| Firm Ownership: | % (Ex. 10.4) | # of People |
|---|---|---|
| Full Time Employees | | |
| Parent Company* | | |
| Other* | | |
| Must Equal 100.0: | 0.0 | |

| Firm Ownership: | % (Ex. 10.4) | # of People |
|---|---|---|
| Male | | |
| Female | | |
| Must Equal 100.0: | 0.0 | |

| Firm Ownership: | % (Ex. 10.4) | # of People |
|---|---|---|
| White | | |
| African American | | |
| Hispanic | | |
| Asian | | |
| Native American | | |
| Other | | |
| Must Equal 100.0: | 0.0 | |

* Please detail Parent Company and Other owners in box below. (B17)

| FIRM Inv. Professionals: | YTD | Last Calendar Yr. | 2nd to Last Clndr. Yr. | 3rd to Last Clndr. Yr. |
|---|---|---|---|---|
| # of Employees Hired | | | | |
| # of Employees Terminated | | | | |
| # of Employees Retired | | | | |
| # of Employees Resigned | | | | |

| PRODUCT Specific Clients: | YTD | Last Calendar Yr. | 2nd to Last Clndr. Yr. | 3rd to Last Clndr. Yr. |
|---|---|---|---|---|
| # Gained | | | | |
| Gained Assets (in mil) | | | | |
| % of Product Gained | | | | |
| # Lost | | | | |
| Lost Assets (in mil) | | | | |
| % of Product Lost | | | | |

| PRODUCT Specific Clients: | Name | Assets in Mil |
|---|---|---|
| Largest Client: | | |
| 2nd Largest Client: | | |
| 3rd Largest Client: | | |
| 4th Largest Client | | |
| 5th Largest Client | | |
| | Average Client: | |
| | Smallest Client: | |

## List Investment Professionals Responsible for this particular Product:

| Name | Role on Product | Years of Investment Experience | Years with Firm | Years on Product Team | Highest Degree/Certification Attained |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |