.** We recently made an **\$8.75 million** philanthropic commitment to support the needs of our community members who have been affected by the pandemic. The \$8.75 million commitment is being funded by the Fifth Third Foundation and the Fifth Third Chicagoland Foundation.

Among the areas funded are \$3.25 million for COVID-19 response needs in the regions served by the Bank and \$5.5 million in Strengthening our Communities Fund grants to support the long-term sustainability of our economy. This includes funding to support small businesses, affordable housing and homeownership, and economic development. In Chicago specifically, the bank provided a \$1 million grant in support of Mayor Lightfoot's City of Chicago Small Business Resiliency Fund.

**Fifth Third Bank Family Pavilion at Navy Pier**—committed to multi-year partnership investing in the future of Chicago, and serving as the official bank of **Navy Pier** 

**Fifth Third Arena**—official naming rights to the **Chicago Blackhawks** training and practice facility, also serving as a community center for youth hockey development programs

- **\$2.5 million investment** in **Allies for Community Business** and **LISC**, not-for-profit lenders that provide access to capital for small businesses
- **\$3** million investment in Neighborhood Housing Services, a not-for- profit-organization specializing in affordable housing
- **\$2.5 million investment** in the **Entrepreneurs of Color Fund**, fueling business expansion, job growth and economic health on the south and west sides of Chicago
- \$1 million charitable donation to After School Matters in support of the Gately Center in South Chicago
- \$30 million investment to Community Investment Corporation to help stabilize affordable housing
- \$5 million investment into Chicago Community Loan Fund to support capital access for small businesses

Although it has not yet been publicly announced, Fifth Third has just donated **\$500,000** to the **Woodlawn Fund**. That is incremental to the total philanthropic giving above.

